



# **Incident Command System**

---

## **Incident Commander**

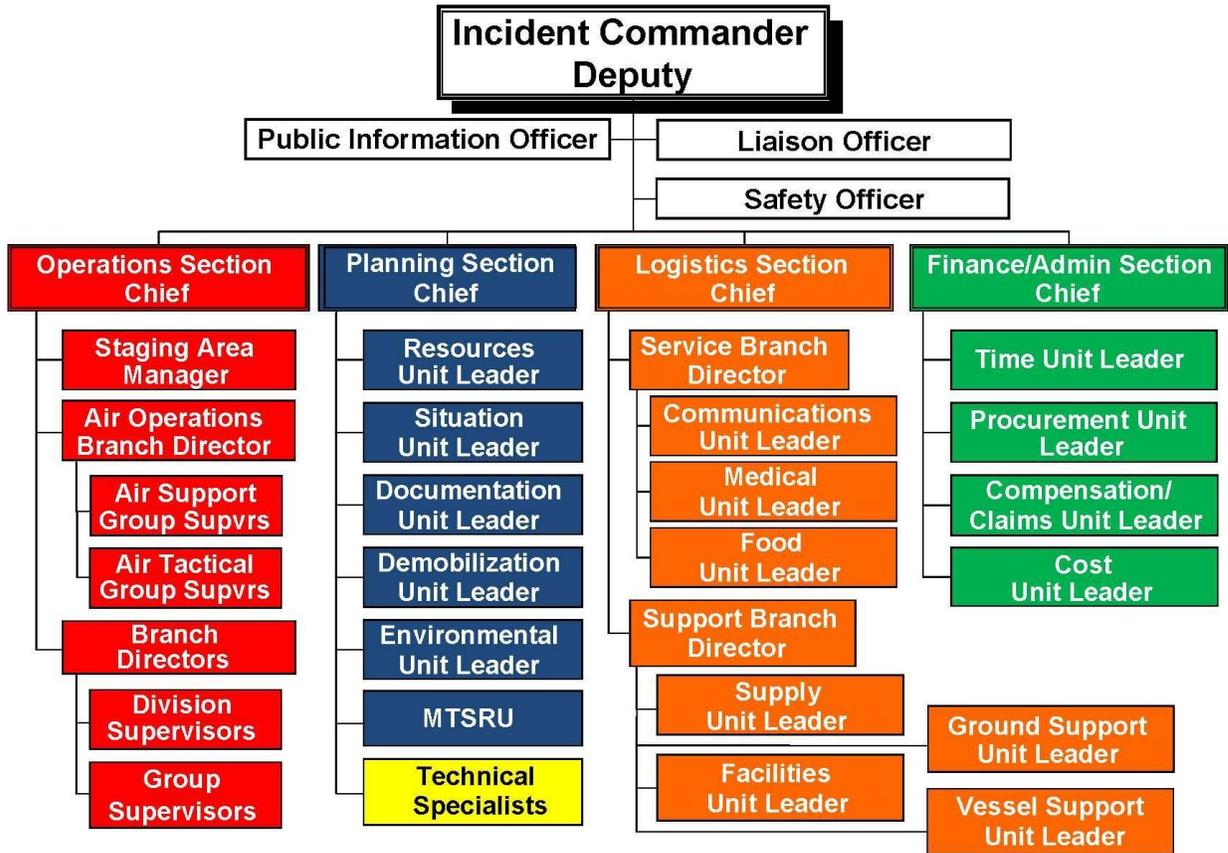
**- IC -**

## **Job Aid**

---

July 2014

### ICS Organization Chart



IC Job Aid	3
<b>1.0 Overview</b>	<b>6</b>
1.1 User.....	6
1.2 When to Use .....	7
1.3 Major Accomplishments .....	7
1.4 References.....	9
1.5 Materials and Forms.....	10
1.6 Other .....	11
<b><i>Incident Commander Checklists</i></b>	
Pre-Assignment Actions (Individual readiness).....	12
Pre-Deployment Actions.....	12
Initial Actions Upon Arrival – The Initial IC .....	13
Initial Actions Upon Arrival – Oncoming IC .....	13
Obtain Situation Assessment .....	14
Incident Brief ICS 201 .....	14
The IC and the ICS Operational Planning Process...	15
Effective and Efficient ICS Organization.....	16
Demobilize Personnel.....	16
<b>2.0 General Tasks for the I C Position</b>	<b>17</b>
2.1 Pre-Assignment Actions.....	17
2.2 Pre-Deployment Actions.....	20
2.3 Initial Actions Upon Arrival.....	23
2.4 Obtain Situation Assessment.....	30
2.5 Incident Brief.....	32
2.6 The Incident Commander and the ICS Operational Planning Process.....	35

IC Job Aid	4
2.1.1 Initial Unified Command Meeting.....	35
2.1.2 IC/UC Develop/Update Objectives Meeting...	40
2.1.3 Command and General Staff Meeting.....	44
2.1.4 “Preparing for the Tactics Meeting” and the “Tactics Meeting” period of time.....	47
2.1.5 Preparing for the Planning Meeting period....	50
2.1.6 Planning Meeting.....	53
2.1.7 IAP Preparation and Approval.....	55
2.1.8 Operational Briefing.....	57
2.1.9 Execute Plan and Assess Progress.....	60
2.7 Effective and Efficient ICS Organization.....	61
2.8 Other IC/UC Activities.....	69
2.9 Demobilization.....	71
<b>Appendices</b>	<b>72</b>
Appendix A – Personal Deployment Kit.....	72
Appendix B – I C/UC Deployment Kit.....	73
Appendix C – IC/UC Functional Interactions.....	75
Appendix D – The Unified Command.....	80
Appendix E –Transfer of Command.....	92
Appendix F – Executive and Incident Commander Agreement Checklist.....	93
Appendix G – Example Delegation of Authority Memos.....	95

Appendix H –Checklist for Out- Going IC.....	98
Appendix I – Checklist for In-Coming IC/ UC .....	100
Appendix J – Command Validation Checklist .....	104
Appendix L – Command Considerations for Shifting From An ICS 201 to developing an IAP...	106
Appendix M - SMART Objectives.....	108
Appendix N – ICS 202 Incident Objectives .....	111
Appendix O –Incident Action Plan Review Checklist .....	114
Appendix P – Speaker Preparation Worksheet.....	119
Appendix Q – IMT Evaluation Checklist .....	120
Appendix R – ICS 225 Individual Personnel Performance Rating .....	124
Appendix S – Command Considerations During Demobilization/Close Out.....	128

## **1.1 Overview**

### **1.2 User**

The user of this job aid will be anyone assigned as Incident Commander (IC), Incident Commander in Unified Command (UC) or Deputy Incident Commander (DIC) within the National Incident Management System (NIMS) Incident Command System (ICS). Personnel assigned to this position should be qualified as an IC. Throughout the rest of this Job Aid, the generic term “Command” may also be used to denote all the above entities.

Personnel assigned to this position should have a good operational background, experience working with people in other organizations, and with the type of incident to which they are responding. Since this is a key position in the response organization, assignment should be based on experience level versus rank. Past experience as an Operations Section Chief (OSC) or Planning Section Chief (PSC) is highly desirable.

This Job Aid does not cover other important traits of an effective IC, such as: good leadership, interpersonal and communications skills, or experience in risk-based decision making a solid grasp of political, social, environmental, and

economic issues; experience in risk-based decision making and an in-depth knowledge of substantive aspects of the incident at hand. A good IC exhibits these traits and many more in addition to properly executing the ICS.

### **1.3 When to Use**

This job aid should be used to assist the IC, UC or DIC whenever an incident has occurred or during a planned event that requires an Incident Command System organization.

### **1.4 Major Accomplishments**

Below is a list of major accomplishments for Command:

- Pre-Assignment Actions (Individual readiness)
- Pre-Deployment Actions
- Initial Actions Upon Arrival
- Obtain Situation Assessment
- Receive Initial Brief
- Activate/Staff up the Organization
- Manage the Organization
- Conduct Meetings and Briefings
- Approve the Incident Action Plan (IAP)
- Manage Incident Support Plans
- Demobilize Personnel and other resources

Below are some other responsibilities of Command:

- Ensure that critical needs and issues are effectively addressed
- Make Timely decisions
- Ensure that the response organization addresses the safety of the public and responders
- Provide timely Command direction to the response organization such as priorities, key decisions, critical information requirements, objectives and tasks.
- Properly implement the Incident Command System to establish effective and efficient management of the incident to resolution and demobilization.
- Oversee establishment of a Unified Command structure as appropriate for multi-agency, multi-jurisdictional responses.
- Review and approval of all Incident Action Plans, as well as any support plans.
- Establish appropriate Command and General Staff positions, and oversee their activities. Ensure that appropriate delegation has been given to them to optimize their function including promoting team synergy and communication.

- Maintain a keen grasp of the big picture, while ensuring your management team has a solid grasp of the detailed aspects of the response.
- Meet the needs of Agency Executives, stakeholders and the media.
- Acquire and maintain the confidence of the public.
- Prevent or mitigate harm to human health, national security, the environment and the economy.
- Ensure quick recovery.
- Establish and enforce a high standard of conduct among response personnel.
- Continually evaluate operation's effectiveness and preparedness for contingencies and quickly make adjustments to optimize the response.

## 1.5 References

Below is a list of references that may be required while using of this job aid. This list is not all encompassing. Links to many of these references can be found at <http://homeport.uscg.mil/ics/>.

- Incident Management Handbook (IMH)  
COMDTPUB P3120.17.
- National Incident Management System (NIMS)
- National Response Framework (NRF)

- AHIMT Type 3 Incident Commander (ICT3) Performance Qualification Standard (PQS)
- Applicable Coast Guard Policy, agency and/or company policy, contingency plans, geographic supplements, and manuals.
- Command and General Staff Job Aids
- Classified Material and Sensitive Security Information (SSI) guidance

## **1.6 Materials and Forms**

A complete list of materials necessary is listed in Appendix B – Incident Commander Deployment Kit. Ensure these materials are available throughout the incident/event.

Most of the forms necessary to complete this job can be found on the Texas A&M Forest Service ICS web pages at

<http://tfsfrp.tamu.edu/toolbox/classic.html>

Generally, the IC will either work with or have responsibility for information on the following ICS forms:

- Incident Briefing (ICS 201)
- Incident Objectives (ICS 202)
- Command Critical Information Requirements (ICS 202B)
- Assignment List (ICS 204)

- Incident Summary Status (ICS 209)
- Unit Log (ICS 214)
- Incident Personnel Performance Evaluation (ICS 225)
- Daily Meeting Schedule

## **1.7 Other**

In the context of this job aid, the word incident means an incident, event, or exercise unless otherwise noted.

## Incident Commander Checklists

### Pre-Assignment Actions (Individual readiness)

	Ensure personal readiness for assignment (see detail on page 17)
	Ensure minimum training is complete and up-to-date (see detail on page 18)
	Assemble IC Deployment Kit (see detail on page 22)

### Pre-Deployment Actions

	Notification Phase if responding as Initial IC (see detail on page 20)
	Receive assignment as Oncoming IC (see detail on page 20)
	Receive team Resource orders (see detail on page 22)
	Verify/Update personal deployment kit (see detail on page 22)
	Verify/Update IC deployment kit (see detail on page 22)

## **Initial Actions Upon Arrival – The Initial IC**

	Step A: Conduct and On-Scene ORM Evaluation (See detail on page 23)
	Step B: Identify and implement Initial Priorities and objectives and conduct resource needs assessment (See detail on page 24)
	Step C: Evaluate, Organize, Deploy and Lead on-Scene Resources (See detail on page 24)
	Step D: Evaluate and Manage Incident Personnel (See detail on page 26)

## **Initial Actions Upon Arrival – Oncoming IC**

	Check-in on ICS 211 (see detail on page 27)
	Check in with Finance (see detail on page 28)
	Check in with Logistics (see detail on page 28)
	Review Site Safety Plan and sign the worker acknowledgement form (see detail on page 29)

## Obtain Situation Assessment

	Review ICS 201 or IAP and Situation Status Display (see detail on page 30)
	What kind of incident? (see detail on page 30)
	Who are key players? (see detail on page 30)
	When incident occurred? (see detail on page 30)
	Where is incident location/AOR? (see detail on page 31)
	Incident organization? (see detail on page 31)
	Next meeting or briefing? (see detail on page 31)
	What considerations have been made to move from the ICS 201 to an IAP? (see detail on page 31)

## Incident Brief ICS 201

	Off-Going IC (See detail on page 32)
	On-Coming IC (See detail on page 33)
	Transfer of Command (See detail on page 33)

## **The Incident Commander and the ICS Operational Planning Process**

	Initial UC Meeting (See detail on page 35)
	IC/UC Objectives Meeting (See detail on page 39)
	Command and General Staff Meeting (See detail on page 43)
	During the Prep for and Tactics Meeting (See detail on page 46)
	Preparing for the Planning Meeting (See detail on page 50)
	Planning Meeting (See detail on page 52)
	IAP Approval (See detail on page 55)
	Operations Brief (See detail on page 57)
	Execute Plan and Assess Progress (See detail on page 59)

## Effective and Efficient ICS Organization

	Determine Staffing Requirements (see detail on page 61)
	Establish work location (see detail on page 64)
	Acquire work materials (see detail on page 65)
	Supervise the Organization, Identify and Correct Systemic Problems (see detail on page 65)
	Evaluate Individual Personnel Performance/ Provide Feedback and/or corrective actions to subordinates (see detail on page 68)
	Give Feedback on IMT Products (see detail on page 68)

## Demobilize Personnel

	Review and Approve the Demobilization Plan (see detail on page 71)
	Supervise demobilization of personnel (see detail on page 71)
	Supervise demobilization of organization (see detail on page 71)

## **2.1 General Tasks for the Incident Commander Position**

### **2.2 Pre-Assignment Actions (Individual Readiness)**

#### 2.2.1 Personal readiness for deployment

Personal readiness includes: dependent, financial and personal readiness. Should you deploy without being personally ready, it will affect your ability to respond and may cause a burden on the incident management team which now has to assist you with these issues.

- Ensure you have no outstanding issues that would prevent you from being deployed. For example, you have a plan to ensure you have enough medications for the entire period of the deployment.
- Uniforms – You have enough uniforms and/or appropriate clothing for an expected deployment.
- Financial Readiness – You need to be financially ready to deploy. This means ensuring your financial situation is in order.

- Ensure you have a plan for bills to be paid while deployed.
- Family Readiness
  - Ensure you have a Dependent Care/Pet Care plan for when deployed. Please check [www.militaryonesource.com](http://www.militaryonesource.com) for assistance.
  - Review pet, child and elder care arrangements.
  - Update and check legal and financial documents and details.
  - Make sure all important contact numbers are easy to find.
  - Create a family emergency plan.
  - Talk about how you'll handle finances during the deployment.

### 2.2.2 Minimum training is complete

Ensure minimum training is complete and up-to-date (as per COMDTINST(s) and PQS).

- Mandated Training (MT)
- ICS training (e.g. ICS-300, position specific ICS training).

### 2.2.3 Assemble Personal Deployment Kit

- A personal deployment kit contains your personal items needed for the deployment and includes items like: medications, uniforms and/or appropriate clothing, etc. See detail in Appendix A – Personal Deployment Kit

### 2.2.4 Assemble Incident Commander Deployment Kit

- Ensure manuals, forms and guides are current versions (electronic and paper).
- Ensure supplies are restocked from last deployment.
- See detail in Appendix B – Incident Commander Deployment Kit

## 2.2 Pre-Deployment Actions

Pre-deployment actions have two different paths: Are you responding as the **Initial Incident Commander** (2.2.1) or as **Oncoming Incident Commander** relieving an incumbent Incident Commander (2.2.2).

### 2.2.1 Notification Phase – Initial IC

The Initial Incident Commander is notified of an incident (if responding as Initial Incident Commander). Pre-assessment information is collected prior to reporting on scene.

- Determine what happened. Document on ICS 201.
- Determine injuries, illnesses, fatalities and the threat to the uninjured.
- Ensure that pre-deployment operations risk assessment is conducted. Consider using ICS 215A.
- Determine real and probable threats to responders.
- Identify hazard, exclusion and safety zones. Determine areas of safe refuge and evacuation zones.
- Initiate notification checklists in accordance with approved contingency plans.

- Report to the field with ICS 201 and appropriate assessment tools and references.
- Determine or establish initial incident priorities and objectives.
- Determine area of responsibility for the incident.
- Receive executive-level direction, delegation or considerations. See Appendix F – Executive and Incident Commander Agreement Checklist.

### 2.2.2 Receive assignment – Oncoming IC

Receive assignment as Oncoming Incident Commander (relieving an incumbent Incident Commander). You may receive your assignment in many ways, via message, phone call, supervisor, or on orders. You should verify reporting location, date and time, as well as ICP contact numbers for assistance with reporting.

- Finalize personal readiness for assignment
  - Review the pre-assignment check list to ensure readiness for assignment which includes personal, dependent, and financial readiness.
  - Notify your chain of command of any outstanding readiness issues. This may mean delaying deployment to resolve the issue.
- Does this expected assignment position require special authority? See Appendix F – Executive

## and Incident Commander Agreement Checklist and Appendix G – Example Delegation of Authority Memos

### 2.2.3 Receive Travel Orders

- A written resource order will be issued by the Texas Interagency Coordination Center (TICC) competent authority is required for reimbursement of travel expenses. You may begin traveling under oral orders, but make sure you as, Team leader get the written resource order as soon as possible.

### 2.2.4 Verify/update personal deployment kit

Is there special PPE or special weather clothing required?

### 2.2.5 Verify/update Incident Commander deployment kit

- Is there special equipment or special manuals/references required?

## **2.3 Initial Actions Upon Arrival**

Initial actions upon arrival has two different paths: Responding as the Initial IC (2.3.1) or as oncoming IC relieving the Initial IC (2.3.2)

### **2.3.1 Initial IC Actions**

2.3.1.1 Initial IC Step A: Conduct an on-scene operations risk management evaluation.

- Verify and validate information from the notification phase.
- Confirm injuries, fatalities, and threats to public and responders.
- Verify existing responder support services.
- Confirm exclusion, hazard and safety zones; evacuation areas; and places of safe refuge.
- Provide direction as necessary to minimize risks to responders and the public.
- Consider assigning a Safety Officer to the incident.
- Continue building the ICS 201.

2.3.1.2 Initial IC Step B: Identify and implement initial priorities and objectives and conduct resource needs assessment.

- Determine additional risks: security, weather, unstable situation, etc. Review contingency plans.
- Determine initial response Area of Responsibility.
- Identify primary factors that may cause rapid incident escalation or significant change.
- Identify at-risk locations and populations.
- Develop or update initial incident priorities.
- Develop or update initial incident objectives.
- Conduct a needs analysis by reviewing objectives and identifying resource shortfalls. Consider tactical resources, incident management team personnel, incident facilities, etc. Also consider escalation potential and other contingencies or “what if” possibilities.
- Continue building the ICS 201.

2.3.1.3 Initial IC Step C: Evaluate, organize, deploy and lead on-scene resources.

- Establish incident command, organize existing on-scene resources to address objectives. Determine need for additional ICS Command and General Staff positions.

- Communicate priorities and objectives to responders; update as conditions change.
- Order resources to fill gaps identified in needs analysis.
- Ensure effective communications exist between on-scene operational resources and the Incident Command Post (ICP).
- Examine span of control and sub-divide operations organization into manageable work units (divisions and groups).
- Evaluate support requirements, and obtain as needed.
- Deploy response resources to protect sensitive areas such as environmental, historical, cultural, and critical infrastructure.
- Ensure scene integrity and evidence protection (as required).
- Document decisions and actions. Communicate them to incident personnel.
- Coordinate with other response entities such as EOCs and Command Centers and ensure that roles and responsibilities are clear.
- Evaluate need to expand / contract response and/or pass IC to a person of greater jurisdictional authority and resource capability. (see Appendix L – Command Considerations for Shifting From An ICS 201 to developing an IAP)

#### 2.3.1.4 Initial IC Step D: Evaluate and Manage incident personnel.

- Examine forecasts, predictions, models, and THSP products. Consider whether incident is still escalating, is stable, is contracting, or is likely to change characteristics. Determine initial incident type (Type 1, 2, 3, 4, or 5).
- Determine most probable incident duration and consider extent of work hours or shifts (whether 24 hour or daylight only). Also consider hours of operation for support aspects of the response organization like the Joint Information Center (JIC) or Command and General Staff.
- Determine potential cross-jurisdictional issues and the need for Unified Command.
- Determine capacity of the existing response structure to manage demands for the most probable duration of the incident, and to address secondary impacts and site-specific emergencies.
- Evaluate need to expand/contract ICS organization and/or to pass IC to a person of greater jurisdictional authority, experience, and resource capability.

## 2.3.2 Initial Actions of the **Oncoming Incident Commander**

Initial Actions of the Oncoming Incident Commander (who will be relieving the incumbent Incident Commander)

### 2.3.2.1 Check-in on the ICS 211:

Upon arrival at the incident, check-in at the Incident Command Post, Base, or Staging Area on the ICS 211.

- Check In - Ensure you have your Order Number available. This enables the Check-in Recorder (CHKN) to validate your assignment to the incident quickly. The Order Number is generally in the following format:
  - Example: O-374 (O is for Overhead, and the 3 digit number is assigned by Logistics)
- The incident will want a number where you can be reached, your home base, how you got to the incident, as well as any additional qualifications you may have.

### 2.3.2.2 Check-in With Finance:

- Leave copy of resource orders or other travel documents with FSC or Admin Officer. Determine how often to turn time into FSC and start OF- 288 Emergency Firefighter Time Report.

### 2.3.2.3 Check-in With Logistics:

- Lodging assignment: The incident is responsible for ensuring you have adequate lodging, unless you are locally based. If the incident is small, Logistics may ask you to make your own arrangements, or they may have already contracted with a local hotel for incident personnel. Even if you have made your own arrangements, Logistics should still be tracking where personnel are housed.
- Meal schedule: The size, complexity and location of an incident will impact the availability of meals. On most AHIMT responses, meals are the responsibility of the individual. If meals are provided the incident generally tracks who got a meal and the individual is required to make the appropriate modification to their travel claim.

- Incident credentials: On some incidents, credentials (badges) are created for all assigned personnel. If the incident is creating credentials, you should receive them when you check-in.

## **2.4 Obtain Situation Assessment.**

### **2.4.1 Review the current ICS 201 and/or IAP**

The purpose of this task is to acquire additional background on the incident prior to starting your assignment.

Regardless of when you arrive at an incident, there is usually very little time for someone else to brief you.

You need to find out the Who, What, When, Where, Incident Organization, and Resources related to the incident.

### **2.4.2 What is the incident (SAR, oil/hazmat, LE, natural disaster, etc.)?**

This gives you an idea of the resources that Operations will probably be requesting.

### **2.4.3 Who are key players (Federal, State, local, industry)?**

This may give you some insight to establish incident objectives.

### **2.4.4 When did the incident take place?**

An incident changes character over time including; survival rates, weathering of oil, potential contaminants, vessel stability, etc.

#### 2.4.5 Where did the incident take place?

Do you know the Area of Responsibility (AOR)? If so, you have an advantage in knowing relationships, geography, local plans, etc. If not, you must spend some time getting to know the area. Also, what is the difference between the unit AOR and the incident AOR? Generally, there should be a difference.

#### 2.4.5 What is the incident organization?

You must know who is in your direct chain of command as well as other key players such as the other Incident Commander(s), Operations Section Chief (OSC), Planning Section Chief (PSC), Logistics Section Chief (LSC), Finance Section Chief (FSC), and Safety Officer (SOFR), if assigned.

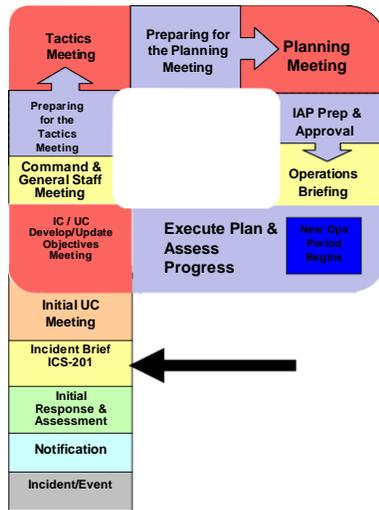
#### 2.4.6 When is the next meeting or briefing that should be attended?

Obtain a copy of the meetings and briefing schedule from the PSC, if developed.

#### 2.4.7 Have considerations have been made to move from the ICS 201 to an IAP?

See Appendix L – Command Considerations for Shifting From An ICS 201 to developing an IAP.

## 2.5 Incident Brief



Determine the need to hand over the position of IC to someone of greater authority or resource capability. The initial IC may have determined a need for a Unified Command and is therefore using the ICS 201 to conduct a briefing for new

personnel in the Unified Command.

The following tasks are broken into two paths – either the Off-going Initial IC or the Oncoming IC or UC and should be accomplished after checking-in to the incident.

### 2.5.1 Off-going IC completes the following Steps:

- Determine the time and location for the briefing. Prepare copies of the most up-to-date ICS 201 (or ICS 209) for new IC or UC and any others in attendance.
- Initial IC designates someone to manage on-scene operations while you are conducting this briefing.
- Determine who else should attend this briefing in addition to the new IC/UC.

- Prepare and use maps, charts and other visual aids to paint a picture of the situation.
- Using Appendix H – ICS 201 Briefing Checklist for Off-Going IC as a guide, organize your thoughts and conduct the briefing.

**2.5.2 Oncoming IC** or UC completes the following steps:

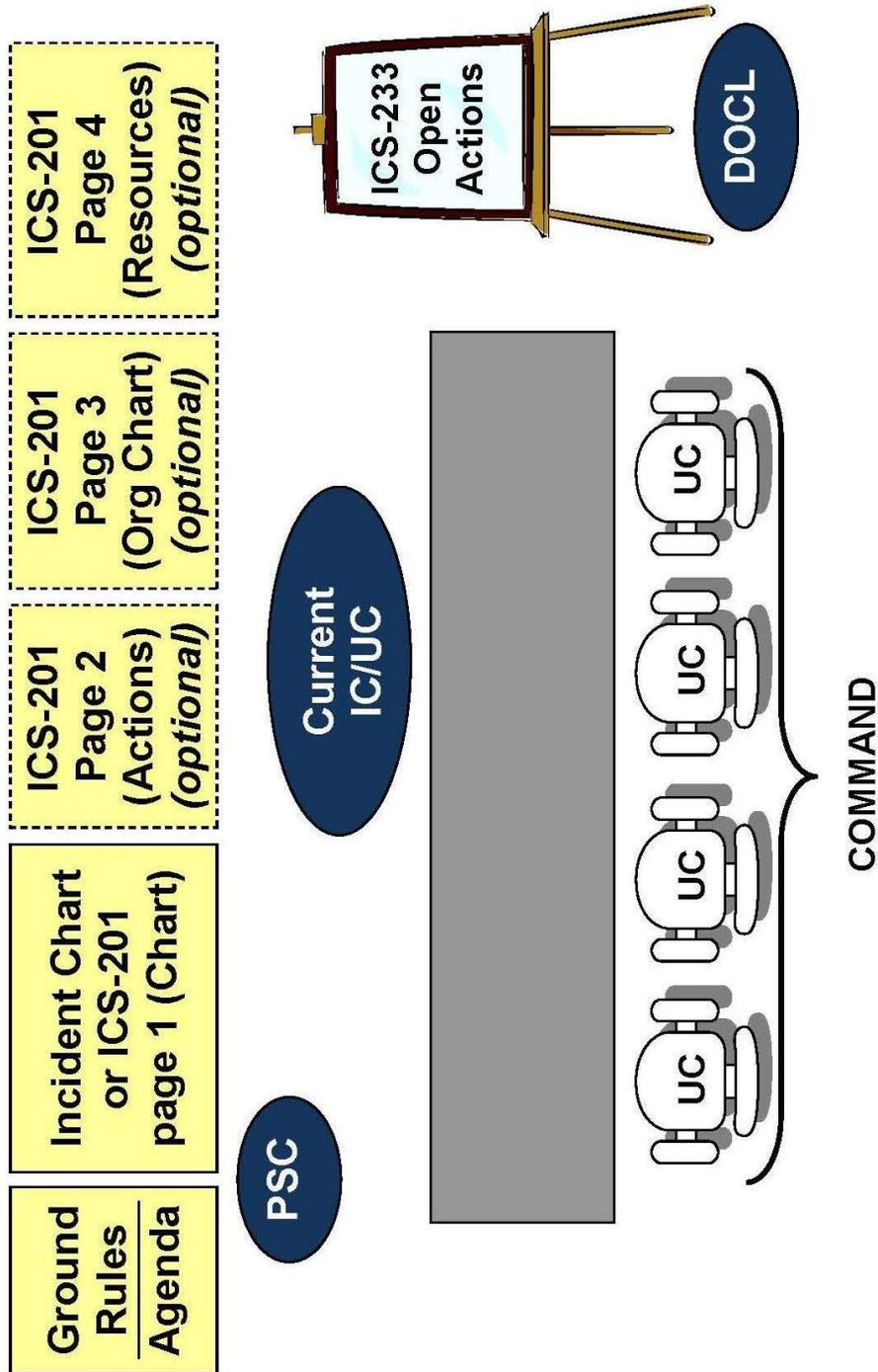
- Determine the best time and location for the briefing with the off-going IC.
- Communicate any expectations you may have of the person you are relieving.
- Using Appendix I – ICS 201 Briefing Checklist for On-Coming IC or UC as a guide, organize your thoughts and execute your part of the briefing.

**2.5.3 Transfer of command** takes place from the off-going IC to the new IC/UC.

- See Appendix E –Transfer of Command
- Oncoming IC/UC acknowledges effort of off-going IC (i.e. good job – if warranted).
- Oncoming IC/UC may assign off-going IC to a new position if it is still early in the incident. Most often, this position is the Operations Section Chief to help maintain continuity with field personnel.

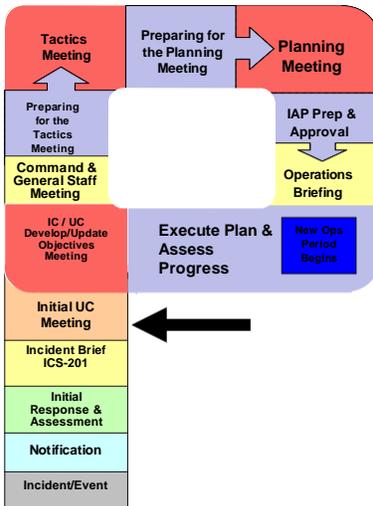
- New IC/UC formally announces assumption of command and provides any direction necessary. Provide interim direction to responders as needed to ensure clarity and communication between Command and all other elements of the response organization.

### ICS-201 Briefing Layout



## 2.6 The Incident Commander and the ICS Operational Planning Process

### 2.6.1 Initial Unified Command Meeting



This meeting is for assembling the Unified Command, identifying jurisdictional roles, responsibilities, limitations, setting incident priorities and building the response organization. The Planning Section Chief facilitates this meeting if available.

- Ensure the UC room is properly outfitted.
- Ensure IC/UC support personnel are available.
  - Assistant Documentation Unit Leader or Documentation Specialist for recording key decisions and actions by the UC and writing decision memos
  - UC Administrative Specialist to act as an aide to support the UC,
  - UC phone watch, to answer and screen all incoming phone calls.
- Validate makeup of the UC. Ensure UC composition is documented. See Appendix D – The Unified Command for more information.

- UC members identify and clarify roles and responsibilities including jurisdictional responsibilities and individual agency policies. If needed, see Appendix F – Executive and Incident Commander Agreement Checklist.
- Agree on UC Area of Responsibility (AOR).
- Decide on UC Operating Procedures:
  - Spokesperson(s) at meetings and briefings
  - Process for resolving disagreements.
  - Staff product review & approval processes
  - See Chapter 4 of the IMH for examples
- Make critical/key decisions with high immediacy (i.e. close waterway). Summon appropriate persons to execute the most time-critical decisions. Other key decisions that may be discussed include:
  - Name of the Incident
  - Location of Incident Command Post
  - Location of other support facilities
  - See chapter 4 of IMH for more examples.
- Define the operational period. Typically 12 or 24 hour operational periods are suggested depending on the incident characteristics and the ability of the IMT to develop an effective IAP. 12-hour operational periods should be reserved only for the most experienced and appropriately

staffed management teams. As the response stabilizes, even longer operational periods may be advisable.

- Determine work shifts in the operational period and hours of operation for IMT.
- Identify best qualified Operations Section Chief (OSC) and deputy(s). Identify personnel for other Command and General Staff positions.
- Agree on other technical support and specialists as needed.
- Decide on the Operations and Situation Unit briefing schedule (1, 2, 3 hour intervals). Notify OSC/SITL of next briefing (use Documentation Specialist). Notify OSC and SITL of next Briefing.
- Consider documenting on ICS 202A Command Decisions form (see Appendix O - Example ICS 202A Command Direction).
- Begin documenting incident Critical Information Requirements (CIRs) on ICS 202B.

- Consider need to assign an Information management specialist to the Situation Unit, Deputy Planning Section Chief for information management or Deputy Incident Commander for Information management to manage information management processes.
- Establish a policy for release of information to media, stakeholders, and agencies.
- Assess the ability of the current organization to move from reactive response operations to proactive response management, and assess their ability to produce an effective IAP.

*Note: ICS Technical Specialists can help facilitate the Unified Command to move the meetings along and keep them on schedule!*

*Deputy ICs can also perform this role and also provide the added advantage ensuring compliance with ICS processes at all levels.*



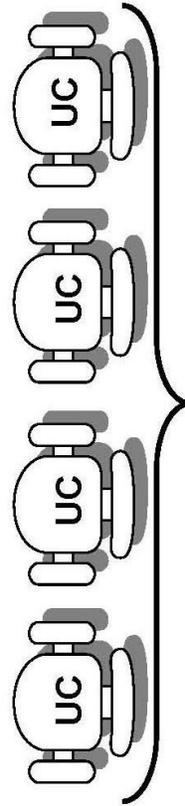
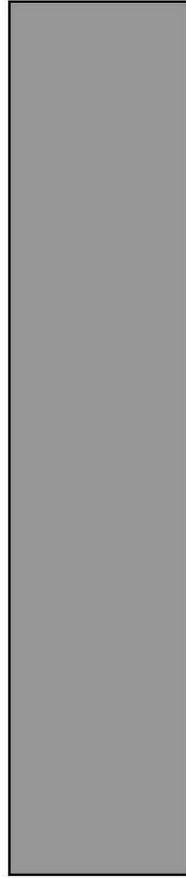
# IC/UC Objectives Meeting

## ICS-201 Briefing Layout



PSC

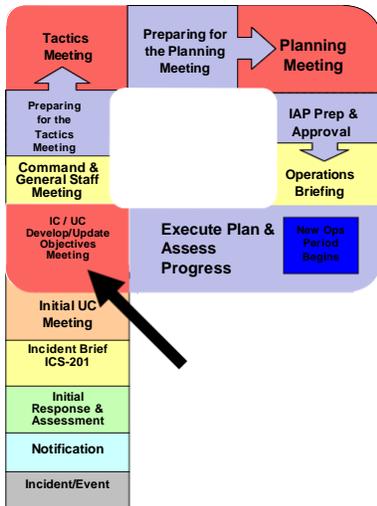
Current IC/UC



COMMAND



## 2.6.2 IC/UC Develop/Update Objectives Meeting



response priorities, constraints, and incident objectives. For reoccurring meetings, objectives are reviewed and revised as needed. The Planning Section Chief facilitates this meeting and may present draft objectives for IC/UC consideration.

- Review or Establish and agree on response priorities. Use the ICS 201 as a starting point. Example priorities can be found in Chapter 4 of the IMH. Arrange all priorities in order of importance and document on the ICS 202A
- Identify or review incident limitations and constraints. Examples can be found in Chapter 4 of the IMH. Arrange in order of importance and document on the ICS 202A.
- From the list of priorities and using the ICS 201 form developed earlier, begin developing objectives for the next operational period then Prioritize objectives. Example objectives can be found in Chapter 4 of the IMH. Document on the ICS 202 (see Appendix N – Example ICS 202 Incident Objectives).

- Review and/or update Key Decisions. Ensure documented on the ICS 202A.
- Review or Discuss and agree on processes to be followed such as: resource ordering, cost accounting, operational security and sensitive information. Example processes can be found in Chapter 4 of the IMH. Document on the ICS 202A.
- Identify or update Incident Management Team Operating Procedures. The development of these procedures should be tasked out to the appropriate Command and General Staff element Examples include:
  - Secure information handling
  - Intelligence management procedures
  - Press release clearance and review procedures
  - Resource ordering review and clearance procedures
  - Interagency cost tracking
  - Information management flow
  - Human relations infraction handling procedures.
  - Accident reporting and documentation procedures.

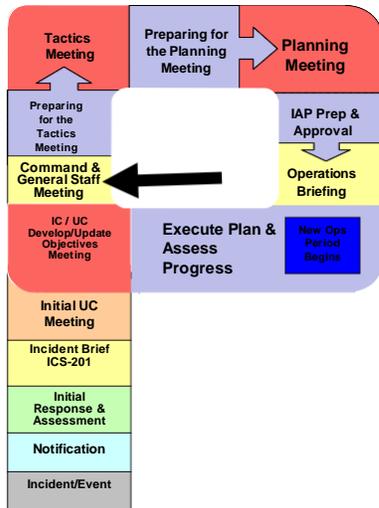
- Review/Update/Develop Critical Information Requirements (CIRs) and document on ICS 202B (see Appendix P - Example ICS 202B Critical Information Requirements). Examples can be found in Chapter 4 of the IMH.
- Agree on division of UC Workload. For example; press briefings, agency briefings, etc.
- Review priorities, constraints, decisions, critical information requirements and objectives in preparation for the Command and General Staff meeting.
- Decide on sharing UC tasks for the upcoming Command and General Staff Meeting.

Note: *It is beyond the scope of this Job Aid to train Incident Commanders on how to draft priorities, limitations and constraints, objectives, decisions, and critical information requirements.*

*Samples of these are found in the Coast Guard Incident Management Handbook and ICs are encouraged to use them.*

*Nevertheless, always keep in mind that these are crucial Unified Command directives that steer the operation toward addressing an incident priority, without describing what specific resources and actions are needed. **Always keep the primary user, the Command and General Staff, in mind!***

### 2.6.3 Command and General Staff Meeting



The IC/UC presents priorities, limitations and constraints, objectives, decisions and critical information requirements to the Command and General Staff. This is sometimes called a “Strategy Meeting” or “Employment Meeting.” The IC/UC also uses this time

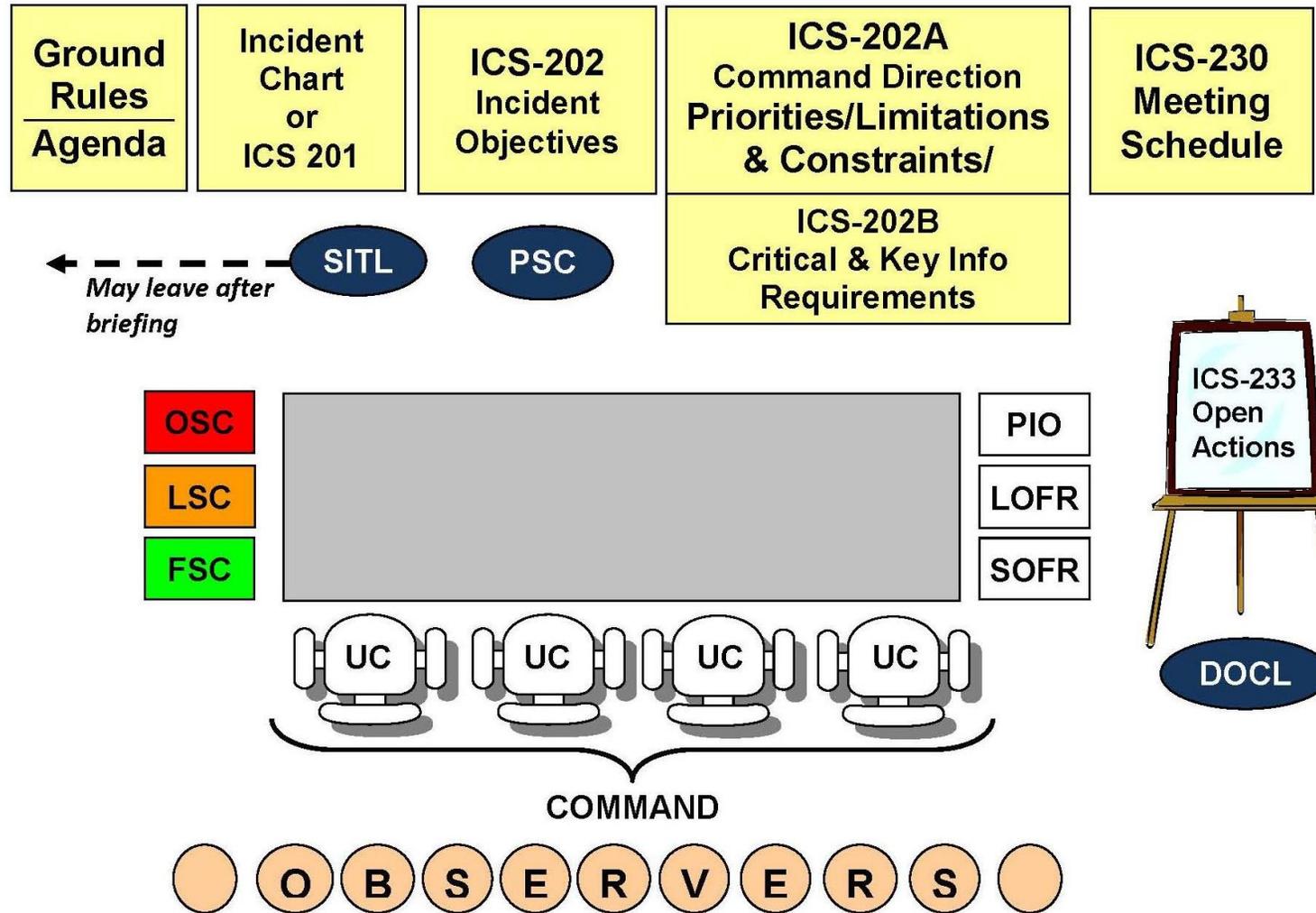
segment to provide the staff with general direction, receive feedback, and ensure effective coordination among the team and to ensure the support elements of the organization are fully functional and supporting the operational activities effectively. Command needs to ensure their staff comes away from this meeting clearly understanding the direction, tasking, and their authority in performing their staff functions. The Planning Section Chief facilitates this meeting and documents information as necessary.

- Following the opening of the meeting by Planning Section Chief, UC members should introduce themselves.
- Following the Situation Unit Leader brief, the IC/UC should provide opening remarks. Emphasize safety and teamwork.
- Command reviews key decisions.
- Command reviews Incident Priorities (ICS 202).
- Command reviews Limitations and Constraints (ICS 202)
- Command reviews Incident Objectives (ICS 202). Solicit questions from the Command and General Staff. Verify they understand and begin planning for the support aspect of these objectives.
- Command reviews IMT Operating Procedures.
- Command reviews Critical Information Requirements (ICS 202B).
- Command reviews staffing of ICS positions if not communicated earlier.

- PSC should facilitate open discussion to clarify priorities, objectives, assignments, concerns and open actions/tasks.
- Command provides closing remarks. Consider thanking the team for their hard work.

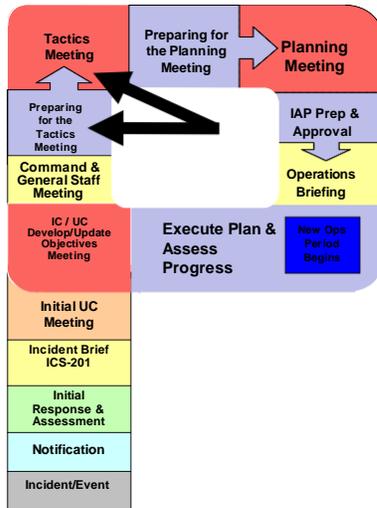
*Note: Command manages the incident management team or staff, and the team or staff manages the incident. Especially at the very first Command and General Staff meeting, you must ensure they have a solid grasp of what you expect, how they should coordinate with and support each other, and what their authorities are. Following meetings will likely take less time than the first, but are no less important for you to ensure the staff remains clearly focused, cooperative with each other, and supportive of the effort.*

# Command and General Staff Meeting Layout





## 2.6.4 During the “Preparing for the Tactics Meeting” and the “Tactics Meeting” period of time



allows the Incident Management Team to begin formulating the Incident Action Plan. During this time, Command can complete any unfinished business from the previous meetings and begin addressing any new challenges. Command does not attend the

Tactics meeting.

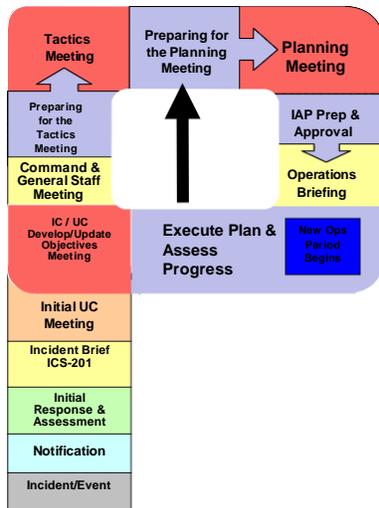
- Complete any unfinished actions from previous meetings.
- Discuss legal issues, documentation control, and handling of investigation information.
- Consider briefing other incident entities. Make a list of entities that may require Unified Command briefings (i.e. State EOCs, Principal Federal Official, Mayor's/Governors Office, etc.). Develop briefing schedule for today and future days where recurring briefings are required.
- Consider touring the incident scene if safe via boat, aircraft or automobile. If unable to do so, schedule a trip in the near future.

- Consider walking around the ICP spaces to gauge intensity and control of the incident. Provide encouraging remarks to ICP personnel along the way.
- Consider scheduling a press briefing or requesting the Public Information Officer to develop press releases. Use this time to prepare for the briefing. See 2.8.1 Press Conference Preparation and Appendix S – Speaker Preparation Worksheet
- Schedule Technical Specialists briefings: i.e. salvage, chemical hazards, wildlife impact, human health impact assessment, Law Enforcement options, etc.
- Discuss potential emergencies within the incident and contingency plans that may be required. Communicate these planning needs to the Planning Section Chief.
- Review other plans that may be required for the incident. For example:
  - Information Management Plan
  - Traffic Control Plan
  - Security Plans
  - Specific Cleanup or Removal Plans
  - Disposal Plan
  - Wildlife Recovery and Rehabilitation Plan

- Infrastructure Protection and/or Recovery Plan
- Sampling Plan
- Transition Plan
- Discuss funding: sources, limits of liability, cost-sharing, and cost tracking.
- Consider drafting and signing decision memos and position papers as necessary to assure the IC/UC contribution to the incident historical record.
- Discuss collection of lessons learned and debrief procedures.
- Continue to review and update as necessary the objectives (ICS 202), decisions, priorities (ICS 202A), critical information requirements (ICS 202B).
- Review documents, other than the IAP, requiring UC approval. Examples of these include press releases and ICS 209 Form\*.
- Provide performance feedback to staff.

*Note: ICS 209 Form\*: The ICS 209 Form is a very valuable form for summarizing incident status and progress. The information within can be used for briefing stakeholders. The UC should consider having the form updated and reviewed daily.*

## 2.6.5 Preparing for the Planning Meeting period of time



The UC prepares for the planning meeting, where the Planning Section Chief will seek verbal approval to complete the Incident Action Plan. The Unified Command should meet between 30 minutes and 1 hour before the Planning Meeting to

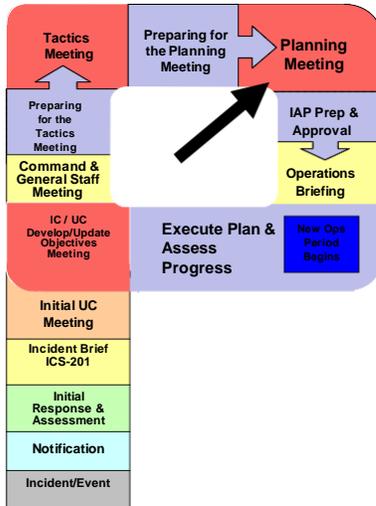
- Review and update as needed command direction:
  - Incident priorities (ICS 202A).
  - Incident objectives (ICS 202),
  - Decisions, Constraints and Limitations (ICS 202A),
  - Critical Information Requirements (ICS 202B) and
- Decide how much time the IC/UC will need for reviewing the IAP prior to publication time.\* If possible, communicate this before the Planning Meeting to the PSC. If not, be prepared to vocalize at the Planning Meeting.

- Decide which UC members will speak to the Decisions, Priorities, Open Actions, Constraints, Critical Information Requirements and Objectives. The teamwork approach is always preferable to using a single spokesperson.
- Check with the OSC on how current operations are going and what concerns there might be for future operations.
- Meet with other Command and General Staff to get a sense of how things are going.

Note: \***Estimated Time Needed for Reviewing the IAP**: *The quality of the IAP will depend largely on the experience of the Incident Management Team. For the more experienced team, the UC should allow 1 hour for review, for less experienced, 1.5 to 2 hours. This time is used to determine how much time in advance of the Operations Briefing the IC/UC will need the plan for review.*



## 2.6.6 Planning Meeting



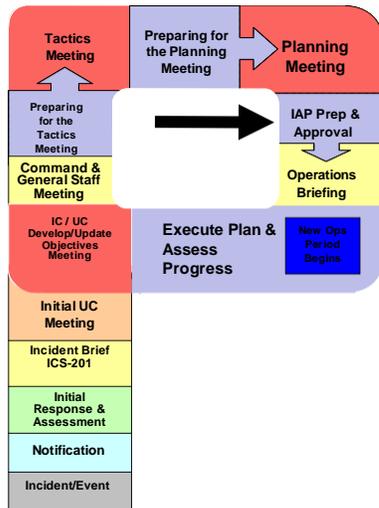
This meeting provides an overview of the tactical plan to achieve the Unified Command's direction, priorities and objectives with all of the Command and General staff present. Command should provide a verbal approval of the plan as presented during this meeting.

- Examine the meeting room displays, setup and level of detail to gather a sense of how well your staff is handling the incident.
- Following the Planning Chief's opening of the meeting the UC should provide opening remarks. Emphasizing safety and teamwork is always beneficial.
- Listen carefully at the situation briefing to ensure incident priorities are being addressed.
- Following the PSC's review of IC/UC objectives, priorities and decisions, add new information as necessary.
- During the Operations Section Chief's discussion of tactics, listen carefully to ensure IC/UC objectives are being addressed. Ask questions as needed to ensure each member

of the UC has a solid grasp of the proposed plan. Avoid micro-management, yet ensure the OSC and staff have addressed the details needed to execute and effectively support the plan. Ensure that the Operations Section is adequate. Ensure the OSC has considered alternatives and contingencies, and the proposed plan is considered safe for responders and the public by the Safety Officer.

- When asked to provide approval of the plan by the PSC, each member of the Unified Command should agree or provide any input necessary for the satisfaction of all UC members.
- Prior to closing the meeting, the IC/UC should reemphasize the time they need to conduct an adequate review of the IAP, so they may receive the IAP well in advance of the Operations Briefing.

## 2.6.7 IAP Preparation and Approval



The Incident Action Plan is prepared, submitted to the Unified Command for approval. Once approved it is reproduced and distributed to supervisory personnel.

- The IC/UC should always be accessible to the IAP development team to provide clarification for the IAP.
- The UC should determine how to review and approve the IAP jointly. They should then communicate their requirements to the PSC.
- Command should inform the PSC if they will require any additional support during the review process, such as a THSP to answer questions.
- Prior to reviewing the IAP, Command should obtain copies of the ICS 215, and any other supporting information presented during the Planning Meeting.
- Command should use Appendix R – Incident Action Plan Review Checklist for conducting their review and approval.

*Note: **Reviewing the IAP**: The primary objective is to ensure that the IAP covers what was presented at the planning meeting. IC/UCs may want to get a paper copy of ICS form 215 and other documentation to help ensure this is the case. **The ultimate test of the IAP is whether it will stand the test of legal, public and congressional scrutiny.***

## 2.6.8 Operational Briefing



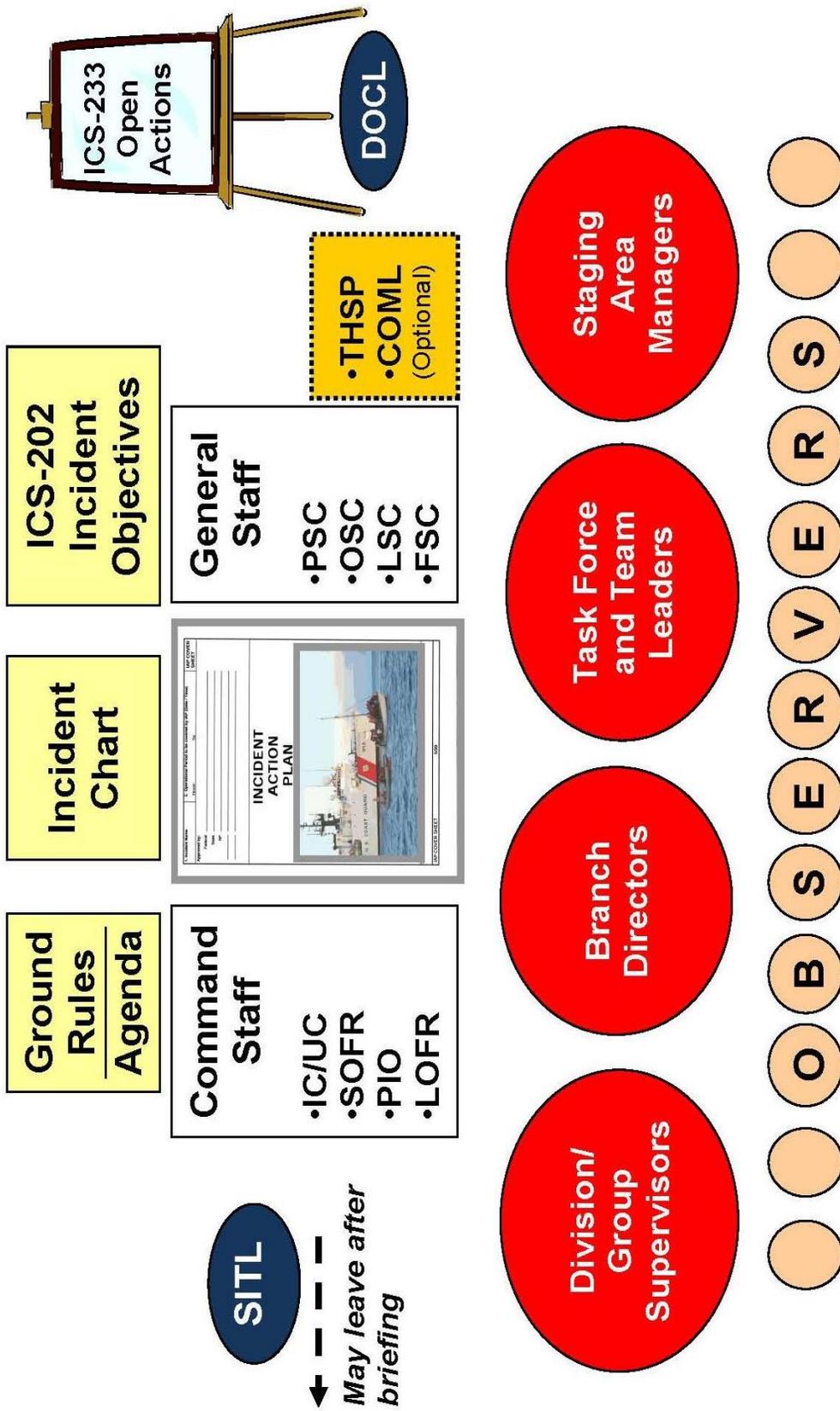
This 30-minute or less briefing presents the Incident Action Plan to the Operations Section supervisory personnel. This plan is the culmination of extensive staff effort and the Operations Brief is the time it will be briefed to the people who will execute the work.

- This meeting is often the only direct contact many of the Operations Section personnel will have with the IMT. Your team should make a positive impression and convey professionalism. Prior to this meeting, the UC should communicate any expectations they have of the staff to the PSC, such as uniforms, staff positioning, points to emphasize, and use of displays.
- Command must provide a leadership presence during this meeting.
- After the PSC cues the IC/UC for opening remarks, ensure all the UC are introduced. Discuss important UC priorities. Provide overall guidance and continue to emphasize safety and teamwork. Ensure all members of the IC/UC are invited to comment. Some IC/UC's develop

incident watchwords, such as "Safety, Vigilance, and Teamwork."

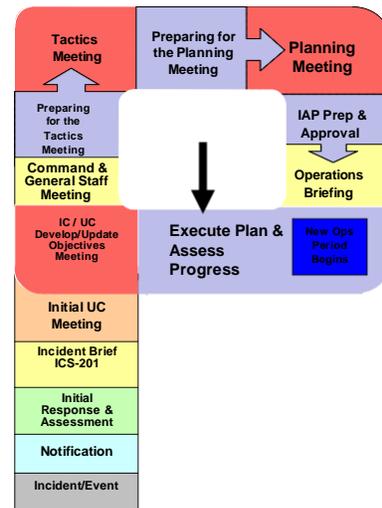
- Convey your support of the plan and communicate any expectations you have in terms of implementation.
- The UC should listen closely to ensure nothing important is overlooked.

# Operations Briefing Layout



## 2.6.9 Execute Plan and Assess Progress

During this phase the IC/UC is monitoring operations closely to ensure their Incident Action Plan is being carried out, is well supported, and changes are being made as needed.



- UC continues to receive

Operations and Situation and monitors field activities to ensure compliance with the IAP.

- Consider an overflight, boat tour or vehicle recon of the incident to assess progress.
- Tour the ICP and gauge progress and effectiveness by talking with members on the Incident Management Team. Provide words of encouragement and thanks.
- Review outstanding actions required by the UC and consider those actions outlined in the “Preparing for and Conducting the Tactics Meeting” section.
- Continually evaluate IMT effectiveness. See 2.7 Effective and Efficient ICS Organization, Appendix T – IMT Evaluation Checklist and Chapter 4 of IMH for “Best Response” criteria.
- Prepare for IC/UC Objectives Meeting.

## **2.7 Effective and Efficient ICS Organization**

### **2.7.1 Determine Staffing requirements.**

USCG IMH Organizational Guides found in Chapter 12 are helpful in establishing a baseline staffing requirement. Keep in mind the recommendations are based on 12 hour work schedules and may need to be doubled for round the clock response.

Determine optimal assignment for incident personnel already on scene and develop resource requests to fill gaps and projected IMT needs.

- If the ICS 201 is complete and available, you can determine the assignment and status of personnel already on-scene. This can be done by reviewing the Current Organization (ICS 201 pg.3), Resource Summary (ICS 201 pg.4). The resource summary will provide you with the details of personnel qualifications.
- If the ICS 201 is not complete obtain your information from the IC, check-in lists, organization charts and personal observations.
- Assign on-scene personnel based on availability and qualifications as determined in Steps 1 & 2 above.

- Determine IMT staffing needs considering incident response activities, command expectations, support needs of the Command and General Staff and Operational Planning Process needs.
- Order staff and materials necessary to establish and effectively execute necessary IMT functions. (ICS 213RR-CG)

Additional Personnel Considerations derived from actual experience on real incidents and events.

### **2.7.1.1 Deputy Incident Commander(s) – DIC**

DIC's can be utilized in many different ways, and can be invaluable to multiplying the IC's efforts in effectively managing responsibilities. DIC's should be fully qualified as an IC. They may specialize and can support specific aspects of the overall planning effort. DIC's may also be used to manage and/or lead extended or round-the-clock IMT activities.

### **2.7.1.2 ICS Facilitator or Coach**

Not all response agency personnel are at the same level of ICS training. Consequently in order to level the playing field, an ICS facilitator can be used. The advantage of an ICS facilitator is that they can guide the IC through the ICS operational

planning process. They also may serve as an impartial facilitator in order to promote agreement throughout the IAP development process. One other beneficial activity of having an ICS facilitator is to be able to prioritize the Incident Commander's time, activities, and other demands. An ICS facilitator will be able to discern whether such demands are a priority and if they are worth delaying the operational planning process. The ICS facilitator can also assist the IC with the IAP documents.

### **2.7.1.3 Technical Specialists**

In today's complex world of "All Risk / All Hazard ICS" it is the rare person that can effectively manage all of the detailed technical aspects of the major response effort. It is highly encouraged of IC's to include Technical Specialists (THSP) on their staff to better ensure success. These THSP's are particularly valuable for helping to conduct briefings, in the development and approval of operation plans, as well as in overseeing the implementation of those same plans. These THSP's can be placed anywhere within the organization, at any time in order to maximize the benefit of their expertise. Consider these people to be your subject matter experts for a particular aspect of a response effort.

## 2.7.2 Establish Work Location

Ensure adequate work space for the number of personnel and equipment expected including the possibility for expansion. A rough guide to space needs can be found on the ICS 235.

The following are items to consider when planning out section workspace. This is not an all inclusive list:

### 2.7.2.1 Tables

Tables should have enough room to seat all the members of the IMT working within the ICP, and allow ample room for their equipment such as computers, printers, phones, etc. There should also be tables set aside for laying out drawings, charts, or other large papers needed for plan development and operational planning discussions. Also ensure there is adequate space for any Technical Specialists working within the Planning Section.

### 2.7.2.2 Easels and Wall Space for Posting Work Products

The room should include wall space for hanging charts, maps, photos, and poster-size paper for IMT members to develop and review their written products. An easel should be available with poster size paper (preferably the self-stick variety)

with multi-colored markers. This does not replace the Situation Displays, but is simply enough room for working drafts and poster sized products in development.

### 2.7.2.3 Phones

A conference call or speaker phone should be accessible in the IMT space that is large enough to allow multiple people to hear and use.

All calls going into the IMT space should be filtered by a phone watch stander, therefore, it might be preferable to have a second phone in the space for a watch stander to answer, but have the capability of transferring the call to the conference phone if necessary.

### 2.7.3 Acquire work materials.

Acquire the appropriate equipment and consumable materials/ supplies as listed in Appendix B – Incident Commander Deployment Kit).

- Submit Resource Request (ICS 213-RR) in accordance with incident resource request process

## 2.7.4 Supervise the Organization

Below is a brief checklist to assist in achieving overall effectiveness and efficiency of the organization. See also Appendix T – IMT Evaluation Checklist for more information. The best way to accomplish this is through continual interactions with functional areas of your staff.

- Observe operations tempo of Command and General Staff. If the section is overwhelmed, consider the following:
  - Span of Control variations
  - Need for Deputies and/or Assistants
  - Need for new Unit, Group or Branch
- Observe information flow patterns. Ensure information is flowing continuously between units and sections. One key measure is the accuracy of the Situation and Resource Status boards and whether Operations is using them effectively:

For information flow deficiencies consider the following:

  - More field observers to collect information
  - Recommend more or better communications equipment
  - Consider development of an Information Management Plan (see information management job aid)

- Recommend more information collection staff within the ICP (watchstanders)
- The response environment must be a respectful one. Inappropriate behavior and human relations violations cannot be tolerated.
  - Tour field locations and the ICP to gauge response climate and recommend preventative measures where necessary.
  - Consider adding an HR Tech Spec to the Planning Staff.
  - UC should agree on disciplinary steps to take in the event of violations.
  - Continually emphasize respect at meetings.
- Ensure responder mental health is a priority. Conduct field and ICP tours to measure mental health. Consider the following actions to address mental well-being:
  - Ensure fatigued members are relieved.
  - Consider adding a Critical Incident Stress Manager as a Technical Specialist for the incident.
  - Consider implementing a responder reward and recognition program to keep morale up (coins, prizes etc.).
  - Take VIPs and dignitaries around to meet field responders and ICP personnel.
- Identify and correct systemic problems.

### 2.7.5 Evaluate individual personnel performance

- Provide feedback and/or corrective actions to subordinates
- Use ICS 225-CG Incident Personnel Performance Rating (see Appendix U – ICS 225 Individual Personnel Performance Rating)
- Submit unit/personnel for recognition

### 2.7.6 Give feedback on IMT Products

- Evaluate the quality of IMT products (documents, displays, briefings, meeting/process management, status tools, projections, etc.)
- Ensure IMT members have adequate materials, supplies, and work environment to perform their functions effectively
- Assess how well IMT products are being received and/or used by other response team members
- Determine how well the IAP is being implemented, and if any additional information is needed.

## 2.8 Other IC/UC Activities

### 2.8.1 Press Conference Preparation

Prepare for holding a press conference by having the Information Officer develop the necessary briefing materials or by completing Appendix S – Speaker Preparation Worksheet.

- Develop a statement of commitment, empathy or concern to use as an introduction. Put yourself into the shoes of your audience and address what they are most concerned with.

*Example: “As you know we are faced with a challenging safety, environmental, economic event. All the involved agencies, under the coordination of the U.S. Coast Guard are committed to working together to expeditiously resolve this incident. Public safety for both the local citizens as well as the responders .....*”

**NOTE:** From this point on, sentences should be short - 7 to 12 words in length.

- Prepare one to three key messages you want to address. Use the messages as a bridge between step one and the body of your statement.

*Example: “We are “rescuing the survivors” or “removing oil from the environment”.*

- Repeat above step for other key messages you developed.
- Now bridge the body of your statement to your conclusion – repeat your one to three key messages again.
- State future actions as a conclusion

### 2.8.2 Coordinate with Stakeholders

The Liaison Officer can assist the Incident Commander with coordinating with stakeholders. Effective stakeholder outreach and coordination are one of the “Best Response” criteria for an effective response (see Chapter 4 of IMH).

## 2.9 Demobilization

There are many command considerations as the incident phases down and resources and personnel demobilize. See Appendix V – Command Considerations During Demobilization/Close Out

### 2.9.1 Review and approve the demobilization plan

- Resources and personnel ready for demobilization are determined by time on scene, statutory limitations, etc.
- Ensure Demobilization Plan addresses IC/UC and inter-agency/stakeholder issues.

### 2.9.2 Ensure efficient demobilization of IMT

- Identify resources and personnel ready for demobilization and when determined, demobilize in accordance with plan
- Evaluate and recognize personnel (e.g. ICS 225 & personal awards)
- Ensure final turnover/disposition of documentation
- Turn in equipment and supplies as appropriate
- Provide Supply Unit Leader with a list of supplies to be replenished
  - Consumables
  - Equipment (computers, radios, GPS, etc.)

## Appendices

### Appendix A – Personal Deployment Kit

	Uniforms appropriate for the response including appropriate footwear
	Update your family emergency plan (see <a href="http://www.ready.gov">www.ready.gov</a> for details)
	Emergency contact information
	Dependent care plan (i.e. wills, powers of attorney, etc.)
	Sufficient medications and/or medical supplies for 60 days
	Pet care plan if applicable
	Power supply and/or chargers for personal communication equipment (i.e. computers, cell phones, etc.)

## Appendix B – Incident Commander Deployment Kit

	ITEM	QTY
	Binder Clips, large	5
	Binder Clip, medium	5
	Calculator, battery powered	1
	Dry Erase Markers, multiple colors	1 Set
	Dry Erase “Eraser”	1
	Envelopes, internal routing (pad)	1
	Extension Cord	1
	Incident Management Handbook	1
	IC Job Aid	1
	ICS Forms, in expandable pocketed folder ( <i>inventory on folder</i> )	1
	Paper Clips, large (box)	1
	Paper Clips, small (box)	1
	Paper, lined, pad (8x11 or 8 x14)	2
	Pens	4
	Pencils (lead or mechanical)	2
	Pocket MEMO-booklets	1
	Post-Its, large (pads)	1
	Post-Its, medium/small (pads)	1
	Record Book (5x7 or 8x11)	1
	Routing Slips, internal (pad)	1
	Ruler (12 or 18 inch)	1

	Scissors	1
	Staples (box)	1
	Staple Remover	1
	Stapler	1
	Tape, Scotch, DISPENSER	1
	Tape, Scotch (rolls)	1
	Tape – Masking / Packing	1

### Appendix C – IC/UC Functional Interactions

Inputs/Outputs: Below is an input/output matrix to assist the IC/UC with obtaining information from other ICS positions and providing information to ICS positions.

<b>MEET With:</b>	<b>WHEN:</b>	<b>IC OBTAINS:</b>	<b>IC PROVIDES:</b>
Initial IC	Upon arrival	ICS 201 brief	Next Assignment
Other Unified Commanders.	Check-in brief	Commitment for: equipment, funding	ICS 201 brief
	ICS Meetings	Consensus on decision making	Cooperative leadership
Stakeholders	Various	Special concerns, expectations. Commitments for support.	Briefings on situation, progress and planned actions.
Trustees	Various	Identification of lead trustee. Pledge of cooperation with response.	Briefing on current situation cleanup strategy. Resource commitment.

---

Continued on Next Page

IC/UC Functional Interactions (cont)

<b>MEET With:</b>	<b>WHEN:</b>	<b>IC OBTAINS:</b>	<b>IC PROVIDES:</b>
Operations Section Chief	Check-in brief	Recommended strategies and tactics to meet the objectives.	ICS 201 information IC expectations Immediate response objectives.
	Planning Meeting	Briefings on: Strategies, Tactics, Resource needs, ICS 215 & Ops Facilities	Response objectives. Commitment.
	OPS Brief		Motivational remarks
Planning Section Chief	Check-in brief		ICS 201 information IC expectations
	Once each ops cycle		Response objectives for ICS 201 or IAP development
	Planning meeting	Briefs on: Overall situation & Alternate strategies	ICS 201/IAP approval
	As needed	Recommendation for ICS 201/IAP transition. Proposed resource demob list.	Approval
	OPS brief	Update on incident.	Motivational remarks

Continued on Next Page

IC/UC Functional Interactions (cont)

<b>MEET With:</b>	<b>WHEN:</b>	<b>IC OBTAINS:</b>	<b>IC PROVIDES:</b>
Logistics Section Chief	Check-in brief		ICS 201 information IC expectations
	Planning meeting	Briefs on: Communication, traffic, safety, medical, facilities, resources	Response objectives
	OPS brief		Motivational remarks
Finance/ Admin Section Chief	Check-in brief		ICS 201 information IC expectations
	Planning meeting		Response objectives
	OPS brief	Financial report	Motivational remarks
Liaison Officer	Check-in brief		ICS 201 information IC expectations
	Planning Meeting	Concerns and issues.	Response objectives Commitment
	Ops Brief		Motivational Remarks

Continued on Next Page

IC/UC Functional Interactions (cont)

<b>MEET With:</b>	<b>WHEN:</b>	<b>IC OBTAINS:</b>	<b>IC PROVIDES:</b>
Public Information Officer	Check-in brief	Media considerations regarding work plan	ICS 201 information IC expectations
	Planning Meeting	Media considerations	Response objectives Commitment
	As needed	Speaker preparations, briefings, releases.	Input needed to stem media interest.
	Ops Brief		Motivational Remarks
Safety Officer	Check-in brief		ICS 201 information IC expectations
	Planning Meeting	Safety concerns regarding IAP	ICS 201 Information IC expectations.
	Command/ Staff Meeting	Status of Safety Plan and measures	IC expectations and concerns.
	Ops Brief		Motivational remarks.
Documentation Unit Leader	Planning meeting	Feedback on state of documentation	Response objectives
	Command Staff Meetings		Policy on role and responsibilities.

Continued on Next Page

IC/UC Functional Interactions (cont)

<b>MEET With:</b>	<b>WHEN:</b>	<b>IC OBTAINS:</b>	<b>IC PROVIDES:</b>
Resources Unit Leader	Planning meeting	Brief on resources available	Response objectives
	Ops Brief		Motivational remarks
Situation Unit Leader	Planning meeting	Weather forecast Future projections for incident	Response objectives
	Ops Brief		Motivational remarks
Demobilization Unit Leader	Planning meeting	Demobilization Plan	Response objectives
Division/ Group Supervisors Task Force Leaders Strike team Leaders	OPS brief		Motivational remarks
Media	Press conference	Media concerns	Briefing on incident status and plans

## **Appendix D – The Unified Command**

### **The Unified Command**

#### What is Unified Command?

The Unified Command (UC) is an expansion of the ICS organization beyond a single Incident Commander. Many incidents involve several different functions and jurisdictions, for example; security, criminal apprehension, hazardous materials response, firefighting, evacuation, and search and rescue. Within the United States there are few Incident Commanders that have full functional jurisdiction, resource capability or expertise to cover all the response functions and geographical venues involved in a major incident.

The UC is a structure that brings together the “Incident Commanders” of all major organizations that have jurisdictional or functional responsibility, for the purposes of organizing and executing a coordinated response.

#### When is a Unified Command Needed?

The need for a UC arises when incidents:

- Cross geographic boundaries (e.g., two states, international borders, land vs. maritime);
- Involve various governmental levels (e.g., Federal, state, local,);

- Involved multiple functional responsibilities, not belonging to a single agency (e.g., Search and Rescue, fire, oil spill, EMS); or
- Some combination of the above.

### What is the Makeup of the Unified Command?

The UC is a team effort, but to be effective, the number of personnel should be kept as small as possible. Actual UC makeup for a specific incident will be determined on a case-by-case basis taking into account:

1. Specifics of the incident;
  2. Predetermination within existing response plans;
- or
3. Decision reached during the initial meeting of the UC.

The makeup of the UC may change as the incident changes, especially when new priorities and response functions arise.

To be considered as a member of the UC you should:

1. Have jurisdictional authority or functional responsibility under a law or ordinance for the incident; and,
2. The incident or response operations must have impact on your organization's Area Of Responsibility (AOR); and,

3. Be specifically charged by law or ordinance with commanding, coordinating or managing a major aspect of the incident response; and, **(this is a repeat of 1)**
4. Have the resources to support participation in the response organization;
5. Have full decision-making authority for the incident on behalf of your agency.

As a UC representative you must be able to:

- Agree on incident objectives and priorities;
- Have the capability to sustain a 24-hour-7-day-a-week commitment to the incident;
- Have the authority to commit agency or company resources to the incident;
- Have the authority to spend agency or company funds;
- Agree on an incident response organization;
- Agree on the appropriate Command and General Staff position assignments to ensure clear direction for on-scene tactical resources;
- Commit to speak with “one voice” through the Public Information Officer or Joint Information Center, if established;
- Agree on logistical support procedures; and
- Agree on cost-sharing procedures, as appropriate.

***It is important to note that you do not lose your jurisdictional authority when participating as a member of the Unified Command.***

### How does the Unified Command work?

The UC is responsible for the overall management of the incident. The UC directs incident responders toward completion of critical incident objectives that are key success elements of successful response.

The Unified Command brings the key decision makers of an incident together. Decisions are made by consensus. Because the Incident Commanders do not all have the same jurisdiction, authority, resources and expertise, the decision making process is not prolonged as seen in other venues where participants have equal background, responsibility and skill sets (Congressional Committees, Board of Trustees, Quality Action Workgroups). In this way, the UC is not a “decision by committee” entity.

Typically, the Incident Commanders will rely on the IC having the most jurisdiction, authority, expertise or resources during a particular time of the incident to take the lead on initiating or proposing a decision.

In cases where there is disagreement on a decision, the UC member representing the agency with the most jurisdictional responsibility would make the final decision. It is important to note that in many large incidents, the agency having most jurisdictional responsibility will change as the incident changes. The Incident Commanders certainly have one thing in common: they are there to command the response to an

incident. They also realize time is of the essence. Therefore, the UC should develop synergy and recognize the strength in marshalling the significant capabilities brought by the various representatives. There should be personal acknowledgement of each representative's unique capabilities. A cooperative attitude is absolutely essential. Also key is complete buy-in into the ICS process.

Uncooperative attitudes, unnecessary disagreements and lack of proper implementation of ICS can result in poor objectives and response direction. Failure to provide clear incident objectives and response direction means that the UC has failed. While the UC structure is an excellent vehicle (and the only nationally recognized vehicle) for coordination, cooperation, and communication, the duly authorized representatives must make the system work successfully. A strong Command – a single IC or UC – is essential to an effective response.

UC members must not get overwhelmed. Each UC member may assign Deputy Incident Commander(s) to assist in carrying out IC responsibilities. UC members may also be assigned individual legal and administrative support from their own organizations.

What if an agency is not represented in the UC but wants to be involved in the response effort?

Here is how to ensure an agency's concerns or issues can be addressed:

- Serve as an agency or company representative who has direct contact with the Liaison Officer (LOFR).
- Provide stakeholder input to the LOFR (for environmental, economic, social, or political issues).
- Serve as a Technical Specialist in the Planning Section.
- Provide input directly to a member of the UC.

### **The Importance of Setting up a Proper UC Room**

The Unified Command room is the space for the key decision makers for the incident. Therefore, the space must be designed to be conducive for making decisions. It needs to be quiet and free of interruptions and distractions that detract from the UC's ability to make decisions. It is for this reason that the UC space needs to have sufficient staff assistance and supplies to enable the UC members to make focused decisions.

**PERSONNEL:**

Unified Command personnel can become easily overwhelmed by all the many administrative and documentation tasks required within the UC spaces. Below is a list of personnel that can be used to offset these and many more heavy burdens. This list was derived from actual experience on real incidents and exercises. As with all other positions within ICS, it is best not to assign all the functions below to one person, but rather start with the positions needed and combine functions once the pace of UC operations allow.

**ICS Facilitator (Technical Specialists or Deputy Incident Commander)**

Not all response agency personnel are at the same level of ICS training. Consequently in order to level the playing field, an ICS facilitator can be used. The advantage of an ICS facilitator is that they can coach the Unified Command through the ICS planning process. Having a facilitator to move things along also creates a sense of equality amongst the UC members, since it is not the most experienced IC speaking the loudest and driving the process. One other beneficial activity of having an ICS facilitator is to be able to prioritize phone calls, requests for Incident Commander audiences or actions and other demands placed on the Unified Command. An ICS facilitator will be able to discern whether such requests are a priority and if it is worth delaying the planning process. The ICS facilitator

can also assist the Unified Command in the review of the Incident Action Plan.

A Technical Specialist or a Deputy Incident Commander can perform the ICS facilitator role. There are advantages and disadvantages to each approach. The advantage of using a Technical Specialist is that the person is typically dedicated to the ICS/UC process and cannot be tapped for other UC duties. The disadvantage is that a technical specialist may have difficulty in encouraging players in the organization to attend meetings, briefings etc., due to a lack of authority. The Deputy Incident Commander does have the authority and the added benefit of being able to ensure that other ICS processes are followed in the sections below the UC. The disadvantage of using a Deputy IC is they can be easily tasked to perform some other high profile function. In situations where the UC has strong familiarization with ICS, a technical specialist is preferable, if the opposite is true, the Deputy Incident Commander is best.

### Unified Command Administrative Specialist

Many tasks are performed within the UC room that is best done by a member other than the UC or the ICS facilitator, in order that the UC can focus on making decisions. One example, is writing on poster paper to capture UC key decisions and points of information. Additionally a Unified Command Administrative Specialist can perform the following functions:

- Control access into the UC room,
- Ensure UC room and Incident Commanders are properly supplied,
- Gather or remind UC members of important meetings and briefings,
- Be a "runner" or "go-for" for the UC,
- Keep the Unified Command space tidy and organized,
- Complete other aide-de-camp type duties.

### Documentation Specialist

The Unified Command makes many important decisions and performs actions, sometimes at a very rapid pace. A Documentation Specialist can be used to document all key decisions, actions taken and keep a running chronology of UC activities. Since the UC makes collective decisions and takes uniform actions, the activities of the UC can be documented on a single ICS Form 214. In many cases, the Unified Command may need to draft a decision memo or a position paper on a particular subject in order to fully document their actions during the course of the response. Many documents are produced by the UC and the Documentation Specialist can ensure they are collected and filed. The ADUL should be outfitted with a portable computer laptop, containing ICS Form 214 and a printer.

### Unified Command Phone

Perhaps the worst interruptions come from continuous phone calls within the Unified Command spaces. It should not be the practice of the Unified Command to answer every phone call made into the UC. There should be a filter mechanism between the caller and the UC. A dedicated person staffing the phone can answer the caller, place them on hold, and then query the Unified Command, or preferably, the ICS facilitator, as to whether the call should be answered now or at a later time.

## **EQUIPMENT:**

### Table

The UC table should be round and have enough room to seat all the members of the UC, their deputies and Technical Specialists. The round table signifies a unified effort with no one at the head. If the only table available is square or rectangle, UC members should leave the ends vacant as a gesture of equality.

### Easels and Wall Space for Posting IC/UC Products

The room should include wall space for hanging charts, maps and poster-size paper for all UC members to review and consult their written products. Remember, all charts, maps, or other situational display information placed in the UC room is the responsibility of the Planning Section Chief, supported by the Situation Unit. An easel should be available with poster size paper (preferably the stick-on variety) with multi-colored markers. A good Unified Command Assistant (UCA) will

post large sheets of paper around the room, starting from the left to the right with the following headers, before the UC meets.

<u>ICS 207</u> <u>Org</u> <u>Chart</u>	<u>ICS 202A</u> <u>Priorities Critical</u> <u>Decisions</u> <u>Constraints/</u> <u>Limitations</u>	<u>ICS</u> <u>202</u> <u>Objectives</u>	<u>IMT</u> <u>Operating</u> <u>Procedures</u>	<u>ICS 233</u> <u>Open</u> <u>Action</u> <u>Log</u>	Incident Chart/Map
----------------------------------------------	----------------------------------------------------------------------------------------------------------------	-----------------------------------------------	-----------------------------------------------------	--------------------------------------------------------------	-----------------------

Each poster has significant importance and is used for communicating information from the Unified Command to the Command and General Staff. Here is a brief explanation of each poster:

Critical Decisions	Lists the critical decisions of the UC and for communicating down to the Command and General Staff.
Priorities	These are incident priorities established by the UC for communication to the Command and General Staff.
Constraints/ Limitations	These are the factors that constrain or limit the Incident Command System's ability to accomplish objectives.
Objectives	These are the objectives developed for the Command and General Staff.
IMT Operating Procedures	These are a list of the procedures that the UC/IC desires to implement for the Incident Management Team (IMT) to ensure standardized processes: i.e., media release policy, sensitive security information handling, resource ordering

### Phones

A conference call phone should be accessible in the UC space that is large enough to allow all UC members to hear and use. The conference call should be limited for use for calls to and from the Unified Command and not any single individual.

All calls going into the UC space should be filtered. It might be preferable to have a second phone in the space for a staff person to answer, but have the capability of transferring the call to the conference phone if necessary.

### Other Equipment

Some other equipment that may be useful for outfitting a UC space includes

- Contingency Plans
- Current IAP, Safety Plan
- Television for monitoring media activities
- Phone jacks to allow for internet access
- Trash cans and shredders
- Projector and screens for briefings
- Coffee pot and supplies
- Posted meeting agendas
- ICS Meeting Schedule
- Clock

## **Appendix E –Transfer of Command**

As an incident expands, it may require different levels of command such as single command, Unified Command or Area Command. After an incident is initially established into a single command, it may either expand, contract, or end. A transfer of command may be required. As the incident progresses, there are many reasons why a transfer of command is necessary:

- Complete an operational period
- Extend to long-term operational period
- Becomes a more complex incident
- Requires more qualified/more experienced person
- Expands to become a nationally significant incident or catastrophic incident
- Addresses an issue with the IC such as illness, sleep or personal emergency or leadership issue
- Complies with legal requirement
- Request by Agency Administrator
- Good for the effectiveness or efficiency of the incident
- Need to scale down due to contraction of the incident or during demobilization

## **Appendix F – Executive and Incident Commander Agreement Checklist**

The following items should be discussed/agreed upon between an Agency or Company Executive and an Incident Commander:

- Cost limitations, constraints, sharing
- Procurement guidelines
- Priorities
- Pre-Existing Plans, Memorandums of Agreement (MOAs), and Memorandums of Understanding (MOUs)
- Legal authorities and basis
- Rules of engagement
- Scope of work
- Jurisdictional boundaries and area of responsibility
- Limitations and constraints
- Critical information requirements including schedule, thresholds, and points of contact
- Political, social and cultural implications and responsibilities
- Local resource limitations including draw-down limits
- Resource management issues such as use of trainees, release priorities, and use of local resources

- Reporting and relationship with other response facilities such as an Emergency Operations Center (EOC), Joint Field Office (JFO), Area Field Office (AFO), Area Command (AC) or agency operating center.
- Information management requirements with media and stakeholders
- Contingency guidance or authority
- Sunset clause
- Documentation requirements such as case packages, cost documentation packages and performance evaluations

## Appendix G – Example Delegation of Authority Memos

U.S. Department of  
Homeland Security

United States  
Coast Guard



Commander  
United States Coast Guard  
Sector New York

212 Coast Guard Drive  
Staten Island, NY 10305  
Staff Symbol: srm  
Phone: (718) 354-4121  
Fax: (718) 354-4224

1601

NOV 02 2012

### MEMORANDUM

From:  G. Loeb, CAPT  
CG SECTOR NY (s)

Reply to: IMD  
Attn of: x4346

To: E. J. Doucette, CDR,

Subj: INCIDENT SPECIFIC DESIGNATION AS FEDERAL ON SCENE COORDINATOR  
AND NOTICE OF VIOLATION AUTHORITY FOR HURRICANE SANDY

Ref: (a) Pollution Responder Performance Qualification Standard Workbook  
(b) COMDTINST M16000 series, Marine Safety Manual  
(c) COMDTINST M5582.1A, Notice of Violation User's Guide

1. You are hereby designated to perform the duties of a Federal On Scene Coordinator within the Captain of the Port of New York and New Jersey Zone. You are being granted this designation for the purpose of directing response operations in support of actions to mitigate the effects of Hurricane Sandy.
2. You are also hereby authorized to issue Notices of Violation while assigned to this Command. You will be guided in your duties by applicable sections of references (a), (b), (c), the U.S. Code of Federal Regulation, Commandant, District, and Unit directives.
3. These authorities expire upon your demobilization from this response.

#

U.S. Department of  
Homeland Security

United States  
Coast Guard

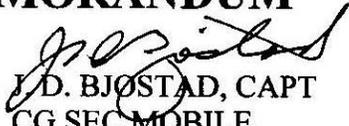


Commander  
U. S. Coast Guard Sector Mobile

South Broad Street  
Mobile, AL 36615-1390  
Staff Symbol: CO  
Phone: (251) 441-5670  
Fax: (251) 441-5123

5402/233-05  
4 September 2005

## MEMORANDUM

From:  J.D. BJOSTAD, CAPT  
CG SEC MOBILE

To: DISTRIBUTION

Subj: LETTER OF DELEGATION – INCIDENT SPECIFIC FEDERAL ON-SCENE  
COORDINATOR (FOSC)

1. As of 0800 on September 3rd, 2005, I delegate the responsibilities for the Environmental Response Branch Management to CDR Ron Cantin, Commanding Officer, USCG Gulf Strike Team. This delegation establishes CDR Cantin as an Incident Specific Federal On-Scene Coordinator (FOSC) supporting Sector Mobile Incident Command (IC) in their efforts to mitigate the pollution caused by Hurricane Katrina in the states of Mississippi and Alabama.
2. As the Incident Specific FOSC, I expect CDR Cantin to adhere to relevant and applicable laws and polices. His primary task is mitigation of environmental issues associated with the coastal zone. CDR Cantin is expected to complete all tasks in a manner that provides for the safety and well being of all response personnel. I expect all work to be in cooperation with state and local government agencies, private industry, and local residents to successfully manage all emergent pollution incidents.
3. The principle objectives I want CDR Cantin to accomplish are:
  - a. Ensure the safety of response personnel and proactively address public safety issues during the course of all response actions.
  - b. Respond to all reported and assessed pollution incidents with the appropriate resources to mitigate the effects to the public and environment in a timely manner.
  - c. Provide updates to the Incident Command, related stakeholders, and the public with a unified message approved by the Unified Command.
4. All actions taken are under the following Sector Commander's guidance:
  - a. Establish direct liaison with FEMA, EPA, EOC, state/local governments and emergency response personnel.
  - b. Determine the appropriate resources needed to accomplish this task and the priority order to perform them.

Subj: LETTER OF DELEGATION – INCIDENT SPECIFIC  
FEDERAL ON SCENE COORDINATOR (FOSC)

5402/233-05  
4 September 2005

5. CDR Cantin will notify me in the event of:
  - a. Any safety issue, injury or death.
  - b. Issues with assisting or cooperating agencies that can not be resolved and require authority at the Unified Command level.

#

Copy: CGD8  
CG GST  
CG NSFCC

## **Appendix H – ICS 201 Briefing Checklist for Out-Going IC**

- ❑ Ensure that there are sufficient ICS 201 copies for everyone in attendance.
- ❑ Use maps, charts, photos, projections and other aids to provide details about the incident.
- ❑ Brief on the current situation.
- ❑ Brief on key decisions made thus far such as evacuations, closures, and incident name.
- ❑ Brief on current priorities and objectives.
- ❑ Discuss current actions and tactics.
- ❑ Discuss planned actions including any specific timeframes.
- ❑ Review the current organization and projected expansion or contraction to meet needs of the incident.
- ❑ Communicate critical management, response and support needs.
- ❑ Review incident facility locations and their functions.
- ❑ Review how on-scene resources are being utilized and supported.
- ❑ Discuss resources that have been ordered and their use upon arrival.
- ❑ Brief on any significant limitations or constraints.
  - ❑ Discuss safety and communications status.

- Provide key information related to stakeholders such as political, corporate, agency, private, and media.
- Discuss incident potential, including contingency or “what if” possibilities, as well as additional emergencies that could occur during the incident.

## Appendix I – ICS 201 Briefing Checklist for In-Coming IC or UC

- Prior to the ICS 201 briefing, conduct an on-scene assessment. If possible, conduct this assessment jointly with the off-going IC. Try to gain a sense for the following:
  - Responder working conditions and safety
  - Nature of operations activities such as firefighting, Hazmat, search and rescue, oil spill response, investigation, etc.
  - Resource effectiveness
  - Scope and characteristics of the incident such as size, distances, quantities, lethality, and stability.
  - Support activities and effectiveness
  - Risks to the public and responders
  - Overall command and control effectiveness
- Obtain a copy of the ICS 201 or IAP, maps, charts, photos, projections, and other details about the incident. The purpose of this task is to acquire additional background on the incident prior to starting your assignment. Regardless of when you arrive at an incident, there is usually very little time for someone else to brief you. You need to find out the Who, What, When, Where, Incident Organization, and Resources

related to the incident so that when you do have a briefing you can ask more detailed questions:

- What is the incident (SAR, oil/hazmat, LE, natural disaster, etc.)? This gives you an idea of the resources that Operations will probably be requesting.
- Who are key players (Federal, State, local, industry)? This may give you some insight into why Command is setting particular objectives.
- When did the incident take place? An incident changes character over time including; survival rates, weathering of oil, potential contaminants, vessel stability, etc.
- Where did the incident take place? Do you know the Area of Responsibility (AOR)? If so, you have an advantage in knowing relationships, geography, local plans, etc. If not, you must spend some time getting to know the area. Also, what is the difference between the unit AOR and the incident AOR? Generally, there should be a difference.
- What is the incident organization? You must know who is in your direct chain of command as well as other key players such as the other Incident Commander(s) in Unified Command (UC), Operations Section Chief (OSC), Planning Section Chief (PSC) Logistics

- Section Chief (LSC), Finance Section Chief (FSC), and Safety Officer (SOFR), if activated.
- When is the next meeting or briefing that should be attended? Obtain a copy of the meetings and briefing schedule from the IC, if developed.
  - During the briefing, try to obtain the following information at a minimum:
    - Most current situation
    - Key decisions
    - Current priorities and objectives
    - Current actions and tactics
    - Planned actions including any specific timeframes
    - Current organization and its projected expansion or contraction
    - Incident Facility locations and their function
    - How on-scene resources are being utilized and supported
  - Ensure that incident personnel are made aware of your assumption of IC or UC.
  - Begin your documentation process by recording the date and time of assumption of command. Continue using the ICS 201 until superseded by other ICS documents.
  - Consider reassignment of the off-going IC as appropriate.

- Provide direction to Command and General staff as necessary.
- Prepare staff to move forward in the ICS Operational Planning Process.

## **Appendix J – Unified Command Validation Checklist**

Necessity of UC (any single check indicates it is appropriate to use a UC):

- Crosses geographical boundaries
- Involves multiple government levels
- Impacts different disciplines, owners, operators and agencies
- Involves different statutory responsibilities

Specific organization inclusion in UC (each organization desiring to be a member of the UC must be able to check all four boxes):

- The organization has jurisdictional authority or functional responsibility under a law, legislation, treaty, MOU/MOA, ordinance, or agency contingency plan for the incident or event
- The organization is specifically charged with commanding, coordinating, leading or managing a major aspect of the response
- The organization has the resources to support participation in the response organization
- The incident or event impacts the area of responsibility of the organization

UC representative responsibilities and authority (each UC representative should have the authority to execute the following responsibilities on behalf of their organization:

- Speak for their organization in directing response efforts; making UC decisions; agreeing on common UC priorities, objectives, and critical information requirements; approving plans and other documents; and in media, stakeholder and public interactions.
- Sustain the resource commitment of their organization to the response for 24 hours, 7 days a week, if needed.
- Spend their agency's or organization's funds.
- Help determine and agree on an appropriate response organization and specific assignments for Command and General staff positions.
- Share support responsibilities as appropriate such as resource ordering and acquisition, cost sharing, integrated communications and responder health and safety.

## **Appendix L – Command Considerations for Shifting From An ICS 201 to developing an IAP**

### Assessment and Briefings:

- Were you able to conduct an on-scene assessment to get a first-hand perspective on the incident?
- How thorough was the ICS 201 briefing you received?
- How thoroughly were your Command and General staff briefed?
- Do you as the Incident Commander/Unified Command, have a solid grasp of the overall situation and incident potential?
- Do you have a solid grasp of the resource picture and any competing interests?

### Incident Characteristics

- Is the incident stabilized enough to allow for a 12-hour or longer operational periods?
- How effective is the response effort been thus far?
- What measures of effectiveness are you using?
- Do you expect the incident to be more than 2 or 3 operational periods or will it be resolved quickly?

- Is there likely to be an “incident within an incident” or other major contingency during the response effort?

### Staffing and Support

- Do you have the key positions staffed effectively to execute the Operational Planning Process and simultaneously manage current operations?
- Is the ICP adequate to support the level of effort needed to plan for and proactively manage the execution of the response?
- Does your organization have a solid grasp of the situation and resource picture?
- Is there good communications and interaction between the operations resources and the incident management team?
- If in a Unified Command, do all members agree it is best to move forward with IAP development?

## Appendix M - SMART Objectives

**SMART** is a mnemonic used in project management at the objective setting stage. It is a way of evaluating if the objectives that are being set are appropriate for the individual project.

A SMART objective is one that is –

**S**pecific

**M**easurable

**A**chievable

**R**elevant

**T**ime-sensitive/Time-bound

George T. Doran is quoted on the internet as the originator of the term, through the article in Management Review<sup>1</sup> on SMART.

---

**Specific** – A specific objective has a much greater chance of being accomplished than a general objective. The set a specific objective you must answer the six "W" questions.

**Who** is involved?

**What** do I want to accomplish?

**Where** does this objective take place?

**When** is there a deadline?

**Which** are the requirements and constraints?

---

<sup>1</sup> George T. Doran, There's a S.M.A.R.T. Way to Write Management Goals and Objectives, Management Review (AMA Forum), November 1981, pps. 35-36.

**Measurable** – Establish concrete criteria for measuring progress toward the attainment of each objective you set. When you measure your progress, you stay on track, reach your targets, and experience the satisfaction of achievement that inspires you on to continued effort required to reach your objective. To determine if an objective is measurable, ask questions such as "how much?", "how many?" and "how will I know when it is accomplished?".

---

**Attainable** – You must set objectives that are capable of being reached, put most basically, there is a likelihood of success. Setting targets that are plainly ridiculous does not motivate people; it merely confirms their opinion of you as an idiot. You can attain most any objective you set when you plan your steps wisely and establish a time frame that allows you to carry out those steps. Objectives that may have seemed far away and out of reach eventually move closer and become attainable, not because your objectives shrink, but because you grow and expand to match them.

---

**Realistic** – To be realistic, an objective must represent an end state toward which you are both *willing* and *able* to work. An objective can be both high and realistic; you are the only one who can decide just how your objective should be. Be sure that every objective represents substantial progress. A high objective is frequently easier to reach than a low one because a low objective exerts low motivational force. Some of the hardest jobs

you accomplish actually seem easy because they were accomplished with heart.

Your objective is probably realistic if you *believe* that it can be accomplished. Additional ways to know if your objective is realistic to determine if you have accomplished anything similar in the past or ask yourself what conditions would have to exist to accomplish this objective.

---

**Time-sensitive/Time-bound** – An objective should be grounded within a time frame. If an objective has no time frame tied to it, there is no sense of urgency. If you anchor your objective with a time frame you set your unconscious mind in motion to begin working toward accomplishing the objective.

---

**ICS Objective Example** – Complete evacuation (what) of all (measure) passengers and crew (who) from the vessel (location) by 1200 (when).



## ICS 202 Incident Objectives

**Purpose.** The Incident Objectives (ICS 202) describes the basic incident strategy, incident objectives, command emphasis/priorities, and safety considerations for use during the next operational period.

**Preparation.** The ICS 202 is completed by the Planning Section following each Command and General Staff meeting conducted to prepare the Incident Action Plan (IAP). In case of a Unified Command, one Incident Commander (IC) may approve the ICS 202. If additional IC signatures are used, attach a blank page.

**Distribution.** The ICS 202 may be reproduced with the IAP and may be part of the IAP and given to all supervisory personnel at the Section, Branch, Division/Group, and Unit levels. All completed original forms must be given to the Documentation Unit.

### Notes:

- The ICS 202 is part of the IAP and can be used as the opening or cover page.
- If additional pages are needed, use a blank ICS 202 and repaginate as needed.

Block Number	Block Title	Instructions
1	<b>Incident Name</b>	Enter the name assigned to the incident. If needed, an incident number can be added.
2	<b>Operational Period</b> <ul style="list-style-type: none"> <li>• Date and Time From</li> <li>• Date and Time To</li> </ul>	Enter the start date (month/day/year) and time (using the 24-hour clock) and end date and time for the operational period to which the form applies.
3	<b>Objective(s)</b>	Enter clear, concise statements of the objectives for managing the response. Ideally, these objectives will be listed in priority order. These objectives are for the incident response for this operational period as well as for the duration of the incident. Include alternative and/or specific tactical objectives as applicable.  Objectives should follow the SMART model or a similar approach: <b>S</b> pecific – Is the wording precise and unambiguous? <b>M</b> easurable – How will achievements be measured? <b>A</b> ction-oriented – Is an action verb used to describe expected accomplishments? <b>R</b> ealistic – Is the outcome achievable with given available resources? <b>T</b> ime-sensitive – What is the timeframe?
4	<b>Operational Period Command Emphasis</b>	Enter command emphasis for the operational period, which may include tactical priorities or a general weather forecast for the operational period. It may be a sequence of events or order of events to address. This is not a narrative on the objectives, but a discussion about where to place emphasis if there are needs to prioritize based on the Incident Commander's or Unified Command's direction. Examples: Be aware of falling debris, secondary explosions, etc.
	General Situational Awareness	General situational awareness may include a weather forecast, incident conditions, and/or a general safety message. If a safety message is included here, it should be reviewed by the Safety Officer to ensure it is in alignment with the Safety Message/Plan (ICS 208).
5	<b>Site Safety Plan Required?</b> Yes <input type="checkbox"/> No <input type="checkbox"/>	Safety Officer should check whether or not a site safety plan is required for this incident.
	<b>Approved Site Safety Plan(s) Located At</b>	Enter the location of the approved Site Safety Plan(s).

Block Number	Block Title	Instructions
6	<p><b>Incident Action Plan</b> (the items checked below are included in this Incident Action Plan):</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> ICS 202</li> <li><input type="checkbox"/> ICS 203</li> <li><input type="checkbox"/> ICS 204</li> <li><input type="checkbox"/> ICS 205</li> <li><input type="checkbox"/> ICS 205A</li> <li><input type="checkbox"/> ICS 206</li> <li><input type="checkbox"/> ICS 207</li> <li><input type="checkbox"/> ICS 208</li> <li><input type="checkbox"/> Map/Chart</li> <li><input type="checkbox"/> Weather Forecast/ Tides/Currents</li> </ul> <p><u>Other Attachments:</u></p>	<p>Check appropriate forms and list other relevant documents that are included in the IAP.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> ICS 202 – Incident Objectives</li> <li><input type="checkbox"/> ICS 203 – Organization Assignment List</li> <li><input type="checkbox"/> ICS 204 – Assignment List</li> <li><input type="checkbox"/> ICS 205 – Incident Radio Communications Plan</li> <li><input type="checkbox"/> ICS 205A – Communications List</li> <li><input type="checkbox"/> ICS 206 – Medical Plan</li> <li><input type="checkbox"/> ICS 207 – Incident Organization Chart</li> <li><input type="checkbox"/> ICS 208 – Safety Message/Plan</li> </ul>
7	<p><b>Prepared by</b></p> <ul style="list-style-type: none"> <li>• Name</li> <li>• Position/Title</li> <li>• Signature</li> </ul>	<p>Enter the name, ICS position, and signature of the person preparing the form. Enter date (month/day/year) and time prepared (24-hour clock).</p>
8	<p><b>Approved by Incident Commander</b></p> <ul style="list-style-type: none"> <li>• Name</li> <li>• Signature</li> <li>• Date/Time</li> </ul>	<p>In the case of a Unified Command, one IC may approve the ICS 202. If additional IC signatures are used, attach a blank page.</p>

## **Appendix O - Incident Action Plan Review Checklist**

The IAP represents a significant part of the historical record of the response. Ensure all aspects are appropriate and accurately reflect the plan of action presented during the Planning Meeting. Depending on the nature of the response effort, it is also likely that this document will be widely circulated across a myriad of interested parties outside of your IMT.

- Ensure the IAP cover page is professional and appropriate. Ensure signature blocks are available for all members of the Unified Command, including their printed names, with appropriate titles and proper spelling.
- Verify that all the proper forms are included in the IAP. The cover sheet often contains a checklist.
- Ensure the title of the incident is correct for the Cover Page and subsequent forms.
- Ensure the Operational Period is correct for the Cover Page and other forms.
- Ensure appropriate personnel sign the forms.
- Ensure the ICS 202 lists agreed upon objectives. The ICS 202 may contain the priorities and command direction (priorities, decisions, limitations and constraints).

- ❑ Ensure the ICS 202 contains a safety message and command areas of emphasis (anything the UC deems necessary to emphasize for this particular operational period).
- ❑ Ensure the organizational assignment list in the ICS 203 accurately reflects the intended organization for the specified Operational Period
- ❑ Ensure the ICS 203 has proper titles and has proper span of control for the activities being performed.
- ❑ Ensure if deputies or assistants are being utilized that their responsibilities in the chain of command and flow of tasking and information are clear to all IAP users.
- ❑ Ensure the ICS 204 reflects clearly the resources assigned, aligns with the ICS 215, and work assignments are comprehensive.
- ❑ Carefully read the work assignments on the ICS 204. Ensure each is clear, aligns with what was presented on the ICS 215 in the Planning Meeting, properly employs the resources assigned, provides for relief of personnel or equipment as required, and supports an objective listed on the ICS 202.

- Ensure the ICS 204 aligns with, and expands on the work assignments from the ICS 215 that were briefed during the Planning meeting. Encourage IAP development personnel to attach maps, diagrams, detailed procedures or any other job specific information necessary to the back of the ICS 204 or an ICS 204a is attached.
- Ensure ICS 204 forms are consistent with the ICS -203 form. The ICS titles on ICS 203 and ICS 204 should match.
- Ensure the special instructions section of ICS 204 is completed. Examples of special instruction procedures includes communication schedule back to Operations and Situation; evidence handling protocols; wildlife handling safe practices, use of force policy references; important phone numbers; sampling procedures, etc.
- Ensure the communications block on the ICS 204 is consistent with the Communications Plan (ICS 206).
- Ensure the ICS 204a is included if indicated.
- Ensure the Site Safety Plan (ICS 208) or ICS 204 as appropriate, addresses incident hazards

- as determined by the Safety Officers Safety Hazard Analysis documented on ICS 215A.
- Ensure that any emergency or critical information requirements are spelled out.
  - Ensure the ICS 205 is realistic, aligned with the ICS 204, and considers the nature of the response environment that personnel will be working in, such as one that might contain hazardous material or be in a remote area with limited access.
  - Ensure additional plans discussed during the Planning Meeting are included or referenced (i.e. Decon Plan, Disposal Plan, Security Plan).
  - Maps, charts, diagrams or other visual elements of the plan should be clearly marked for what they represent, should add value for the users, and should be sufficient quality to reproduce easily.
  - Consider how bulky the IAP is, and how it will be reproduced and distributed. Consider the end users need for information and how best to get it to them.

Note: Due to their size, some supporting plans like the ICS 208 Site Safety Plan, Decon Plan, Security Plan, etc. may work better as stand-alone documents referenced in the IAP. Another method for dealing with these plans is to include

them in the IAP, but with limited distribution. Only the elements of the response that will actually use them or are directly involved in supporting them would receive a copy. A lightering plan used by one element of the Operations Section is an example of a support plan that might be distributed by this method. Always ensure that the original IAP held by the DOCL includes the original versions of all additional plans.

## Appendix P – Speaker Preparation Worksheet

Incident: \_\_\_\_\_ Date/ Time: \_\_\_\_\_

1. Statement \_\_\_\_\_

---

---

---

2. Key Message(s) \_\_\_\_\_

---

---

---

3. Key Message(s) with Supporting Facts \_\_\_\_\_

---

---

---

---

---

---

---

---

4. Repeat Key Message(s) \_\_\_\_\_

---

---

---

---

5. Future Actions \_\_\_\_\_

---

---

---

## **Appendix Q – IMT Evaluation Checklist**

### **ICP Activities**

- Meetings are disciplined and following prescribed procedures
- Sections are conducting their own daily meetings with their staff
- Information is being shared across the sections
- Off-site reporting is timely and accurate
- The IAP is effective and being followed
- Supervisors are pleased with overall team effectiveness
- Interagency differences are effectively resolved and communicated to command
- Information technology is being used to support the development of the IAP and functional support plans
- The Operations Section is providing valuable and meaningful feedback on the IAP
- Staff members are properly prepared and interacting during the process meetings
- The injury, accident and near miss rate is low
- The IMT code of conduct being is being followed
- The Operations Section is adequately supported by the other staff elements

- ❑ The Operations Section Chief is effectively using a deputy. The OSC or DOSC works with the Planning Section, and the other supervises current operations.
- ❑ The planning section has a clear understanding of all resource status
- ❑ Status displays by SITL and RESL are accurate, up-to-date, and meeting the needs of Command and other staff
- ❑ The planning section has provided clear, understandable, and updated maps
- ❑ The PSC is able to coordinate the Operational Planning Process
- ❑ The Incident Action Plan has sufficient, and accurate content to support the operation
- ❑ The meeting schedule allows for ample IC coordination of inputs to meetings/briefings
- ❑ Contingencies or "what if" possibilities are being effectively planned for
- ❑ The IMT and particularly PSC is forecasting, planning, and preparing for the escalation or de-escalation of the incident
- ❑ The resource requesting process is smooth, and producing timely results
- ❑ IMT equipment is being properly maintained, repaired, and/or re-supplied
- ❑ The Logistics Section is managing an effective gear/equipment issue process

- THSP's (where needed) are effectively employed
- Support plans are developed and thoroughly understood by users
- Original documents are ending up in the DOCL archives (ICS 214's, etc)
- Time sheets and other accountability information are being sent to Finance
- The RESL is identifying excess resources and supporting the demobilization process
- There is a demobilization process/plan in place
- The IMT is developing and effectively conveying predictions, models, forecasts to other staff to help achieve success
- Meetings and briefings are properly set-up and well executed
- The best qualified personnel available are assigned to fill positions
- Documents produced by the IMT are of high quality

**In the field activities**

- ❑ Emergency procedures have been established.
- ❑ Personnel are receiving good briefings before beginning their work in the operational area.
- ❑ Expectations are clearly understood.
- ❑ IMT field personnel have sufficient equipment to execute assignments (i.e. phones, radios, digital cameras, GPS units, computers, wireless cards, etc.).

**Self Evaluation**

- ❑ Command's Operational Priorities and Objectives are clear
- ❑ Command has communicated clear expectations to all the IMT members
- ❑ Command is comfortable with activities
- ❑ Command has agreed on what is considered critical information, and how it should be reported up to the IC/UC
- ❑ There is effective coordination between the Command and IMT
- ❑ Unresolved issues effectively passed to Command
- ❑ Crew morale is high
- ❑ Assignments are completed on time
- ❑ Limited aggression or frustration being observed of IMT members

# Appendix R – ICS 225 Individual Personnel Performance Rating

THIS RATING IS TO BE USED ONLY FOR DETERMINING AN INDIVIDUAL'S PERFORMANCE ON AN						
1. Name:		2. Incident Name:		3. Incident Number:		
4. Home Unit Name and Address:			5. Incident Agency and Address:			
6. Position Held on Incident:		7. Date(s) of Assignment: From: _____ To: _____		8. Incident Complexity Level: <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4		
9. Incident Definition:						
10. Evaluation						
Rating Factors	N/A	1 – Unacceptable	2	3 – Met Standards	4	5 – Exceeded Expectations
11. Knowledge of the Job/ Professional Competence: Ability to acquire, apply, and share technical and administrative knowledge and skills associated with description of duties. (Includes operational aspects such as marine safety, seamanship, airmanship, SAR, etc., as appropriate.)	<input type="checkbox"/>	Questionable competence and credibility. Operational or specialty expertise inadequate or lacking in key areas. Made little effort to grow professionally. Used knowledge as power against others or bluffed rather than acknowledging ignorance. Effectiveness reduced due to limited knowledge of own organizational role and customer needs.	<input type="checkbox"/>	Competent and credible authority on specialty or operational issues. Acquired and applied excellent operational or specialty expertise for assigned duties. Showed professional growth through education, training, and professional reading. Shared knowledge and information with others clearly and simply. Understood own organizational role and customer needs.	<input type="checkbox"/>	Superior expertise; advice and actions showed great breadth and depth of knowledge. Remarkable grasp of complex issues, concepts, and situations. Rapidly developed professional growth beyond expectations. Vigorously conveyed knowledge, directly resulting in increased workplace productivity. Insightful knowledge of own role, customer needs, and value of work.
12. Ability To Obtain Performance/Results: Quality, quantity, timeliness, and impact of work.	<input type="checkbox"/>	Routine tasks accomplished with difficulty. Results often late or of poor quality. Work had a negative impact on department or unit. Maintained the status quo despite opportunities to improve.	<input type="checkbox"/>	Got the job done in all routine situations and in many unusual ones. Work was timely and of high quality; required same of subordinates. Results had a positive impact on IMT. Continuously improved services and organizational effectiveness.	<input type="checkbox"/>	Maintained optimal balance among quality, quantity, and timeliness of work. Quality of own and subordinates' work surpassed expectations. Results had a significant positive impact on the IMT. Established clearly effective systems of continuous improvement.
13. Planning/ Preparedness: Ability to anticipate, determine goals, identify relevant information, set	<input type="checkbox"/>	Got caught by the unexpected; appeared to be controlled by events. Set vague or unrealistic goals. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information.	<input type="checkbox"/>	Consistently prepared. Set high but realistic goals. Used sound criteria to set priorities and deadlines. Used quality tools and processes to develop action plans. Identified key information. Kept supervisors and stakeholders informed.	<input type="checkbox"/>	Exceptional preparation. Always looked beyond immediate events or problems. Skillfully balanced competing demands. Developed strategies with contingency plans. Assessed all aspects of problems, including underlying issues and
14. Using Resources: Ability to manage time, materials, information, money, and people (i.e., all IMT components as well as external publics).	<input type="checkbox"/>	Concentrated on unproductive activities or often overlooked critical demands. Failed to use people productively. Did not follow up. Mismanaged information, money, or time. Used ineffective tools or left subordinates without means to accomplish tasks. Employed	<input type="checkbox"/>	Effectively managed a variety of activities with available resources. Delegated, empowered, and followed up. Skilled time manager, budgeted own and subordinates' time productively. Ensured subordinates had adequate tools, materials, time, and direction. Cost conscious, sought ways to cut waste.	<input type="checkbox"/>	Unusually skilled at bringing scarce resources to bear on the most critical of competing demands. Optimized productivity through effective delegation, empowerment, and follow-up control. Found ways to systematically reduce cost, eliminate waste, and improve efficiency.
15. Adaptability/Attitude: Ability to maintain a positive attitude and modify work methods and priorities in response to new information, changing conditions, political realities, or unexpected obstacles.	<input type="checkbox"/>	Unable to gauge effectiveness of work, recognize political realities, or make adjustments when needed. Maintained a poor outlook. Overlooked or screened out new information. Ineffective in ambiguous, complex, or pressured situations.	<input type="checkbox"/>	Receptive to change, new information, and technology. Effectively used benchmarks to improve performance and service. Monitored progress and changed course as required. Maintained a positive approach. Effectively dealt with pressure and ambiguity. Facilitated smooth transitions. Adjusted direction to accommodate political realities.	<input type="checkbox"/>	Rapidly assessed and confidently adjusted to changing conditions, political realities, new information, and technology. Very skilled at using and responding to measurement indicators. Championed organizational improvements. Effectively dealt with extremely complex situations. Turned pressure and ambiguity into constructive forces for change.
16. Communication Skills: Ability to speak effectively and listen to understand. Ability to express facts and ideas clearly and convincingly.	<input type="checkbox"/>	Unable to effectively articulate ideas and facts; lacked preparation, confidence, or logic. Used inappropriate language or rambled. Nervous or distracting mannerisms detracted from message. Failed to listen carefully or was too argumentative. Written material frequently unclear, verbose, or poorly organized. Seldom proofread.	<input type="checkbox"/>	Effectively expressed ideas and facts in individual and group situations; nonverbal actions consistent with spoken message. Communicated to people at all levels to ensure understanding. Listened carefully for intended message as well as spoken words. Written material clear, concise, and logically organized. Proofread conscientiously.	<input type="checkbox"/>	Clearly articulated and promoted ideas before a wide range of audiences; accomplished speaker in both formal and extemporaneous situations. Adept at presenting complex or sensitive issues. Active listener; remarkable ability to listen with open mind and identify key issues. Clearly and persuasively expressed complex or controversial material, directly contributing to stated objectives.

# INCIDENT PERSONNEL PERFORMANCE RATING (ICS 225)

<b>1. Name:</b>		<b>2. Incident Name:</b>			<b>3. Incident Number:</b>	
<b>10. Evaluation</b>						
Rating Factors	N/A	1 – Unacceptable	2	3 – Met Standards	4	5 – Exceeded Expectations
<b>17. Ability To Work on a Team:</b> Ability to manage, lead and participate in teams, encourage cooperation, and develop esprit de corps.	<input type="checkbox"/>	Used teams ineffectively or at wrong times. Conflicts mismanaged or often left unresolved, resulting in decreased team effectiveness. Excluded team members from vital information. Stifled group discussions or did not contribute productively. Inhibited cross functional cooperation to the detriment of unit or service	<input type="checkbox"/>	Skillfully used teams to increase unit effectiveness, quality, and service. Resolved or managed group conflict, enhanced cooperation, and involved team members in decision process. Valued team participation. Effectively negotiated work across functional boundaries to enhance support of broader mutual goals.	<input type="checkbox"/>	Insightful use of teams raised unit productivity beyond expectations. Inspired high level of esprit de corps, even in difficult situations. Major contributor to team effort. Established relationships and networks across a broad range of people and groups, raising accomplishments of mutual goals to a remarkable level.
<b>18. Consideration for Personnel/Team Welfare:</b> Ability to consider and respond to others' personal needs, capabilities, and achievements; support for and application of work life concepts and skills.	<input type="checkbox"/>	Seldom recognized or responded to needs of people; left outside resources untapped despite apparent need. Ignorance of individuals' capabilities increased chance of failure. Seldom recognized or rewarded deserving subordinates or other IMT members.	<input type="checkbox"/>	Cared for people. Recognized and responded to their needs; referred to outside resources as appropriate. Considered individuals' capabilities to maximize opportunities for success. Consistently recognized and rewarded deserving subordinates or other IMT	<input type="checkbox"/>	Always accessible. Enhanced overall quality of life. Actively contributed to achieving balance among IMT requirements and professional and personal responsibilities. Strong advocate for subordinates; ensured appropriate and timely recognition, both formal and informal.
<b>19. Directing Others:</b> Ability to influence or direct others in accomplishing tasks or missions.	<input type="checkbox"/>	Showed difficulty in directing or influencing others. Low or unclear work standards reduced productivity. Failed to hold subordinates accountable for shoddy work or irresponsible actions. Unwilling to delegate authority to increase efficiency of task accomplishment.	<input type="checkbox"/>	A leader who earned others' support and commitment. Set high work standards; clearly articulated job requirements, expectations, and measurement criteria; held subordinates accountable. When appropriate, delegated authority to those directly responsible for the task.	<input type="checkbox"/>	An inspirational leader who motivated others to achieve results not normally attainable. Won people over rather than imposing will. Clearly articulated vision; empowered subordinates to set goals and objectives to accomplish tasks. Modified leadership style to best
<b>20. Judgment/Decisions Under Stress:</b> Ability to make sound decisions and provide valid recommendations by using facts, experience, political acumen, common sense, risk assessment, and	<input type="checkbox"/>	Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations. Unconcerned with political drivers on organization.	<input type="checkbox"/>	Demonstrated analytical thought and common sense in making decisions. Used facts, data, and experience, and considered the impact of alternatives and political realities. Weighed risk, cost, and time considerations. Made sound decisions promptly with the best available information.	<input type="checkbox"/>	Combined keen analytical thought, an understanding of political processes, and insight to make appropriate decisions. Focused on the key issues and the most relevant information. Did the right thing at the right time. Actions indicated awareness of impact of decisions on others. Not afraid to take reasonable risks to achieve positive
<b>21. Initiative</b> Ability to originate and act on new ideas, pursue opportunities to learn and develop, and seek responsibility without guidance and supervision.	<input type="checkbox"/>	Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in career development. Feasible improvements in methods, services, or products went unexplored.	<input type="checkbox"/>	Championed improvement through new ideas, methods, and practices. Anticipated problems and took prompt action to avoid or resolve them. Pursued productivity gains and enhanced mission performance by applying new ideas and	<input type="checkbox"/>	Aggressively sought out additional responsibility. A self-learner. Made worthwhile ideas and practices work when others might have given up. Extremely innovative. Optimized use of new ideas and methods to improve work processes and decision making.
<b>22. Physical Ability for the Job:</b> Ability to invest in the IMT's future by caring for the physical health and emotional well-being of self and others.	<input type="checkbox"/>	Failed to meet minimum standards of sobriety. Tolerated or condoned others' alcohol abuse. Seldom considered subordinates' health and well-being. Unwilling or unable to recognize and manage stress despite apparent need.	<input type="checkbox"/>	Committed to health and well-being of self and subordinates. Enhanced personal performance through activities supporting physical and emotional well-being. Recognized and managed stress effectively.	<input type="checkbox"/>	Remarkable vitality, enthusiasm, alertness, and energy. Consistently contributed at high levels of activity. Optimized personal performance through involvement in activities that supported physical and emotional well-being. Monitored and helped others deal with stress and enhance health and well-
<b>23. Adherence to Safety:</b> Ability to invest in the IMT's future by caring for the safety of self and others.	<input type="checkbox"/>	Failed to adequately identify and protect personnel from safety hazards.	<input type="checkbox"/>	Ensured that safe operating procedures were followed.	<input type="checkbox"/>	Demonstrated a significant commitment toward safety of personnel.
<b>24. Remarks:</b>						
<b>25. Rated Individual</b> (This rating has been discussed with me):						
Signature: _____			Date/Time: _____			
<b>26. Rated by:</b> Name: _____			Signature: _____			
ICS 225			Date/Time: _____			

# IC Job Aid ICS 225 Instructions

**Purpose.** The Incident Personnel Performance Rating (ICS 225) gives supervisors the opportunity to evaluate subordinates on incident assignments. THIS RATING IS TO BE USED ONLY FOR DETERMINING AN INDIVIDUAL'S PERFORMANCE ON AN INCIDENT/EVENT.

**Preparation.** The ICS 225 is normally prepared by the supervisor for each subordinate, using the evaluation standard given in the form. The ICS 225 will be reviewed with the subordinate, who will sign at the bottom. It will be delivered to the Planning Section before the rater leaves the incident

**Distribution.** The ICS 225 is provided to the Planning Section Chief before the rater leaves the incident.

**Notes:**

- Use a blank ICS 225 for each individual.
- Additional pages can be added based on individual need.

Block Number	Block Title	Instructions
1	<b>Name</b>	Enter the name of the individual being rated.
2	<b>Incident Name</b>	Enter the name assigned to the incident.
3	<b>Incident Number</b>	Enter the number assigned to the incident.
4	<b>Home Unit Address</b>	Enter the physical address of the home unit for the individual being rated.
5	<b>Incident Agency and Address</b>	Enter the name and address of the authority having jurisdiction for the incident.
6	<b>Position Held on Incident</b>	Enter the position held (e.g., Resources Unit Leader, Safety Officer, etc.) by the individual being rated.
7	<b>Date(s) of Assignment</b> <ul style="list-style-type: none"> <li>• From</li> <li>• To</li> </ul>	Enter the date(s) (month/day/year) the individual was assigned to the incident.
8	<b>Incident Complexity Level</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> 1</li> <li><input type="checkbox"/> 2</li> <li><input type="checkbox"/> 3</li> <li><input type="checkbox"/> 4</li> <li><input type="checkbox"/> 5</li> </ul>	Indicate the level of complexity for the incident.
9	<b>Incident Definition</b>	Enter a general definition of the incident in this block. This may be a general incident category or kind description, such as "tornado," "wildfire," "bridge collapse," "civil unrest," "parade," "vehicle fire," "mass casualty," etc.
10	<b>Evaluation</b>	Enter "X" under the appropriate column indicating the individual's level of performance for each duty listed.
	N/A	The duty did not apply to this incident.
	1 – Unacceptable	Does not meet minimum requirements of the individual element. Deficiencies/Improvements needed must be identified in Remarks.
	2 – Needs Improvement	Meets some or most of the requirements of the individual element. IDENTIFY IMPROVEMENT NEEDED IN REMARKS.
	3 – Met Standards	Satisfactory. Employee meets all requirements of the individual element.

Block Number	Block Title	Instructions
	4 – Fully Successful	Employee meets all requirements and exceeds one or several of the requirements of the individual element.
10	5 – Exceeded Expectations	Superior. Employee consistently exceeds the performance requirements.
11	<b>Knowledge of the Job/ Professional Competence:</b>	Ability to acquire, apply, and share technical and administrative knowledge and skills associated with description of duties. (Includes operational aspects such as marine safety, seamanship, airmanship, SAR, etc., as appropriate.)
12	<b>Ability To Obtain Performance/Results:</b>	Quality, quantity, timeliness, and impact of work.
13	<b>Planning/Preparedness:</b>	Ability to anticipate, determine goals, identify relevant information, set priorities and deadlines, and create a shared vision of the Incident Management Team (IMT).
14	<b>Using Resources:</b>	Ability to manage time, materials, information, money, and people (i.e., all IMT components as well as external publics).
15	<b>Adaptability/Attitude:</b>	Ability to maintain a positive attitude and modify work methods and priorities in response to new information, changing conditions, political realities, or unexpected obstacles.
16	<b>Communication Skills:</b>	Ability to speak effectively and listen to understand. Ability to express facts and ideas clearly and convincingly.
17	<b>Ability To Work on a Team:</b>	Ability to manage, lead and participate in teams, encourage cooperation, and develop esprit de corps.
18	<b>Consideration for Personnel/Team Welfare:</b>	Ability to consider and respond to others' personal needs, capabilities, and achievements; support for and application of work life concepts and skills.
19	<b>Directing Others:</b>	Ability to influence or direct others in accomplishing tasks or missions.
20	<b>Judgment/Decisions Under Stress:</b>	Ability to make sound decisions and provide valid recommendations by using facts, experience, political acumen, common sense, risk assessment, and analytical thought.
21	<b>Initiative</b>	Ability to originate and act on new ideas, pursue opportunities to learn and develop, and seek responsibility without guidance and supervision.
22	<b>Physical Ability for the Job:</b>	Ability to invest in the IMT's future by caring for the physical health and emotional well-being of self and others.
23	<b>Adherence to Safety:</b>	Ability to invest in the IMT's future by caring for the safety of self and others.
24	<b>Remarks</b>	Enter specific information on why the individual received performance levels.
25	<b>Rated Individual</b> (This rating has been discussed with me) <ul style="list-style-type: none"> <li>• Signature</li> </ul>	Enter the signature of the individual being rated. Enter the date (month/day/year) and the time (24-hour clock) signed.
26	<b>Rated by</b> <ul style="list-style-type: none"> <li>• Name</li> <li>• Signature</li> <li>• Home Unit</li> <li>• Position Held on This Incident</li> <li>• Date/Time</li> </ul>	Enter the name, signature, home unit, and position held on the incident of the person preparing the form and rating the individual. Enter the date (month/day/year) and the time (24-hour clock) prepared.

## **Appendix S – Command Considerations During Demobilization/Close Out**

- Obtain and incorporate Executive direction into demobilization/close out activities as appropriate
- Establish agreement on demobilization/close out decisions, procedures, etc. among Unified Command (if applicable)
- Provide clear expectations and tasking to staff
- Ensure appropriate staffing remains in place until demobilization/close out responsibilities have been met
- Ensure a thorough documentation package (both for response and cost) and archive is created, assigned to the appropriate agency/entity, and maintained for future use
- Ensure effective monitoring and proper demobilization/close out of funding sources in a timely fashion
- Assign accountability for, and proper disposal of all property purchased, issued, leased, etc. by the IMT
- Assign development of demobilization/close out briefing/debriefing package and/or presentations
- Ensure generation, approval and dissemination of press releases, stakeholder notifications, or

other informational bulletins to inform interested parties of the response demobilization/close out

- Ensure incident facilities and equipment are returned to the proper condition
- Oversee the generation of recognition for responders where appropriate

# Incident Commander/Unified Command Activities in the ICS Planning Process

