ICS-400: Advanced ICS

Command and General Staff - Complex Incidents

Student Manual

September 2011

U.S. DEPARTMENT OF HOMELAND SECURITY

FEMA

ICS-400 – ADVANCED ICS FOR COMMAND AND GENERAL STAFF, COMPLEX INCIDENTS, AND MACS

STUDENT MANUAL
SEPTEMBER 2011

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UNIT 1: COURSE OVERVIEW

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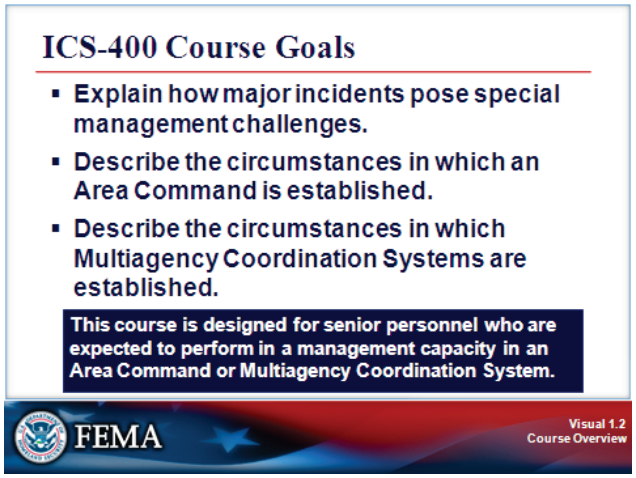
Visuals



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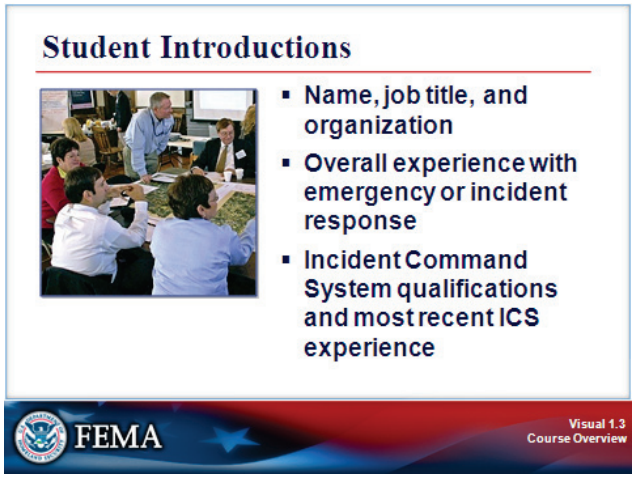

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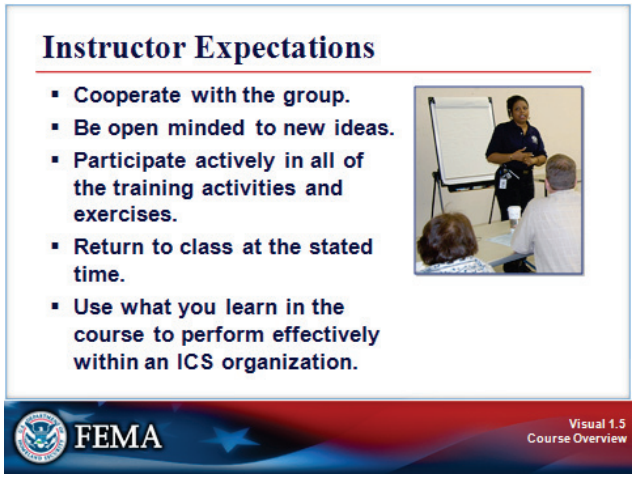

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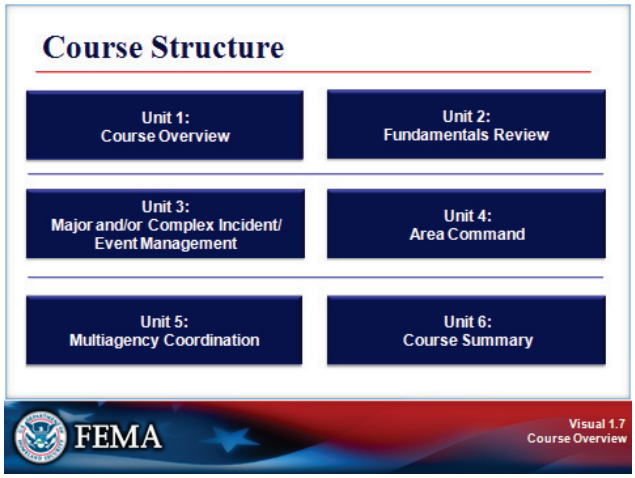

Your Notes

Visuals

View the sample agenda on the next page.

Your Notes

ICS-400: Advanced ICS for
Command and General Staff, Complex Incidents, and MACS
Sample Agenda

DAY 1

Morning Session

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

Afternoon Session

- Unit 3: Major and/or Complex Incident/Event Management (2 hours 30 minutes)

DAY 2

Morning Session

- Unit 4: Area Command (3 hours)

Afternoon Session

- Unit 5: Multiagency Coordination (3 hours)
- Unit 6: Course Summary (1 hour)

UNIT 2: FUNDAMENTALS REVIEW FOR COMMAND AND GENERAL STAFF

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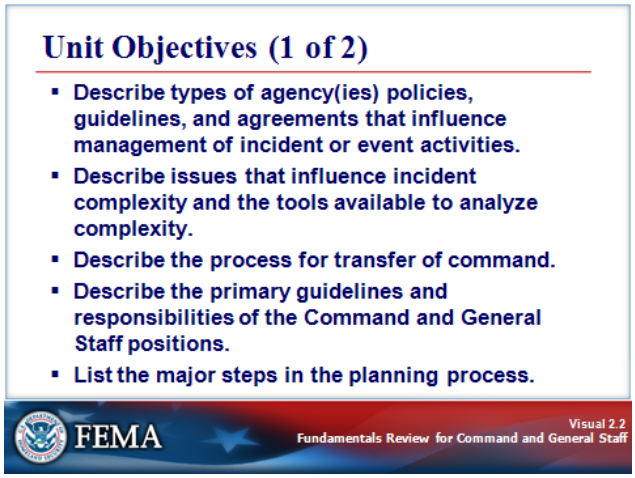
Visuals



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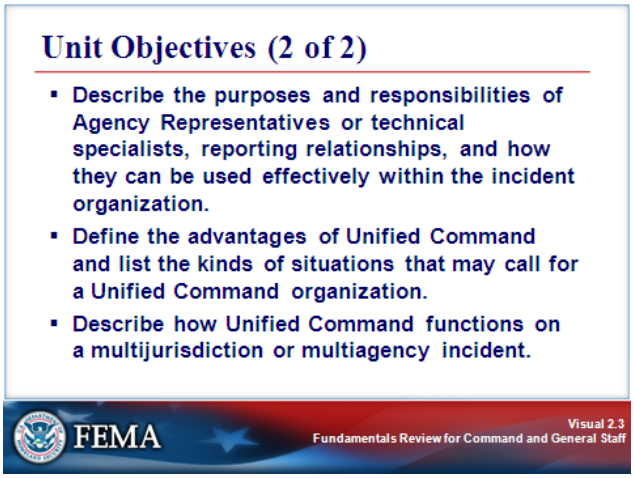

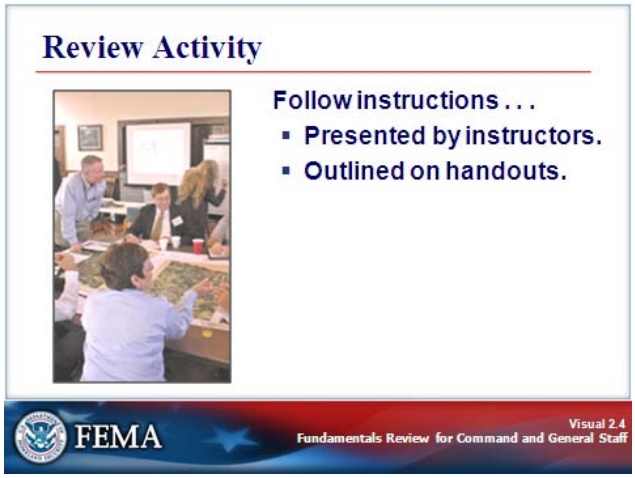

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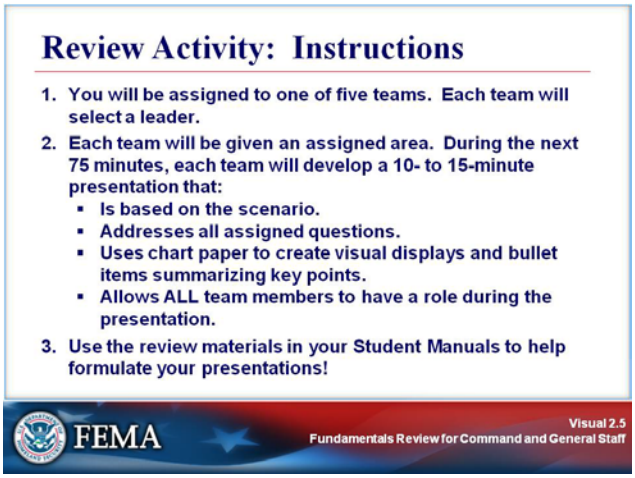


Complete the activity before proceeding.

Your Notes

Review Materials

Incident Command System (ICS)

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

The Incident Command System:

- Is a standardized management tool for meeting the demands of small or large emergency or nonemergency situations.
- Represents "best practices" and has become the standard for emergency management across the country.
- May be used for planned events, natural disasters, and acts of terrorism.
- Is a key feature of the National Incident Management System (NIMS).

ICS is a management system designed to enable effective and efficient domestic incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to enable effective and efficient domestic incident management. A basic premise of ICS is that it is widely applicable. It is used to organize both near-term and long-term field-level operations for a broad spectrum of emergencies, from small to complex incidents, both natural and manmade. ICS is used by all levels of government—Federal, State, local, and tribal—as well as by many private-sector and nongovernmental organizations. ICS is also applicable across disciplines. It is normally structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance and administration.

Review Materials

Incident Complexity

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

Incident complexity is considered when making incident management level, staffing, and safety decisions.

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

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

Review Materials

ICS Features

The 14 essential ICS features are listed below.

Standardization

- **Common Terminology:** Using common terminology helps to define organizational functions, incident facilities, resource descriptions, and position titles.

Command

- **Establishment and Transfer of Command:** The command function must be clearly established from the beginning of an incident. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations.

- **Chain of Command and Unity of Command:** Chain of command refers to the orderly line of authority within the ranks of the incident management organization. Unity of command means that every individual has a designated supervisor to whom he or she reports at the scene of the incident. These principles clarify reporting relationships and eliminate the confusion caused by multiple, conflicting directives. Incident managers at all levels must be able to control the actions of all personnel under their supervision.

- **Unified Command:** In incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement, Unified Command allows agencies with different legal, geographic, and functional authorities and responsibilities to work together effectively without affecting individual agency authority, responsibility, or accountability.

Planning/Organizational Structure

- **Management by Objectives:** Includes establishing overarching objectives; developing strategies based on incident objectives; developing and issuing assignments, plans, procedures, and protocols; establishing specific, measurable objectives for various incident management functional activities and directing efforts to attain them, in support of defined strategies; and documenting results to measure performance and facilitate corrective action.

- **Modular Organization:** The Incident Command organizational structure develops in a modular fashion that is based on the size and complexity of the incident, as well as the specifics of the hazard environment created by the incident.

- **Incident Action Planning:** Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the context of both operational and support activities.

- **Manageable Span of Control:** Span of control is key to effective and efficient incident management. Within ICS, the span of control of any individual with incident management supervisory responsibility should range from three to seven subordinates.

Review Materials

ICS Features (Continued)

Facilities and Resources

- **Incident Locations and Facilities:** Various types of operational support facilities are established in the vicinity of an incident to accomplish a variety of purposes. Typical designated facilities include Incident Command Posts, Bases, Camps, Staging Areas, Mass Casualty Triage Areas, and others as required.

- **Comprehensive Resource Management:** Maintaining an accurate and up-to-date picture of resource utilization is a critical component of incident management. Resources are defined as personnel, teams, equipment, supplies, and facilities available or potentially available for assignment or allocation in support of incident management and emergency response activities.

Communications/Information Management

- **Integrated Communications:** Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures.

- **Information and Intelligence Management:** The incident management organization must establish a process for gathering, analyzing, sharing, and managing incident-related information and intelligence.

Professionalism

- **Accountability:** Effective accountability at all jurisdictional levels and within individual functional areas during incident operations is essential. To that end, the following principles must be adhered to:

    - **Check-In:** All responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the Incident Commander.
    - **Incident Action Plan:** Response operations must be directed and coordinated as outlined in the IAP.
    - **Unity of Command:** Each individual involved in incident operations will be assigned to only one supervisor.
    - **Personal Responsibility:** All responders are expected to use good judgment and be accountable for their actions.
    - **Span of Control:** Supervisors must be able to adequately supervise and control their subordinates, as well as communicate with and manage all resources under their supervision.
    - **Resource Tracking:** Supervisors must record and report resource status changes as they occur.

- **Dispatch/Deployment:** Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.

Review Materials

Transfer of Command

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

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

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

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

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

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

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

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

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

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

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

Review Materials

Transfer of Command (Continued)

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

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

Modular Organization

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

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

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

Position Titles

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

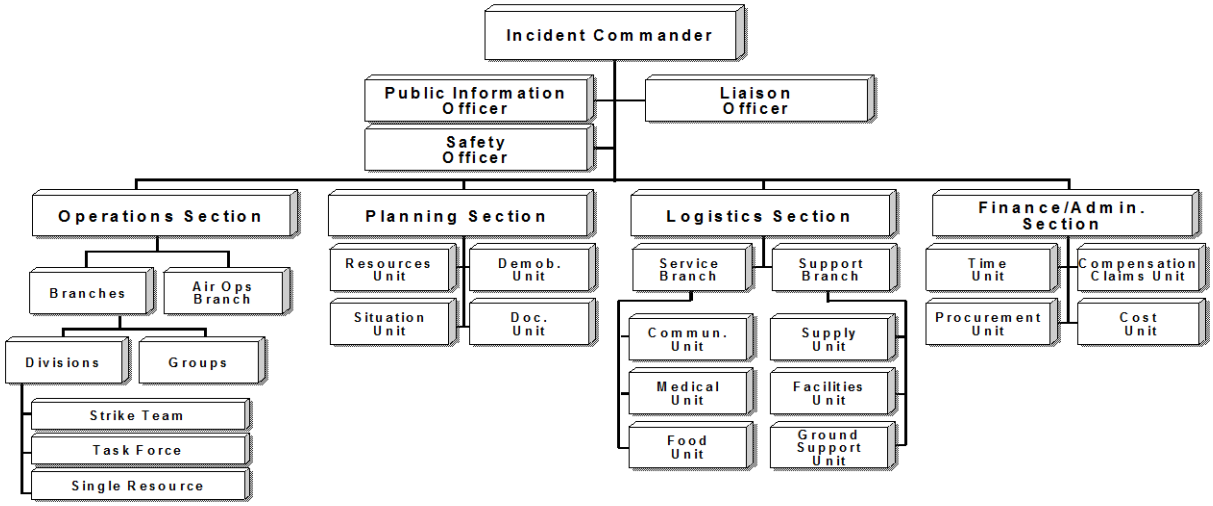
The use of distinct titles for ICS positions allows for filling ICS positions with the most qualified individuals rather than by seniority. Standardized position titles are useful when requesting qualified personnel. For example, in deploying personnel, it is important to know if the positions needed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

Listed below are the standard ICS titles:

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

Review Materials

ICS Organization



- **Command Staff:** The Command Staff consists of the Public Information Officer, Safety Officer, and Liaison Officer. They report directly to the Incident Commander.
- **Section:** The organization level having functional responsibility for primary segments of incident management (Operations, Planning, Logistics, Finance/Administration). The Section level is organizationally between Incident Commander and Branch.
- **Branch:** The organizational level having functional, geographical, or jurisdictional responsibility for major parts of the incident operations. The Branch level is organizationally between Section and Division/Group in the Operations Section, and between Section and Units in the Logistics Section. Branches are identified by the use of Roman numerals, by function, or by jurisdictional name.
- **Division:** The organizational level having responsibility for operations within a defined geographic area. The Division level is organizationally between Branch and Strike Team.
- **Group:** Groups are established to divide the incident into functional areas of operation. Groups are located between Branches (when activated) and Resources in the Operations Section.
- **Unit:** The organizational element having functional responsibility for a specific incident planning, logistics, or finance/administration activity.
- **Task Force:** A group of resources with common communications and a leader that may be preestablished and sent to an incident, or formed at an incident.
- **Strike Team:** Specified combination of the same kind and type of resources, with common communications and a leader.
- **Single Resource:** An individual piece of equipment and its personnel complement, or an established crew or team of individuals with an identified work supervisor that can be used on an incident.

Review Materials

Overall Organizational Functions

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

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

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

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

Incident Commander

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

- Ensuring clear authority and knowledge of agency policy.
- Ensuring incident safety.
- Establishing an Incident Command Post.
- Obtaining a briefing from the prior Incident Commander and/or assessing the situation.
- Establishing immediate priorities.
- Determining incident objectives and strategy (ies) to be followed.
- Establishing the level of organization needed, and continuously monitoring the operation and effectiveness of that organization.
- Managing planning meetings as required.
- Approving and implementing the Incident Action Plan.
- Coordinating the activities of the Command and General Staffs.
- Approving requests for additional resources or for the release of resources.
- Approving the use of participants, volunteers, and auxiliary personnel.
- Authorizing the release of information to the news media.
- Ordering demobilization of the incident when appropriate.
- Ensuring incident after-action reports are complete.
- Authorizing information release to the media.

Review Materials

Command Staff

The Command Staff is assigned to carry out staff functions needed to support the Incident Commander. These functions include interagency liaison, incident safety, and public information.

Command Staff positions are established to assign responsibility for key activities not specifically identified in the General Staff functional elements. These positions may include the Public Information Officer, Safety Officer, and Liaison Officer, in addition to various others, as required and assigned by the Incident Commander.

The table on the following page summarizes the responsibilities of the Command Staff.

General Staff

The General Staff represents and is responsible for the functional aspects of the incident command structure. The General Staff typically consists of the Operations, Planning, Logistics, and Finance/Administration Sections.

General guidelines related to General Staff positions include the following:

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

The following table summarizes the responsibilities of the Command and General Staffs.

Review Materials

Command Staff	Responsibilities
Public Information Officer	▪ Determine, according to direction from the Incident Commander, any limits on information release. ▪ Develop accurate, accessible, and timely information for use in press/media briefings. ▪ Obtain Incident Commander's approval of news releases. ▪ Conduct periodic media briefings. ▪ Arrange for tours and other interviews or briefings that may be required. ▪ Monitor and forward media information that may be useful to incident planning. ▪ Maintain current information, summaries, and/or displays on the incident. ▪ Make information about the incident available to incident personnel. ▪ Participate in the planning meeting.
Safety Officer	▪ Identify and mitigate hazardous situations. ▪ Ensure safety messages and briefings are made. ▪ Exercise emergency authority to stop and prevent unsafe acts. ▪ Review the Incident Action Plan for safety implications. ▪ Assign assistants qualified to evaluate special hazards. ▪ Initiate preliminary investigation of accidents within the incident area. ▪ Review and approve the Medical Plan. ▪ Participate in planning meetings.
Liaison Officer	▪ Act as a point of contact for agency representatives. ▪ Maintain a list of assisting and cooperating agencies and agency representatives. ▪ Assist in setting up and coordinating interagency contacts. ▪ Monitor incident operations to identify current or potential interorganizational problems. ▪ Participate in planning meetings, providing current resource status, including limitations and capabilities of agency resources. ▪ Provide agency-specific demobilization information and requirements.
Assistants	In the context of large or complex incidents, Command Staff members may need one or more assistants to help manage their workloads. Each Command Staff member is responsible for organizing his or her assistants for maximum efficiency.
Additional Command Staff	Additional Command Staff positions may also be necessary depending on the nature and location(s) of the incident, and/or specific requirements established by the Incident Commander. For example, a Legal Counsel may be assigned directly to the Command Staff to advise the Incident Commander on legal matters, such as emergency proclamations, legality of evacuation orders, and legal rights and restrictions pertaining to media access. Similarly, a Medical Advisor may be designated and assigned directly to the Command Staff to provide advice and recommendations to the Incident Commander in the context of incidents involving medical and mental health services, mass casualty, acute care, vector control, epidemiology, and/or mass prophylaxis considerations, particularly in the response to a bioterrorism event.

Review Materials

General Staff	Responsibilities
Operations Section Chief	The Operations Section Chief is responsible for managing all tactical operations at an incident. The Incident Action Plan (IAP) provides the necessary guidance. The need to expand the Operations Section is generally dictated by the number of tactical resources involved and is influenced by span of control considerations. Major responsibilities of the Operations Section Chief are to: ▪ Assure safety of tactical operations. ▪ Manage tactical operations. ▪ Develop the operations portion of the IAP. ▪ Supervise execution of operations portions of the IAP. ▪ Request additional resources to support tactical operations. ▪ Approve release of resources from active operational assignments. ▪ Make or approve expedient changes to the IAP. ▪ Maintain close contact with Incident Commander, subordinate Operations personnel, and other agencies involved in the incident.
Planning Section Chief	The Planning Section Chief is responsible for providing planning services for the incident. Under the direction of the Planning Section Chief, the Planning Section collects situation and resources status information, evaluates it, and processes the information for use in developing action plans. Dissemination of information can be in the form of the IAP, in formal briefings, or through map and status board displays. Major responsibilities of the Planning Section Chief are to: ▪ Collect and manage all incident-relevant operational data. ▪ Supervise preparation of the IAP. ▪ Provide input to the Incident Commander and Operations in preparing the IAP. ▪ Incorporate Traffic, Medical, and Communications Plans and other supporting materials into the IAP. ▪ Conduct and facilitate planning meetings. ▪ Reassign personnel within the ICS organization. ▪ Compile and display incident status information. ▪ Establish information requirements and reporting schedules for units (e.g., Resources, Situation Units). ▪ Determine need for specialized resources. ▪ Assemble and disassemble Task Forces and Strike Teams not assigned to Operations. ▪ Establish specialized data collection systems as necessary (e.g., weather). ▪ Assemble information on alternative strategies. ▪ Provide periodic predictions on incident potential. ▪ Report significant changes in incident status. ▪ Oversee preparation of the Demobilization Plan.

Review Materials

General Staff	Responsibilities
Logistics Section Chief	The Logistics Section Chief provides all incident support needs with the exception of logistics support to air operations. The Logistics Section is responsible for providing: ▪ Facilities. ▪ Transportation. ▪ Communications. ▪ Supplies. ▪ Equipment maintenance and fueling. ▪ Food services (for responders). ▪ Medical services (for responders). ▪ All off-incident resources. Major responsibilities of the Logistics Section Chief are to: ▪ Provide all facilities, transportation, communications, supplies, equipment maintenance and fueling, food and medical services for incident personnel, and all off-incident resources. ▪ Manage all incident logistics. ▪ Provide logistical input to the IAP. ▪ Brief Logistics Staff as needed. ▪ Identify anticipated and known incident service and support requirements. ▪ Request additional resources as needed. ▪ Ensure and oversee the development of the Communications, Medical, and Traffic Plans as required. ▪ Oversee demobilization of the Logistics Section and associated resources.
Finance/ Administration Section Chief	The Finance/Administration Section Chief is responsible for managing all financial aspects of an incident. Not all incidents will require a Finance/Administration Section. Only when the involved agencies have a specific need for finance services will the Section be activated. Major responsibilities of the Finance/Administration Section Chief are to: ▪ Manage all financial aspects of an incident. ▪ Provide financial and cost analysis information as requested. ▪ Ensure compensation and claims functions are being addressed relative to the incident. ▪ Gather pertinent information from briefings with responsible agencies. ▪ Develop an operating plan for the Finance/Administration Section and fill Section supply and support needs. ▪ Determine the need to set up and operate an incident commissary. ▪ Meet with assisting and cooperating agency representatives as needed. ▪ Maintain daily contact with agency(s) headquarters on finance matters. ▪ Ensure that personnel time records are completed accurately and transmitted to home agencies. ▪ Ensure that all obligation documents initiated at the incident are properly prepared and completed. ▪ Brief agency administrative personnel on all incident-related financial issues needing attention or followup. ▪ Provide input to the IAP.

Review Materials

Agency Representatives

An Agency Representative is an individual assigned to an incident from an assisting or cooperating agency. The Agency Representative must be given authority to make decisions on matters affecting that agency's participation at the incident.

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

Major responsibilities of the Agency Representative are to:

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

Technical Specialists

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

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

- Meteorologists.
- Environmental Impact Specialists.
- Flood Control Specialists.
- Water Use Specialists.
- Fuels and Flammable Materials Specialists.
- Hazardous Substance Specialists.
- Fire Behavior Specialists.
- Structural Engineers.
- Training Specialists.

Review Materials

Technical Specialists (Continued)

Additional advisory positions may also be necessary depending on the nature and location(s) of the incident, and/or specific requirements established by the Incident Commander. For example, a Legal Counsel may be assigned directly to the Command Staff to advise the Incident Commander on legal matters, such as emergency proclamations, legality of evacuation orders, and legal rights and restrictions pertaining to media access. Similarly, a Medical Advisor may be designated and assigned directly to the Command Staff to provide advice and recommendations to the Incident Commander in the context of incidents involving medical and mental health services, mass casualty, acute care, vector control, epidemiology, and/or mass prophylaxis considerations, particularly in the response to a bioterrorism event. These positions may also be considered technical specialists.

Intelligence/Investigations Function

- **The collection, analysis, and sharing of incident-related intelligence are important elements of ICS.**
  - Typically, operational information and situational intelligence are management functions located in the Planning Section, with a focus on three incident intelligence areas: situation status, resource status, and anticipated incident status or escalation (e.g., weather forecasts, location of supplies, etc.).
  - This information and intelligence is utilized for incident management decisionmaking. In addition, technical specialists may be utilized in the Planning Section to provide specific information that may support tactical decisions on an incident.
- **Incident management organizations must also establish a system for the collection, analysis, and sharing, as possible, of information developed during intelligence/investigations efforts.**
  - Some incidents require the utilization of intelligence and investigative information to support the process. Intelligence and investigative information is defined as information that either leads to the detection, prevention, apprehension, and prosecution of criminal activities (or the individuals(s) involved), including terrorist incidents, or information that leads to determination of the cause of a given incident (regardless of the source) such as public health events or fires with unknown origins.

Review Materials

Intelligence/Investigations Function (Continued)

- **ICS allows for organizational flexibility, so the Intelligence/Investigations Function can be embedded in several different places within the organizational structure:**

  - **Within the Planning Section.** This is the traditional placement for this function and is appropriate for incidents with little or no investigative information requirements, nor a significant amount of specialized information.
  - **As a Separate General Staff Section.** This option may be appropriate when there is an intelligence/investigative component to the incident or when multiple investigative agencies are part of the investigative process and/or there is a need for classified intelligence.
  - **Within the Operations Section.** This option may be appropriate for incidents that require a high degree of linkage and coordination between the investigative information and the operational tactics that are being employed.
  - **Within the Command Staff.** This option may be appropriate for incidents with little need for tactical information or classified intelligence and where supporting Agency Representatives are providing the real-time information to the Command element.

- **The mission of the Intelligence/Investigations Function is to ensure that all investigative and intelligence operations, functions, and activities within the incident response are properly managed, coordinated, and directed in order to:**

  - Prevent/deter additional activity, incidents, and/or attacks.
  - Collect, process, analyze, and appropriately disseminate intelligence information.
  - Conduct a thorough and comprehensive investigation.
  - Identify, process, collect, create a chain of custody for, safeguard, examine/analyze, and store all situational intelligence and/or probative evidence.

- **The Intelligence/Investigations Function has responsibilities that cross all departments' interests involved during an incident, but there are functions that remain specific to law enforcement response and/or mission areas.** Two examples of these are expeditious identification and apprehension of all perpetrators, and successful prosecution of all defendants.

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

Review Materials

Unified Command

The Unified Command organization consists of the Incident Commanders from the various jurisdictions or agencies operating together to form a single command structure.

Overview

Unified Command is an important element in multijurisdictional or multiagency domestic incident management. It provides guidelines to enable agencies with different legal, geographic, and functional responsibilities to coordinate, plan, and interact effectively.

As a team effort, Unified Command overcomes much of the inefficiency and duplication of effort that can occur when agencies from different functional and geographic jurisdictions, or agencies at different levels of government, operate without a common system or organizational framework.

All agencies with jurisdictional authority or functional responsibility for any or all aspects of an incident participate in the Unified Command structure and contribute to the following process and responsibilities:

- Determining overall incident strategies.
- Selecting objectives.
- Ensuring that joint planning for tactical activities is accomplished in accordance with approved incident objectives.
- Ensuring the integration of tactical operations.
- Approving, committing, and making optimal use of all assigned resources.

The exact composition of the Unified Command structure will depend on the location(s) of the incident (i.e., which geographical administrative jurisdictions are involved) and the type of incident (i.e., which functional agencies of the involved jurisdiction(s) are required). In the case of some multijurisdictional incidents, the designation of a single Incident Commander may be considered to promote greater unity of effort and efficiency.

Source: NIMS

Authority

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

Review Materials

Unified Command (Continued)

Advantages of Using Unified Command

The advantages of using Unified Command include:

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

Planning Process

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

Those involved in the original ICS development felt that there was a need to develop a simple but thorough process for planning that could be utilized for both smaller, short-term incidents and events, and for longer, more complex incident planning. The planning process may begin with the scheduling of a planned event, the identification of a credible threat, or the initial response to an actual or impending event. The process continues with the implementation of the formalized steps and staffing required to develop a written Incident Action Plan (IAP).

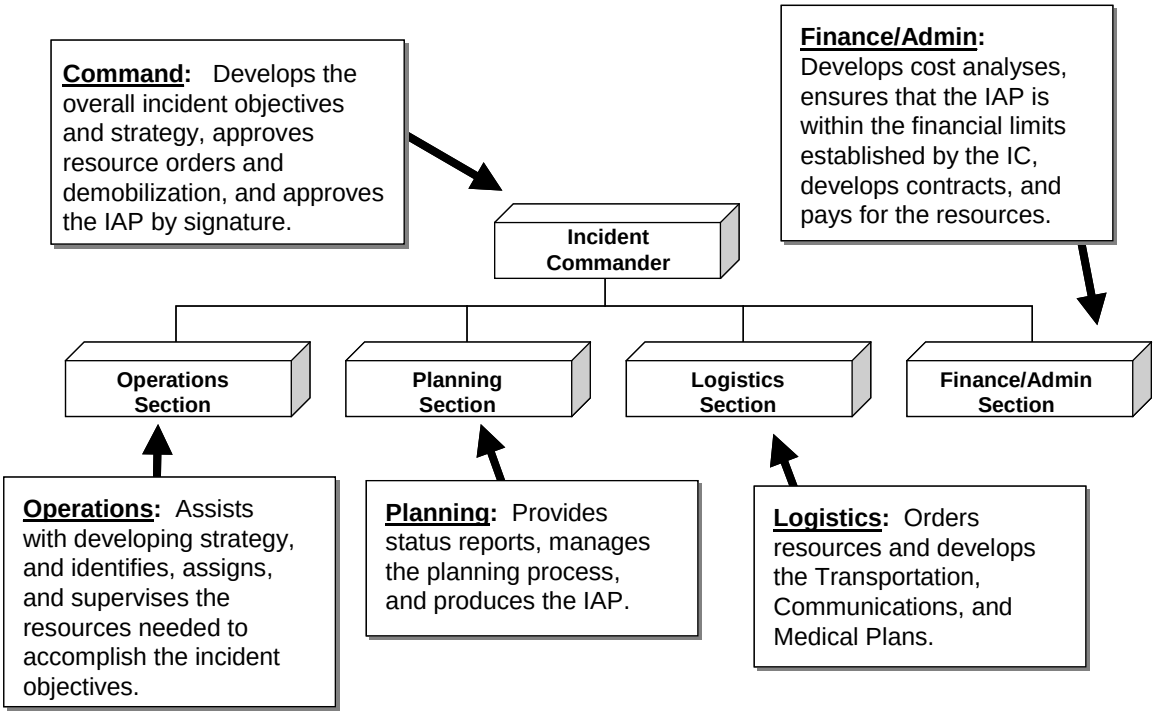
The primary phases of the planning process are essentially the same for the Incident Commander who develops the initial plan, for the Incident Commander and Operations Section Chief revising the initial plan for extended operations, and for the Incident Management Team developing a formal IAP, each following a similar process. During the initial stages of incident management, planners must develop a simple plan that can be communicated through concise verbal briefings. Frequently, this plan must be developed very quickly and with incomplete situation information. As the incident management effort evolves over time, additional lead time, staff, information systems, and technologies enable more detailed planning and cataloging of events and "lessons learned."

Planning involves:

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

Review Materials

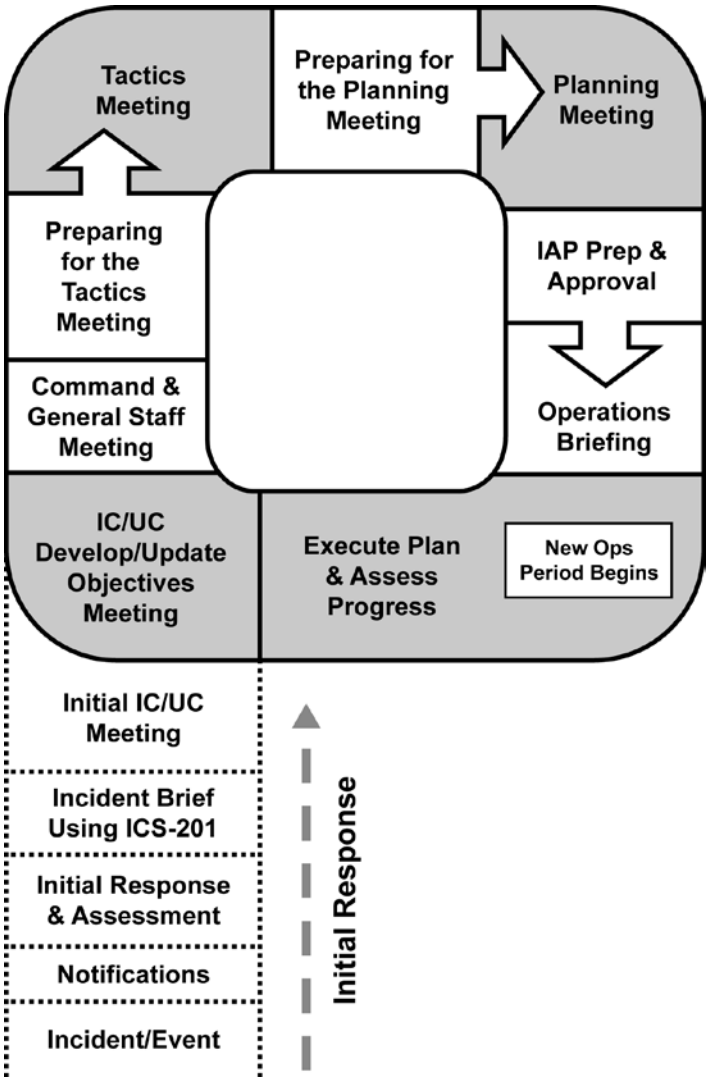
Planning Process (Continued)



Review Materials

Planning Process (Continued)

The Planning "P"



- The Planning "P" is a guide to the process and steps involved in planning for an incident. The leg of the "P" describes the initial response period: Once the incident/event begins, the steps are Notifications, Initial Response & Assessment, Incident Briefing Using ICS 201, and Initial Incident Command (IC)/Unified Command (UC) Meeting.
- At the top of the leg of the "P" is the beginning of the first operational planning period cycle. In this circular sequence, the steps are IC/UC Develop/Update Objectives Meeting, Command and General Staff Meeting, Preparing for the Tactics Meeting, Tactics Meeting, Preparing for the Planning Meeting, Planning Meeting, IAP Prep & Approval, and Operations Briefing.
- At this point a new operational period begins. The next step is Execute Plan & Assess Progress, after which the cycle begins again.

Source: NIMS document

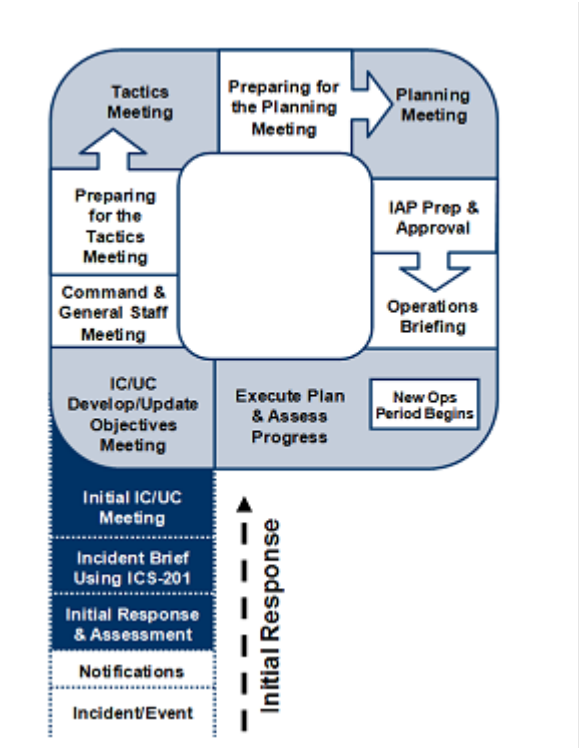
Review Materials

Planning Process (Continued)

Initial Response

Planning begins with a thorough size-up that provides information needed to make initial management decisions.

The ICS Form 201 provides Command Staff with information about the incident situation and the resources allocated to the incident. This form serves as a permanent record of the initial response to the incident and can be used for transfer of command.

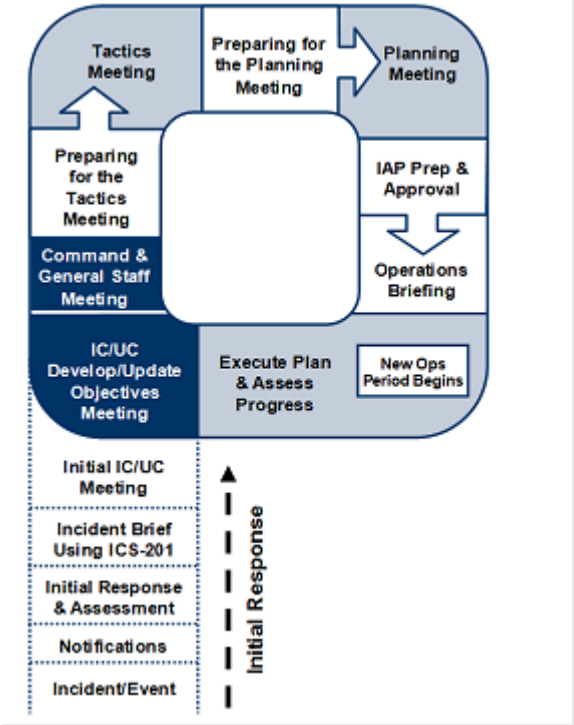


The Start of Each Planning Cycle

- **IC/UC Objectives Meeting:** The Incident Command/Unified Command establishes incident objectives that cover the entire course of the incident. For complex incidents, it may take more than one operational period to accomplish the incident objectives.

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

- **Command and General Staff Meeting:** The Incident Command/Unified Command may meet with the Command and General Staff to gather input or to provide immediate direction that cannot wait until the planning process is completed. This meeting occurs as needed and should be as brief as possible.



Review Materials

Planning Process (Continued)

Preparing for and Conducting the Tactics Meeting

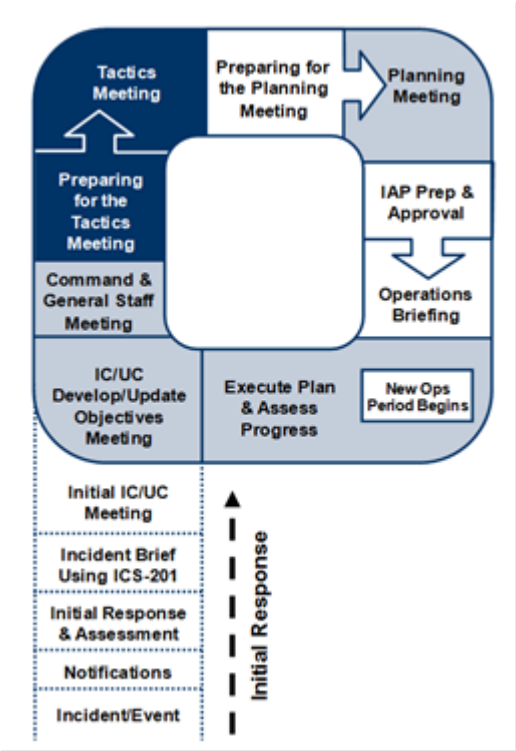
The purpose of the Tactics Meeting is to review the tactics developed by the Operations Section Chief. This includes the following:

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

The Operations Section Chief, Safety Officer, Logistics Section Chief, and Resources Unit Leader attend the Tactics Meeting. The Operations Section Chief leads the Tactics Meeting.

The ICS Forms 215, Operational Planning Worksheet, and 215A, Incident Safety Analysis, are used to document the Tactics Meeting.

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



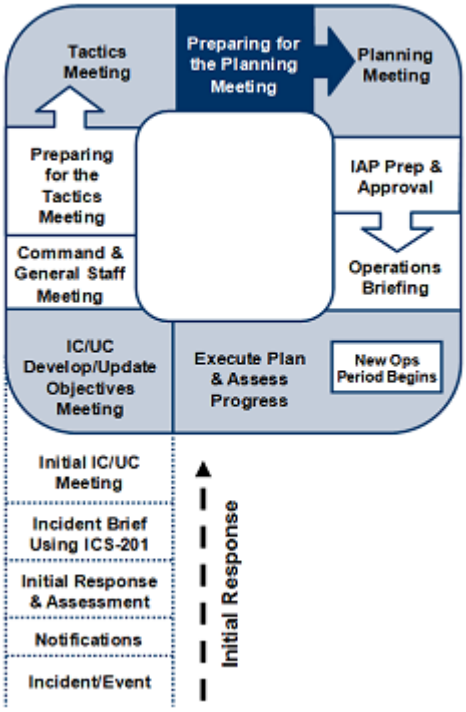
Review Materials

Planning Process (Continued)

Preparing for the Planning Meeting

Following the Tactics Meeting, preparations are made for the Planning Meeting, to include the following actions coordinated by the Planning Section:

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

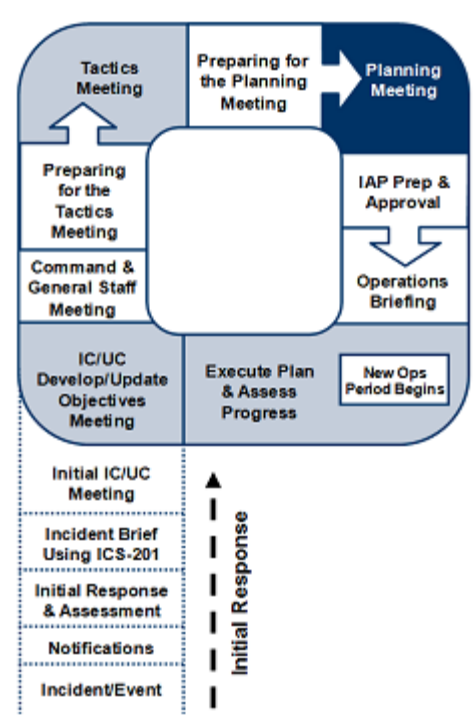


Planning Meeting

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

The Operations Section Chief delineates the amount and type of resources he or she will need to accomplish the plan. The Planning Section's Resources Unit will have to work with the Logistics Section to accommodate.

At the conclusion of the meeting, the Planning Section Staff will indicate when all elements of the plan and support documents are required to be submitted so the plan can be collated, duplicated, and made ready for the Operational Period Briefing.



Review Materials

Planning Process (Continued)

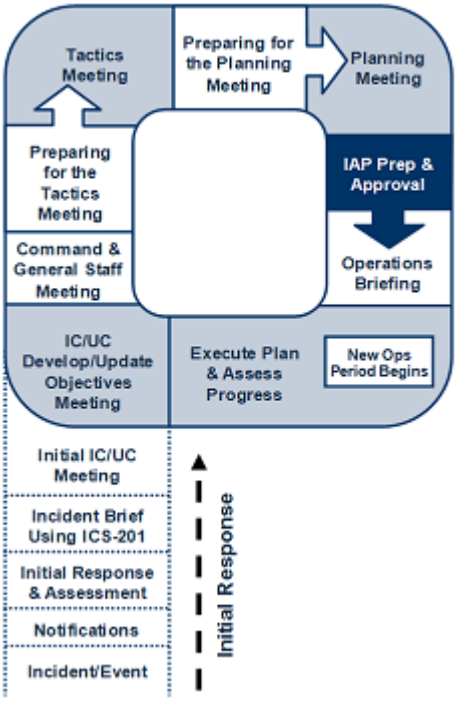
IAP Preparation and Approval

The next step in the Incident Action Planning Process is plan preparation and approval. The written plan is comprised of a series of standard forms and supporting documents that convey the Incident Commander's intent and the Operations Section direction for the accomplishment of the plan for that operational period.

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

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

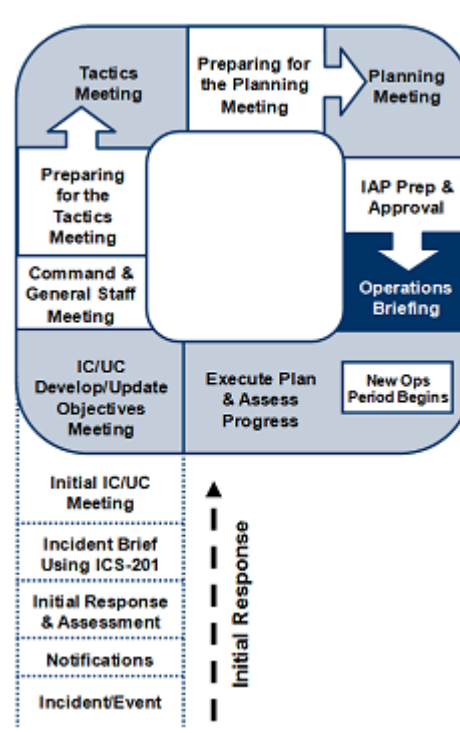
- Two or more jurisdictions are involved in the response.
- The incident continues into the next operational period.
- A number of ICS organizational elements are activated (typically when General Staff Sections are staffed).
- It is required by agency policy.
- A hazmat incident is involved (required).



Operations Briefing

The Operations Briefing may be referred to as the Operational Period Briefing or the Shift Briefing. This briefing is conducted at the beginning of each operational period and presents the Incident Action Plan to supervisors of tactical resources.

Following the Operations Briefing, supervisors will meet with their assigned resources for a detailed briefing on their respective assignments.



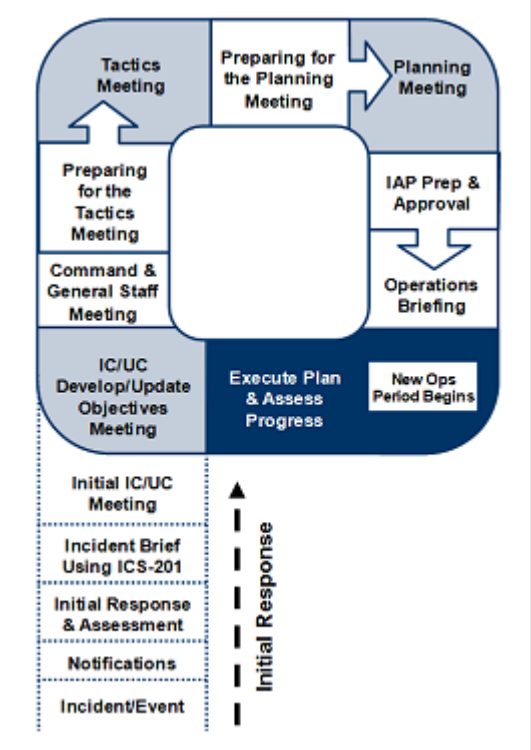
Review Materials

Planning Process (Continued)

Execute Plan and Assess Progress

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

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



Review Materials

ICS Forms

ICS uses a series of standard forms and supporting documents that convey directions for the accomplishment of the objectives and distributing information. Listed below are the standard ICS form titles and descriptions of each form.

Standard Form Title	Description
Incident Action Plan Cover Page ICS 200	Indicates the incident name, plan operational period, date prepared, approvals, and attachments (resources, organization, Communications Plan, Medical Plan, and other appropriate information).
Incident Briefing ICS 201	Provides the Incident Command/Unified Command and General Staff with basic information regarding the incident situation and the resources allocated to the incident. This form also serves as a permanent record of the initial response to the incident.
Incident Objectives ICS 202	Describes the basic strategy and objectives for use during each operational period.
Organization Assignment List ICS 203	Provides information on the response organization and personnel staffing.
Field Assignment ICS 204	Used to inform personnel of assignments. After Incident Command/Unified Command approve the objectives, staff members receive the assignment information contained in this form.
Incident Communications Plan ICS 205	Provides, in one location, information on the assignments for all communications equipment for each operational period. The plan is a summary of information. Information from the Incident Communications Plan on frequency assignments can be placed on the appropriate Assignment form (ICS Form 204).
Medical Plan ICS 206	Provides information on incident medical aid stations, transportation services, hospitals, and medical emergency procedures.
Incident Status Summary ICS 209	Summarizes incident information for staff members and external parties, and provides information to the Public Information Officer for preparation of media releases.
Check-In/Out List ICS 211	Used to check in personnel and equipment arriving at or departing from the incident. Check-in/out consists of reporting specific information that is recorded on the form.
General Message ICS 213	Used by: ▪ Incident dispatchers to record incoming messages that cannot be orally transmitted to the intended recipients. ▪ EOC and other incident personnel to transmit messages via radio or telephone to the addressee. ▪ Incident personnel to send any message or notification that requires hard-copy delivery to other incident personnel.

Review Materials

ICS Forms (Continued)

Standard Form Title	Description
Unit Log ICS 214	Provides a record of unit activities. Unit Logs can provide a basic reference from which to extract information for inclusion in any after-action report.
Operational Planning Worksheet ICS 215	Documents decisions made concerning resource needs for the next operational period. The Planning Section uses this worksheet to complete Assignment Lists, and the Logistics Section uses it for ordering resources for the incident. The form may be used as a source document for updating resource information on other ICS forms such as the ICS 209.
Incident Action Plan Safety Analysis ICS 215A	Communicates to the Operations and Planning Section Chiefs safety and health issues identified by the Safety Officer.
Air Operations Summary ICS 220	Provides information on air operations including the number, type, location, and specific assignments of helicopters and fixed-wing aircraft.
General Plan ICS 226	Addresses long-term objectives approved by Incident Command/Unified Command. These objectives are often expressed as milestones (i.e., timeframes for the completion of all and/or portions of incident response operations). A General Plan should identify the major tasks to be carried out through to the end of emergency response operations, the duration of the tasks, and the major equipment and personnel resources needed to accomplish the tasks within the specified duration.

Demobilization

Demobilization planning helps to:

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

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

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

UNIT 3: MAJOR AND/OR COMPLEX INCIDENT/EVENT MANAGEMENT

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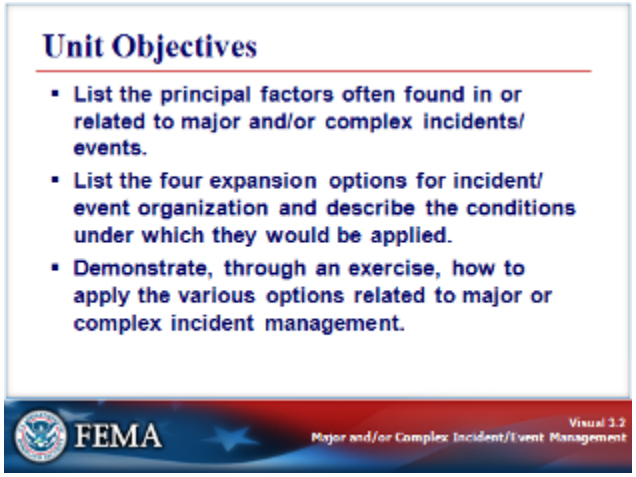
Visuals



Your Notes

Your Notes

Visuals

View the job aid on the next page.

Your Notes

Job Aid: Major/Complex Incidents: Overview

Incidents Requiring Coordinated Federal Response

The types of incidents requiring a coordinated Federal response are described below.

- The resources of State, tribal, and local authorities are overwhelmed or are expected to be and Federal assistance has been requested by the appropriate State authorities.

  Examples include:

  - Major disasters or emergencies as defined under the Stafford Act.
  - Catastrophic incidents. A catastrophic incident is any natural or manmade incident, including terrorism that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.

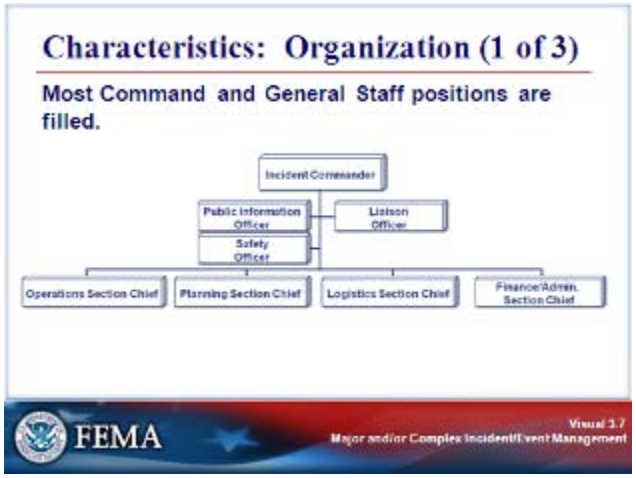
- More than one Federal department or agency has become substantially involved in responding to an incident.

  Examples include:

  - Credible threats, indications, or warnings of imminent terrorist attack, or acts of terrorism directed domestically against the people, property, environment, or political or legal institutions of the United States or its territories or possessions.
  - Threats or incidents related to high-profile, large-scale events that present high-probability targets such as National Special Security Events (NSSEs) and other special events as determined by the Secretary of Homeland Security, in coordination with other Federal departments and agencies.

- A Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security.
- The President has directed the Secretary of Homeland Security to coordinate the Federal response.

Visuals



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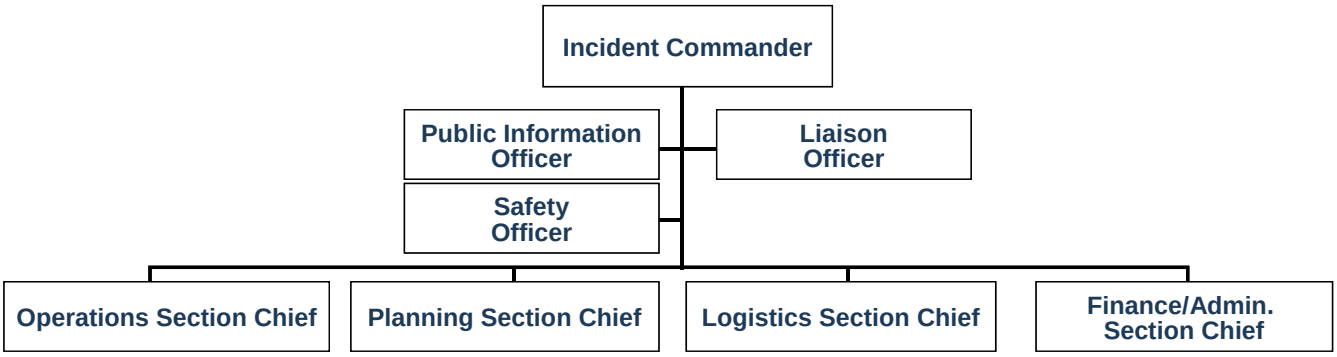

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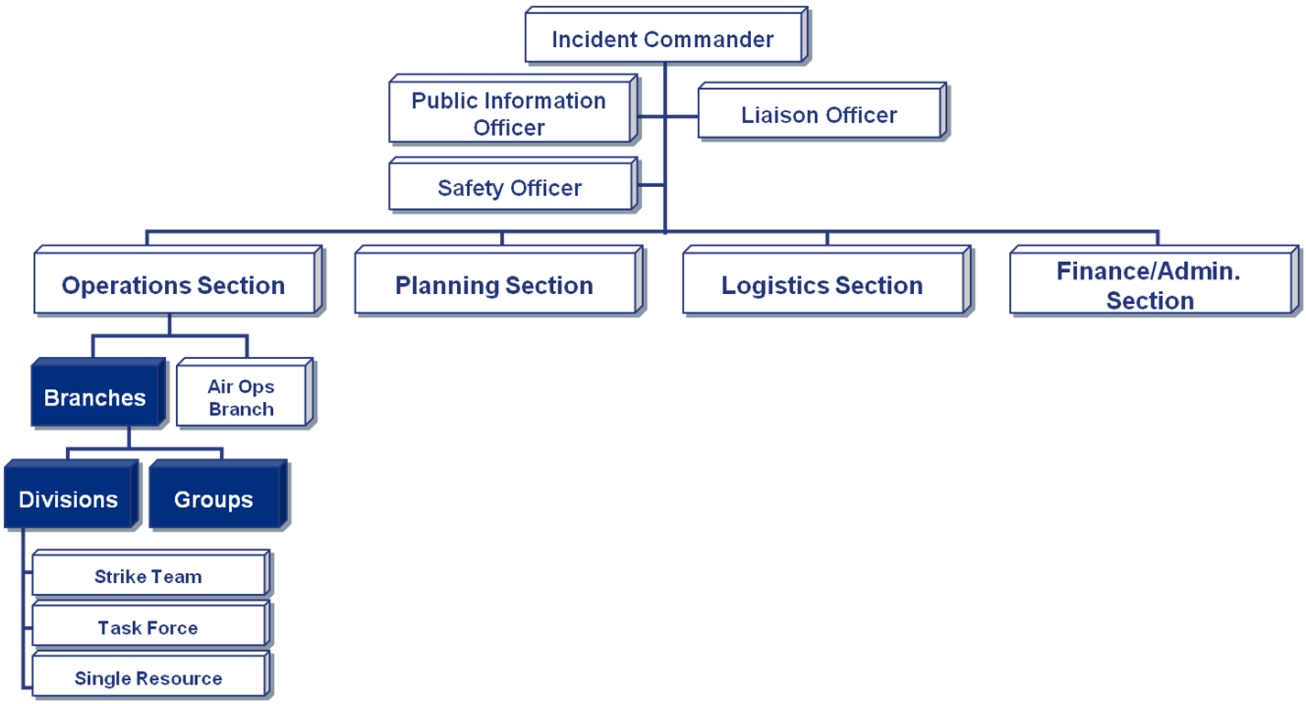

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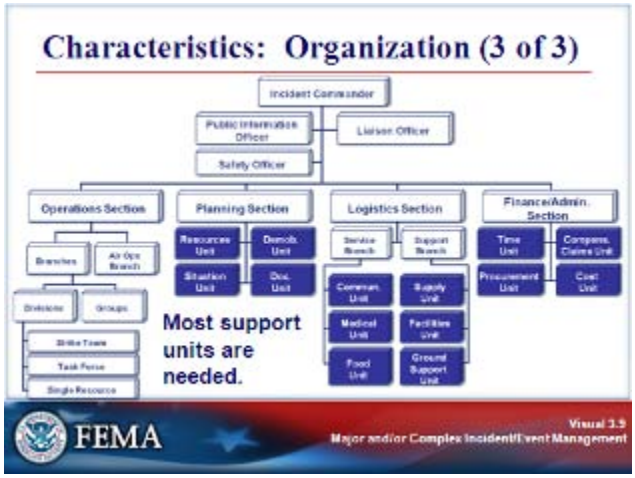

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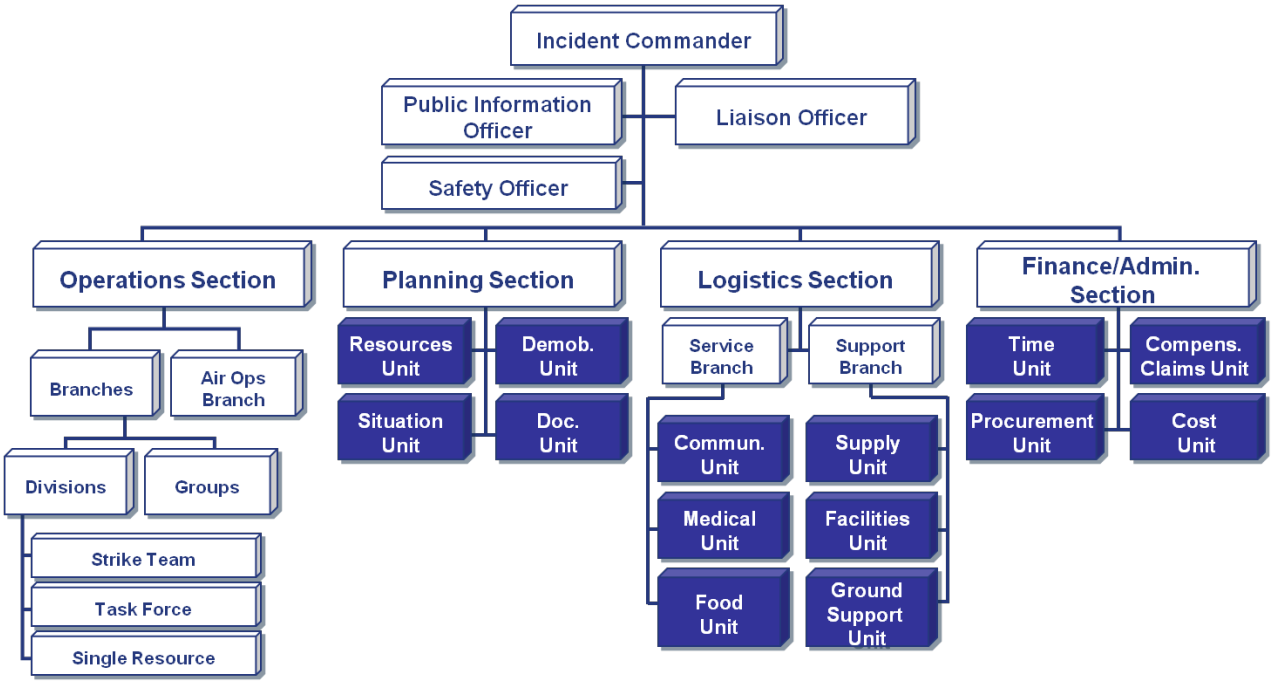

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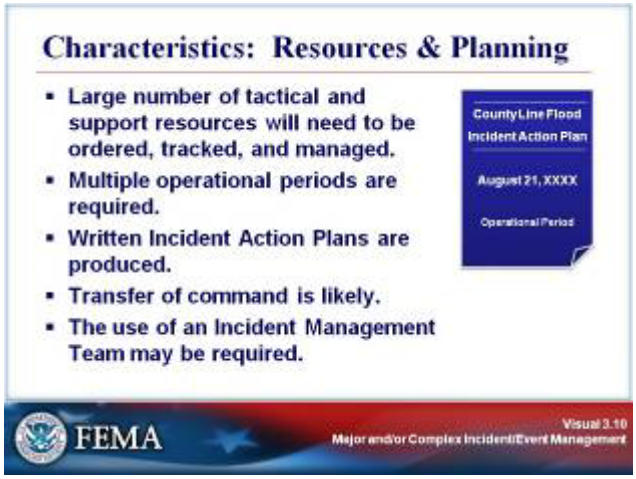

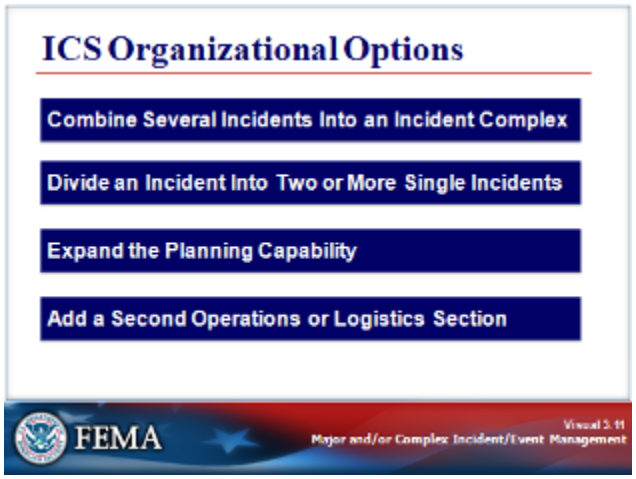

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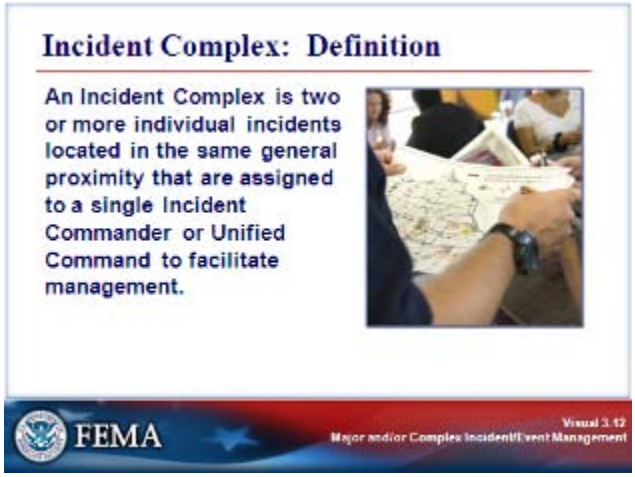

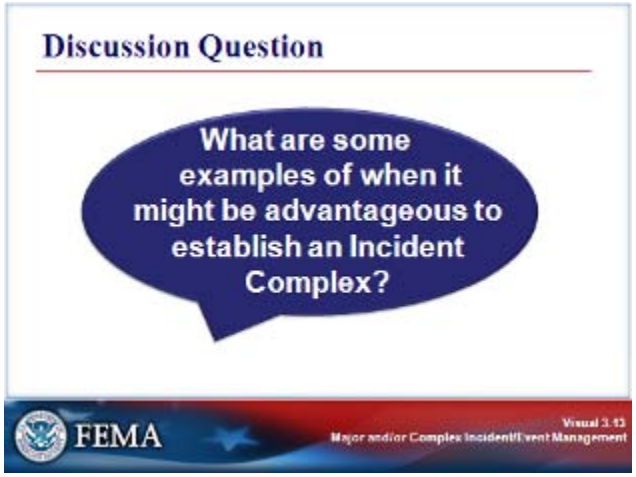

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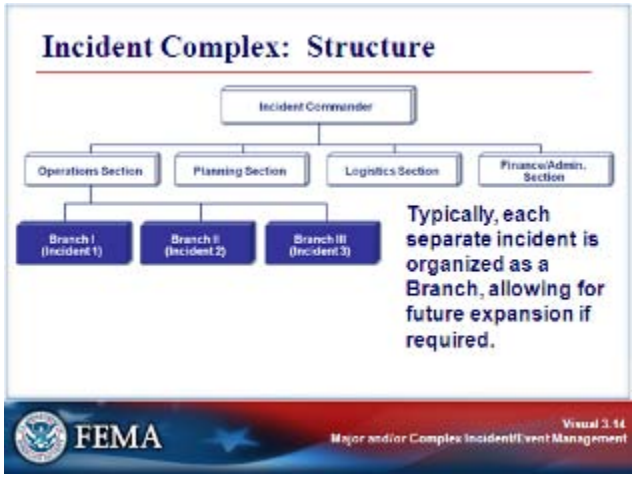


View the job aid on the next page.

Your Notes

Job Aid: Option 1: Establishing an Incident Complex

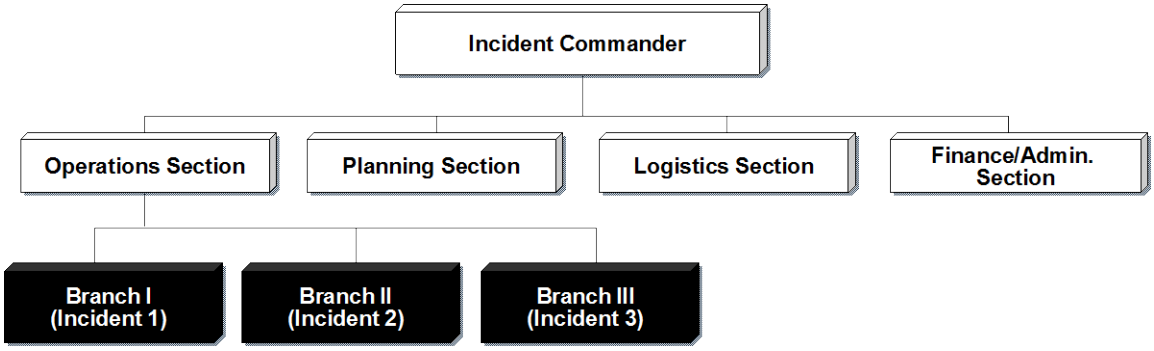
An Incident Complex is two or more individual incidents in the same general proximity that are assigned to a single Incident Commander or Unified Command to manage.

ICS Organizational Strategy

There are several options for managing major or complex incidents. When several incidents occur within the same general proximity and planning, logistics, and finance/administration activities can be adequately and more efficiently provided by a single management team, the incidents might be organized into an Incident Complex.

When several incidents are organized into an Incident Complex, the general guideline is that the individual incidents become Branches within the Operations Section of the Incident Complex structure.

Typically, each separate incident is organized as a Branch, allowing for future expansion if required. Using Branches allows for more flexibility to establish Divisions or Groups if required later. Also, because Divisions and Groups already may have been established at each of the incidents, the same basic structure can be maintained below the Branch level within the Incident Complex.



When to Use It

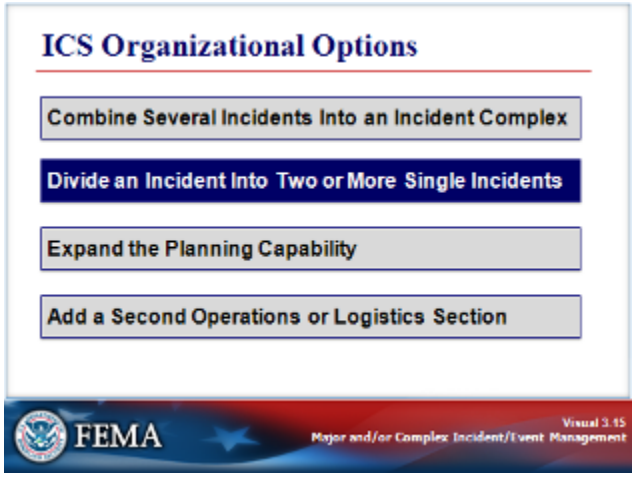
An Incident Complex may be formed when:

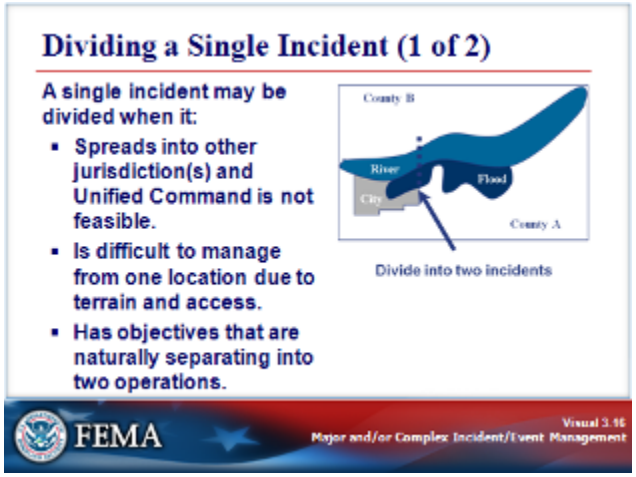
- There are many separate incidents occurring close together.
- One incident is underway and other, smaller incidents occur in the same proximity.
- Management efficiencies can be attained by developing an Incident Complex.

Guidelines for Use

- The incidents must be close enough to each other to be managed by the same Incident Management Team.
- Some staff and/or logistics support economies could be achieved through a combined management approach.
- The number of overall incidents within the agency or jurisdiction requires consolidations wherever possible to conserve staff and reduce costs.
- Planning, logistics, and finance/administration activities can be adequately provided by a single management team.

Visuals





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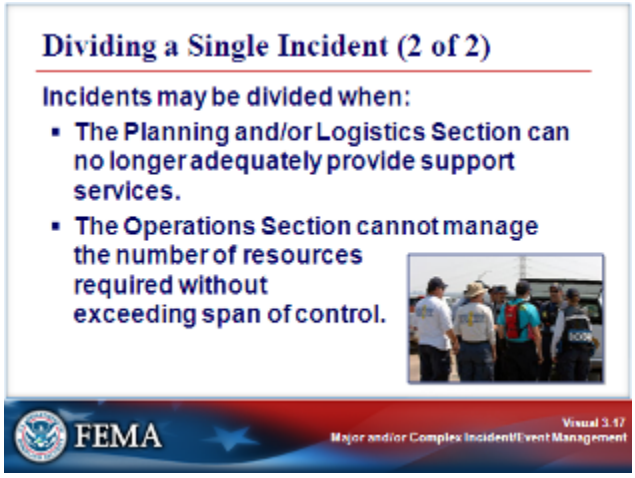
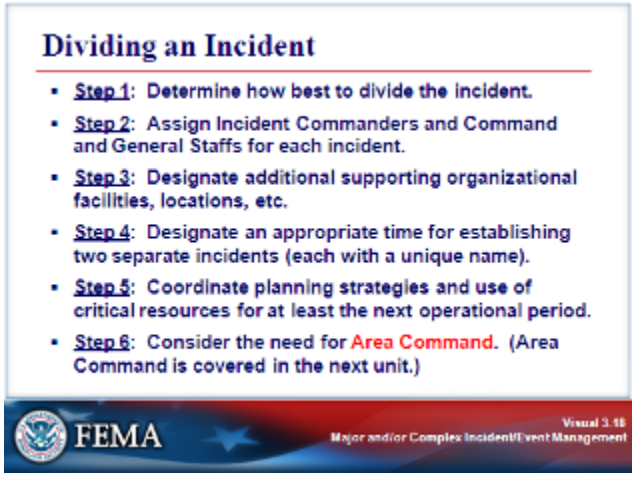




Your Notes

Job Aid: Option 2: Dividing a Single Incident

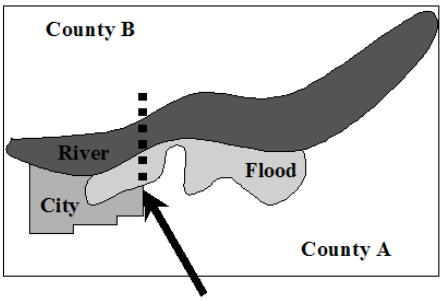
An incident that has become so large that it cannot be managed effectively by a single Unified Command structure or that spreads across multiple jurisdictions may be divided.

ICS Organizational Strategy

A single incident may be divided when it:

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

  For example, a flooding situation that continues to expand into low-lying areas downstream may be divided by jurisdiction. Although Unified Command would still be the first choice, it is not always feasible.



Divide into two incidents

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

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

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

  For example, a bioterrorism incident that includes immediate public health objectives and longer-term investigation objectives may be divided into two operations. Again, Unified Command would still be the first choice.

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

- The Planning Section, even with additional resources, can no longer adequately provide planning services because of:
  - The size of the incident.
  - The varying objectives and strategies needed.

- The Logistics Section can no longer, or will soon not be able to, serve the widespread facilities and operations from a single Incident Base.

- The Operations Section cannot manage the number of resources required without exceeding span of control.

Job Aid: Option 2: Dividing a Single Incident (Continued)

Dividing an Incident

- **Step 1:** Determine how best to divide the incident.

  This division could be done in several ways, depending upon:
  - Terrain and access considerations.
  - Locations of future resource and logistical support.
  - Jurisdictional/administrative boundaries.
  - Current Operations Section structure (Branches, Divisions, etc.).

- **Step 2:** Assign Incident Commanders and Command and General Staffs for each incident.

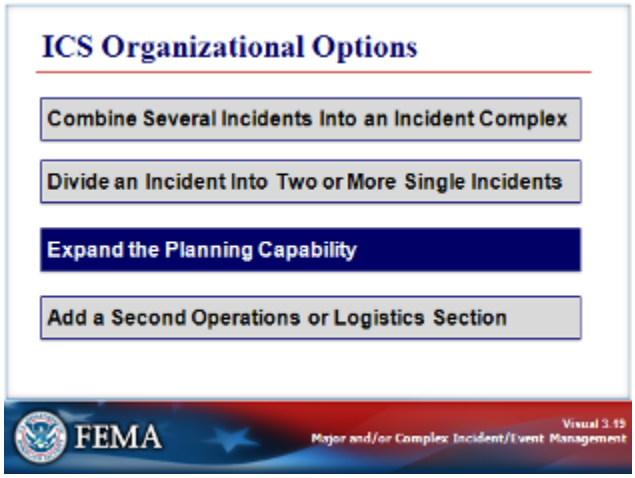
- **Step 3:** Designate additional supporting organizational facilities, locations, etc.

- **Step 4:** Designate an appropriate time for establishing two separate incidents (each with a unique name).

- **Step 5:** Coordinate planning strategies and use of critical resources for at least the next operational period.

- **Step 6:** Consider the need for Area Command.

Visuals



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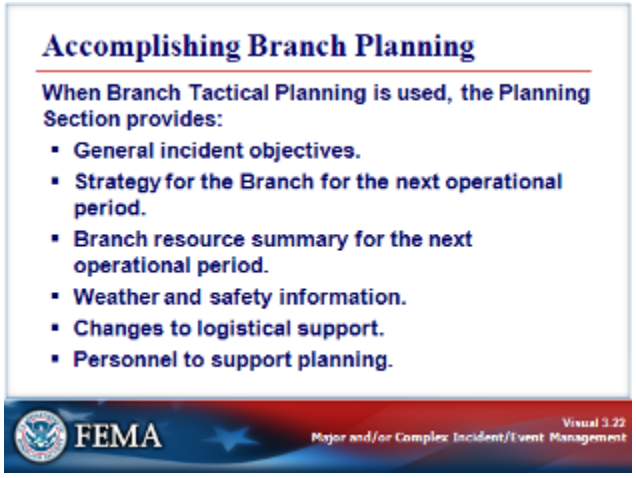

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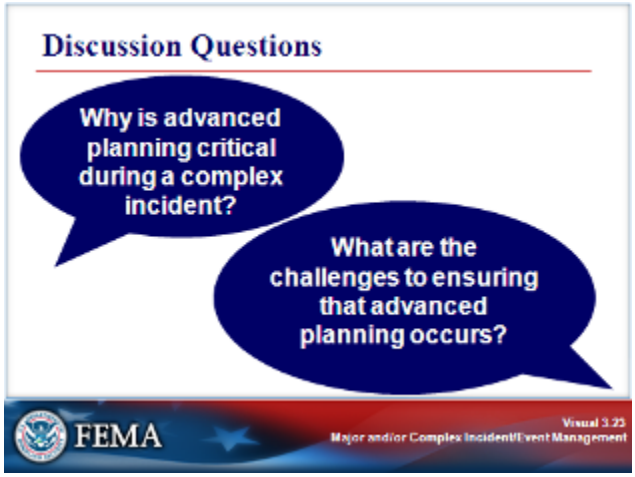

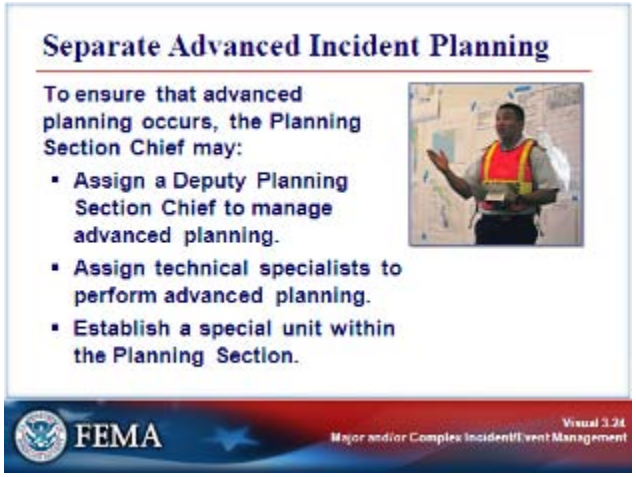

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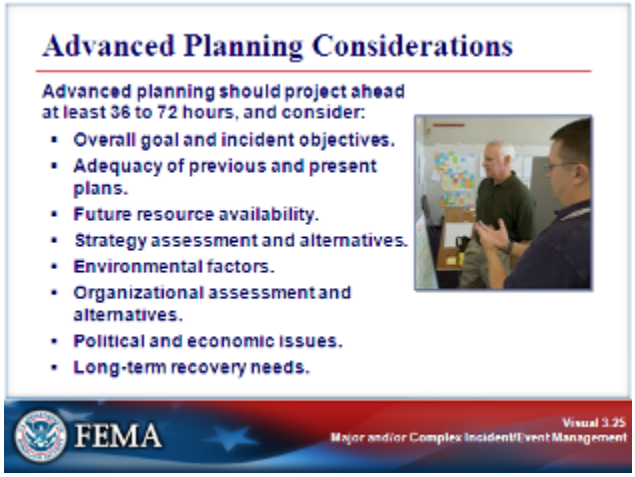


View the job aid on the next page.

Your Notes

Job Aid: Option 3: Expanding the Planning Capability at an Incident

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

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

- Branch Tactical Planning.
- Separating advanced incident planning from the day-to-day planning process.

The addition of an Information and Intelligence Function is another option for expanding planning capability for a complex event or incident.

Branch Tactical Planning

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

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

Branch Tactical Planning: When to Use It

Tactical planning at the Branch level may be used when:

- The incident becomes so large that there is no single set of objectives that would logically pertain to the entire incident.
- Special technical expertise is needed for planning.
- It is not otherwise feasible to prepare and distribute the incident plan within the required timeframe.

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

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

Job Aid: Option 3: Expanding the Planning Capability at an Incident (Continued)

Branch Tactical Planning: ICS Organizational Strategy

When Branch Tactical Planning is used, the Planning Section provides:
- General incident objectives.
- Strategy for the Branch for the next operational period.
- Branch resource summary for the next operational period.
- Weather and safety information.
- Changes to logistical support.
- Personnel to support planning.

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

Additional resource requirements over those authorized would have to be made known to the Operations Section Chief.

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

Separate Advanced Incident Planning

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

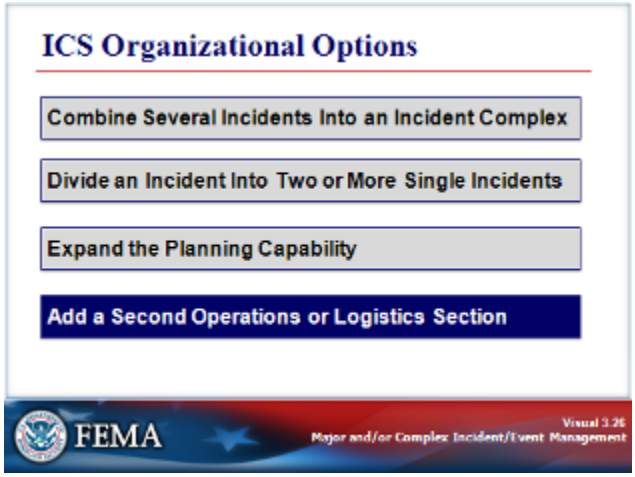
To ensure that advanced planning occurs, the Planning Section Chief may:
- Assign a Deputy Planning Section Chief to manage advanced planning.
- Assign technical specialists to perform advanced planning.
- Establish a special unit within the Planning Section.

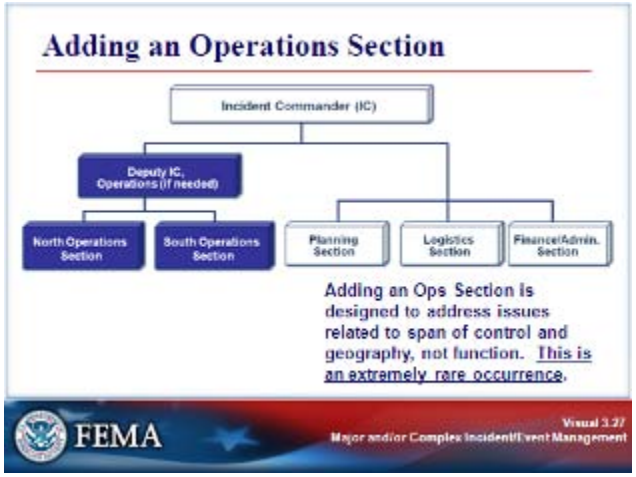
Advanced Incident Planning: Considerations

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

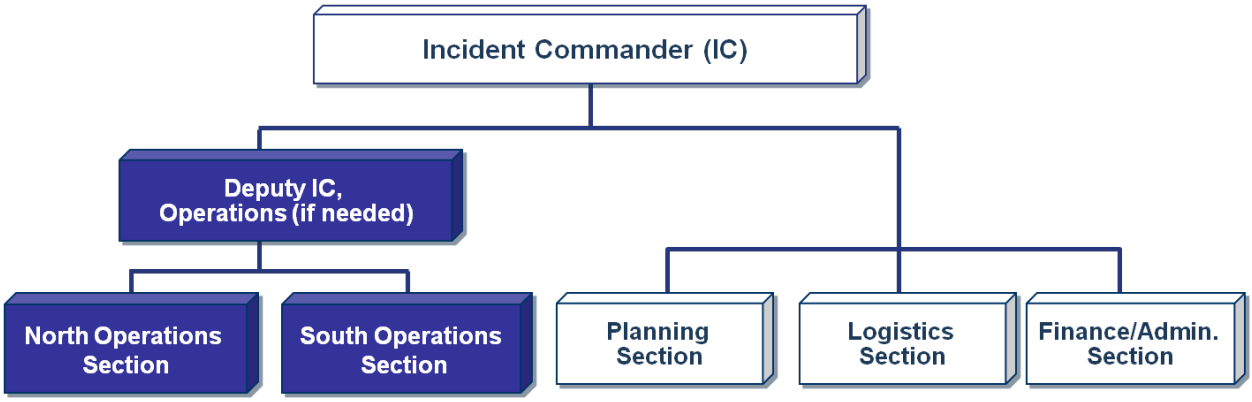
Advanced planning should project ahead at least 36 to 72 hours, and consider:
- Overall goal and incident objectives.
- Adequacy of previous and present plan.
- Future resource availability.
- Strategy assessment and alternatives.
- Environmental factors.
- Organizational assessment and alternatives.
- Political and economic issues.
- Long-term recovery needs.

Visuals





View the enlarged organization chart below.



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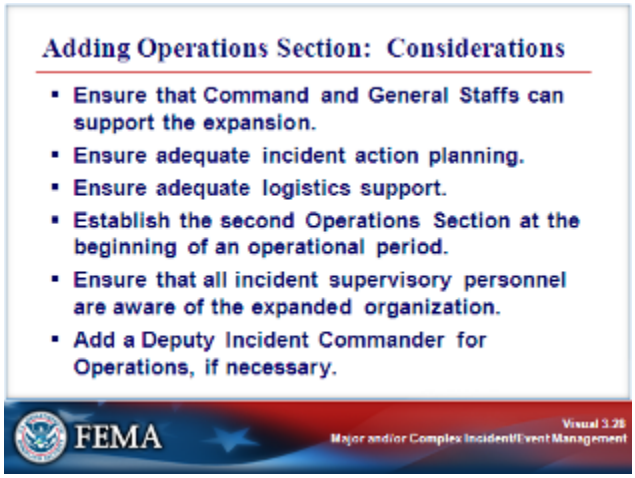

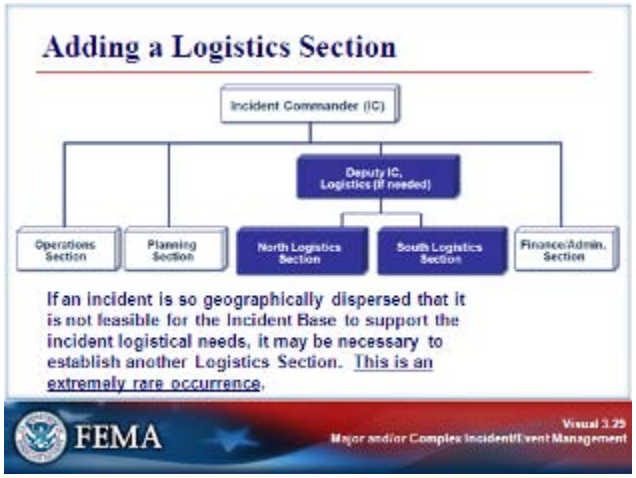

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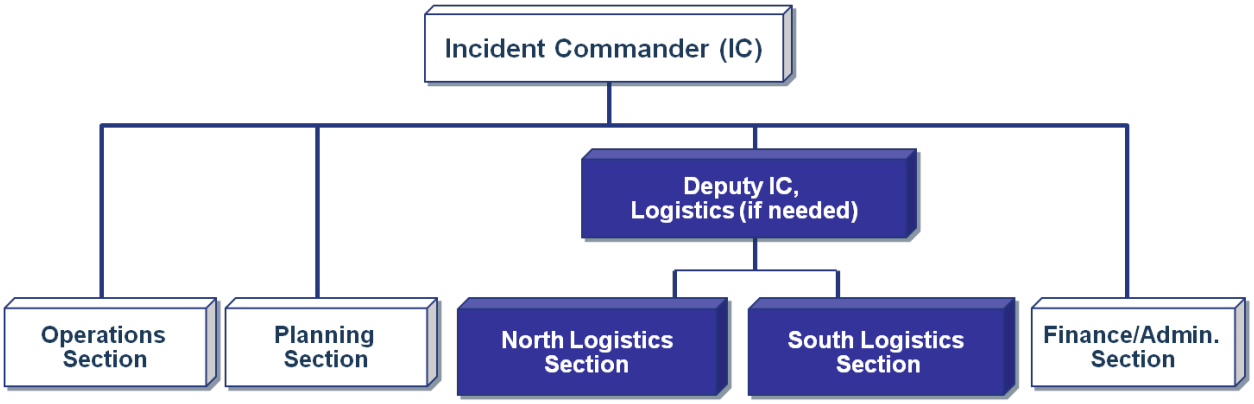
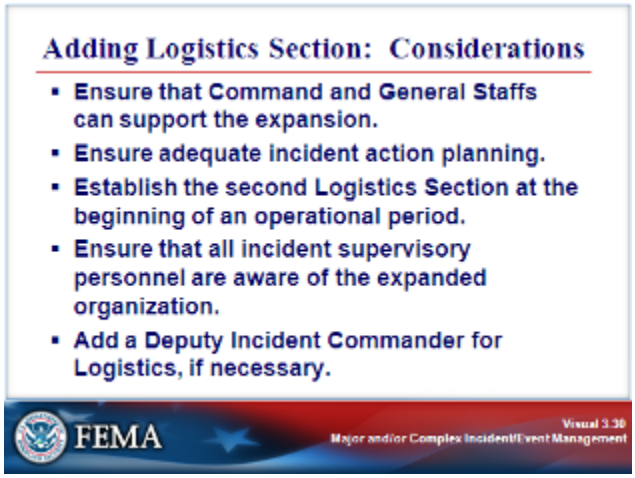


Visuals



View the job aid on the next page.

Your Notes

Job Aid: Option 4: Creating Additional Operations or Logistics Sections

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

When to Add Operations or Logistics Sections

Operations Section. An additional Operations Section should be added in an incident in which the sheer volume of resources required means that the Operations Section cannot be further expanded without exceeding ICS span-of-control guidelines and it is not possible to establish separate incidents. Examples of situations where two Operations Sections may be established include:

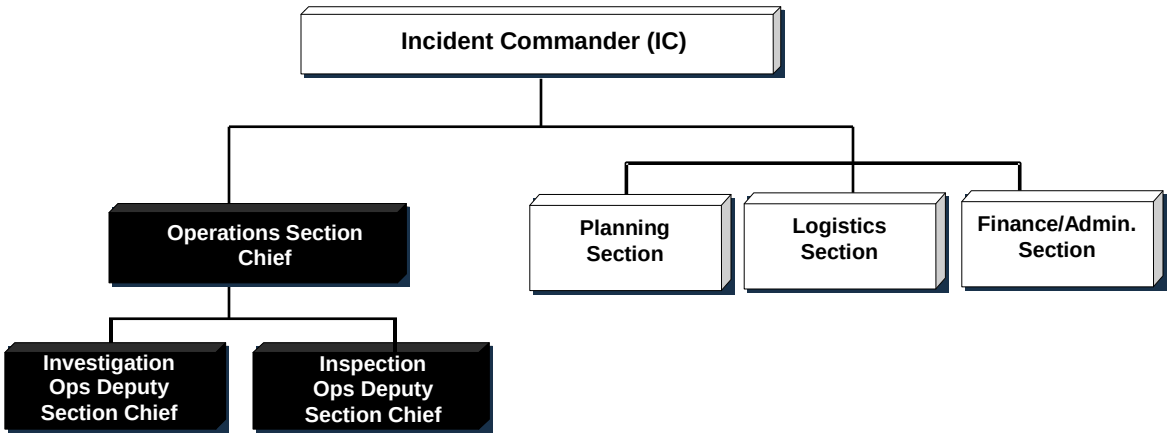
- Earthquake, hurricane, tornado, or flooding that covers several political jurisdictions.
- A major wildland fire that continues to expand.
- A major spill in a waterway.

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

ICS Organizational Strategy

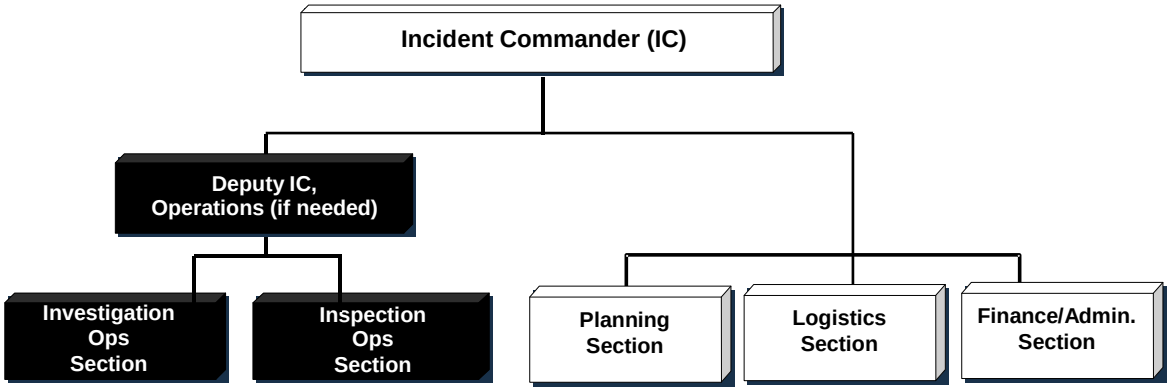
Operations Organization. If the organization grows so that it is not desirable to expand the Operations Section further, a second Operations Section may be established.

A more commonly used solution is to add Deputy Operations Section Chiefs under the Operations Section Chief to manage respective areas—for example, Investigation and Inspection Deputy Operations Section Chiefs reporting to the Operations Section Chief as shown in the diagram below.



Job Aid: Option 4: Creating Additional Operations or Logistics Sections (Continued)

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



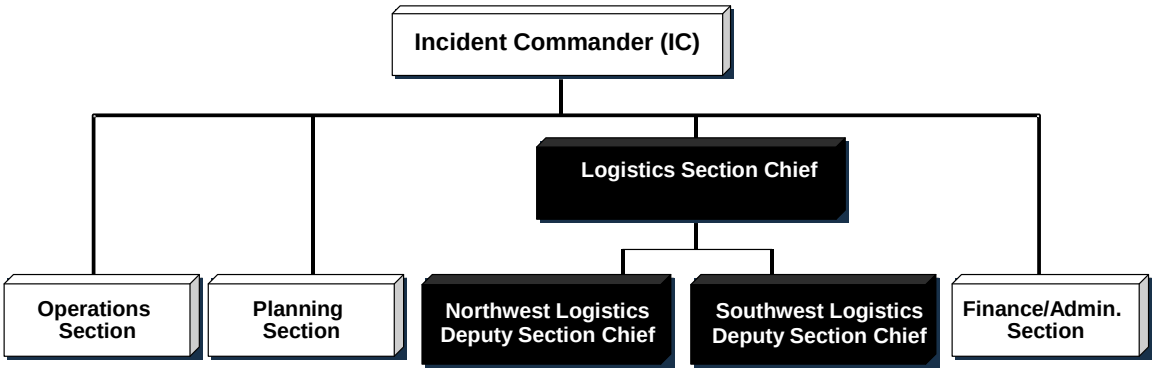
The Deputy Incident Commander for Operations or Deputy Operations Section Chiefs:

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

Separate Staging Areas are established to support each Operations Section.

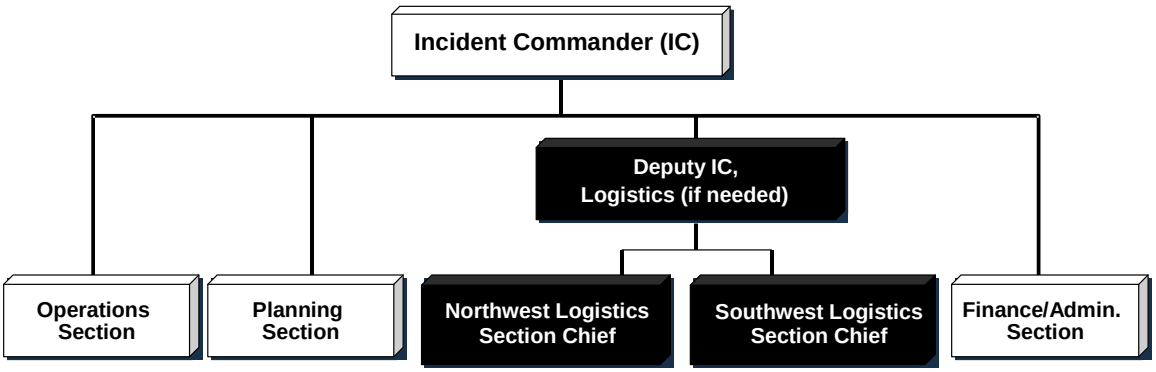
Logistics Organization. A second Logistics Section may be added in a geographically dispersed incident.

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



Job Aid: Option 4: Creating Additional Operations or Logistics Sections (Continued)

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



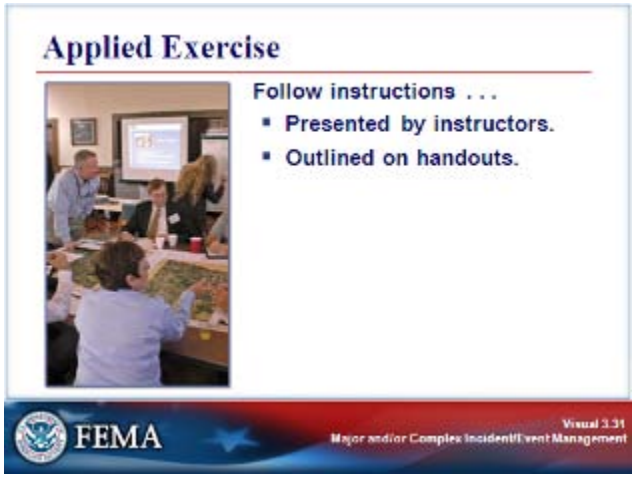
- Similar to the example with the Operations Section, a Deputy Incident Commander for Logistics could be added to the command structure if necessary to ensure coordination of the two Logistics efforts.
- The Deputy Incident Commander for Logistics would normally function from the Incident Command Post,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

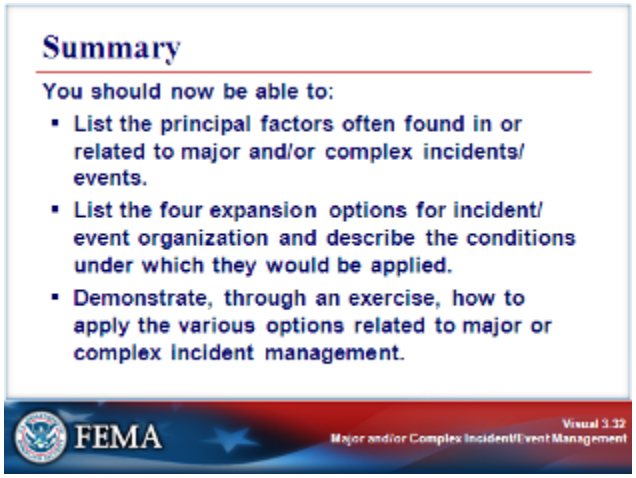
Considerations

The considerations for adding an Operations or Logistics Section include:

- Ensure that Command and General Staffs can support the expansion.
- Ensure there is adequate incident action planning.
- Ensure there is adequate logistics support for an additional Operations Section.
- Establish the second Operations or Logistics Section at the beginning of an operational period.
- Ensure that all incident supervisory personnel are aware of the expanded organization.
- Add a Deputy Incident Commander for Operations or Logistics or add Deputy Operations or Logistics Section Chiefs if necessary.

Visuals





Your Notes

Your Notes

UNIT 4: AREA COMMAND

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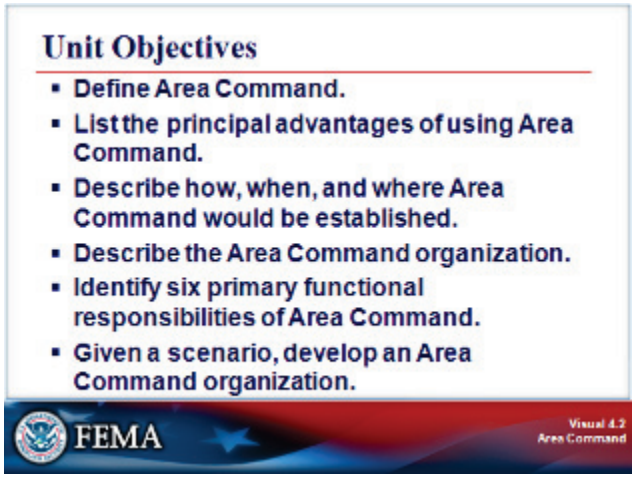
Visuals



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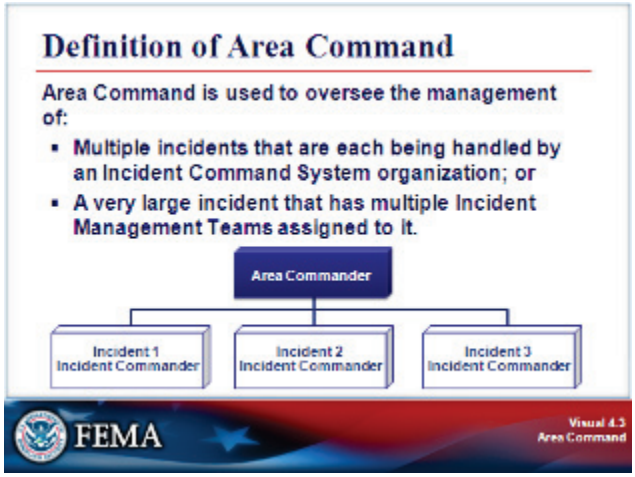

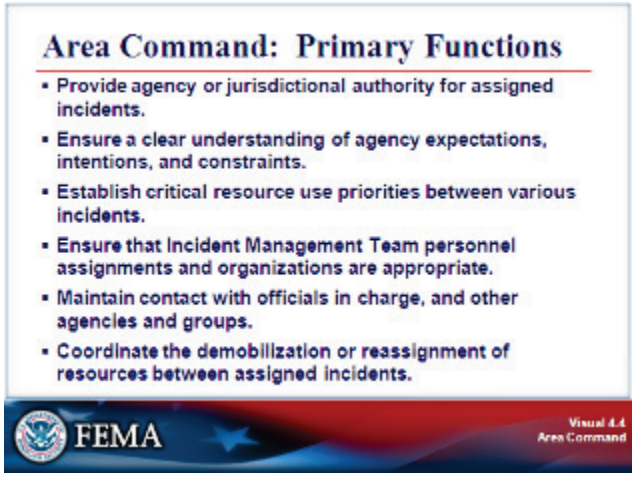

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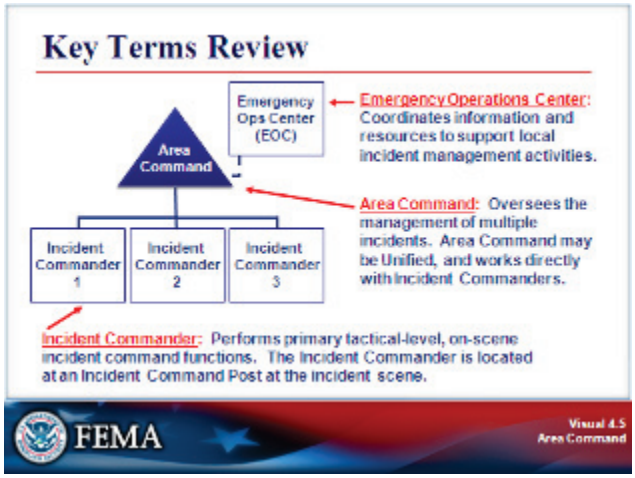

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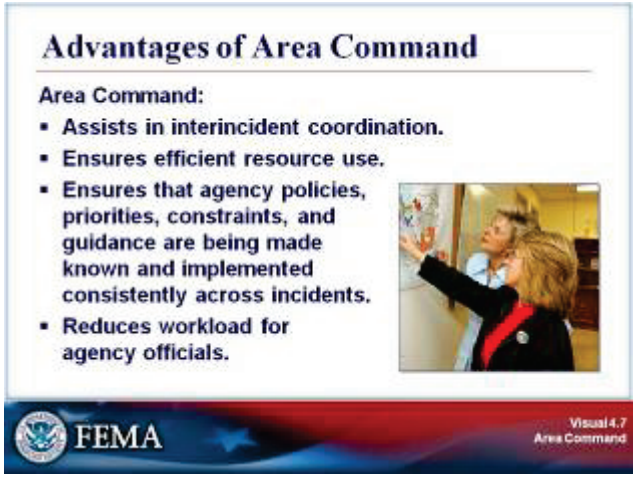

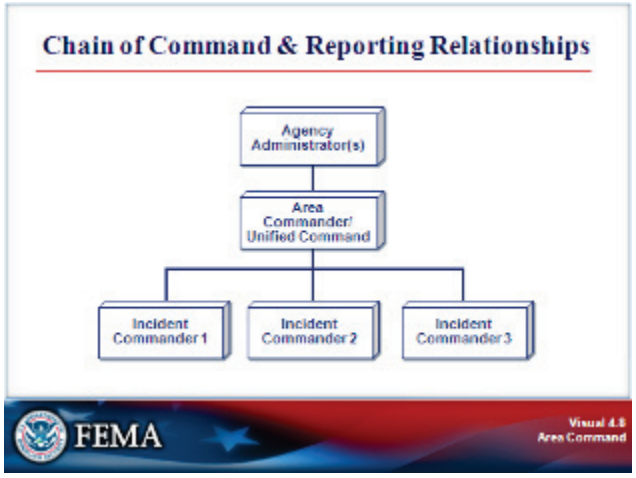

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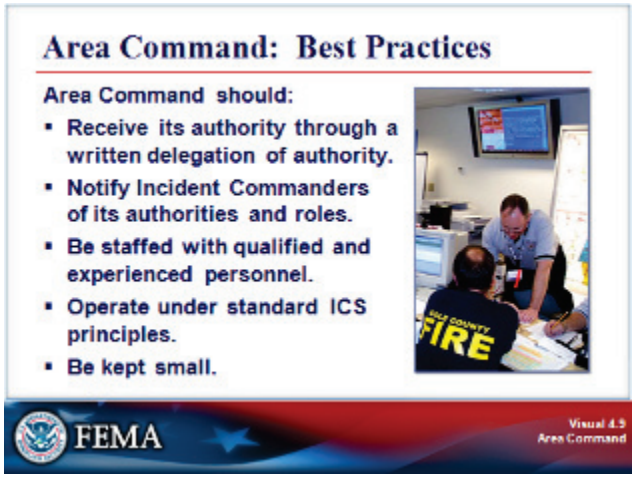
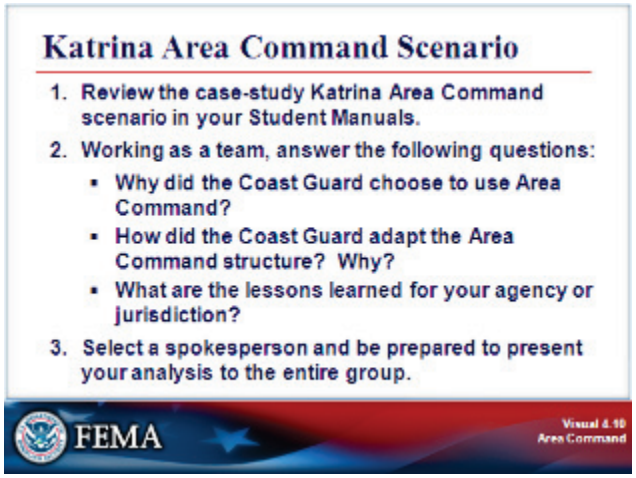




Your Notes

Complete the activity before proceeding.

Activity: Katrina Area Command Scenario

Unified Command and Control

Keeping "pollution catastrophe" off Katrina's resume' of tragic consequences.

by CDR Roger Laferriere,
U.S. Coast Guard Deputy Sector Commander Honolulu, Hawaii

Mr. Tracy Long,
Security/Emergency Response Advisor, Chevron Pipe Line Company

and Mr. Greg Guerriero,
Incident Commander, Shell Oil Products U.S

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

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

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

The Challenges

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

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

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

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

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

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

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

Emergency resources brought in for the disaster

response were rightfully focused on the harrowing search and rescue effort throughout the southeast Louisiana region. It was clear that these resources could not be counted on by the oil spill responders. They were forced to scrounge what little resources that survived the storm and obtain resources from outside the region, hundreds of miles away.

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

Area Command Construct

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

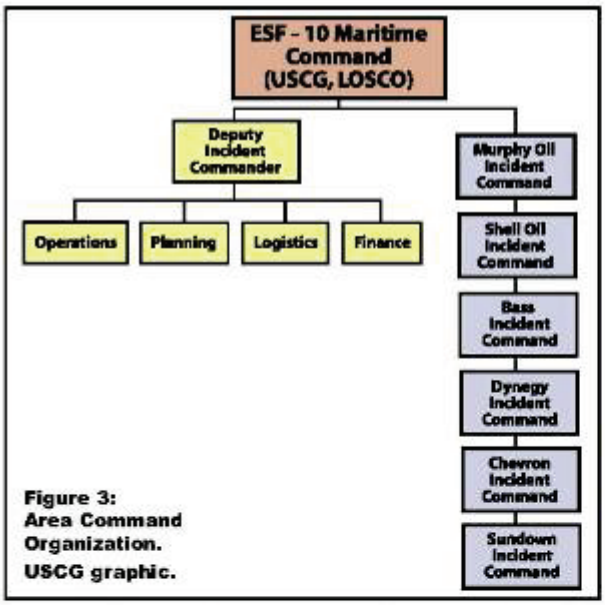


Figure 3: Area Command Organization. USCG graphic.

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

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

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

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

Incident Action Planning

It was important to develop a process for ensuring good communications and coordinated operations between the unified maritime command (MC) and the industry incident commanders (ICs). The MC used the operational planning cycle (Figure 4) for developing its own incident action plans and to communicate incident priorities and objectives to the industry ICs. These were shared with the industry

ICs, who developed their own incident action plans for their specific incidents. These were forwarded to the maritime command for review and approval. The maritime command employed a second-shift incident management team, responsible for reviewing the industry incident action plans for consistency with maritime command priorities and objectives.

The timing in coordinating this process was critical. Figure 5 provides an illustration of the processes. It is very similar to figure 4, however a line is drawn in some of the blocks to show the segregated, but nearly parallel activities undertaken by the maritime command and incident commanders. One caveat for figure 5: The industry planning cycle and MC planning cycle may not have matched up as perfectly as the figure suggests. The diagram has been simplified to provide the reader with a user-friendly illustration to explain the process.

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

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

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

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

Chevron Pipe Line Facilities' Perspective

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

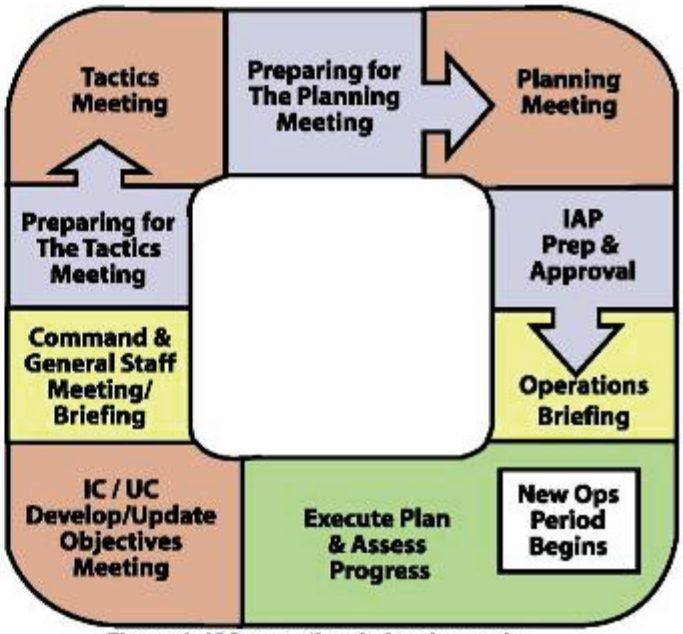


Figure 4: ICS operational planning cycle.

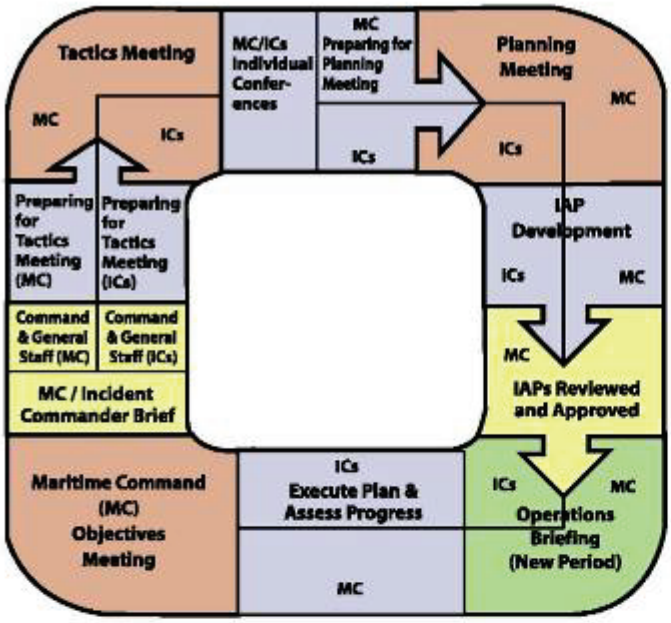


Figure 5: The industry planning cycle and maritime command planning cycle.

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

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

Coordinated Field Operations

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

The MC monitoring teams were dispatched by helicopter from forward operating base Baton Rouge to their respective industry cleanup sites initially on a daily basis. They carried the MC incident action plan for their specific assignment and a copy of the industry IAP for the site they were responsible for. This enabled them to ensure resources were committed and operations occurred at the site as outlined in the industry IAPs, provided the night before. Additionally, the maritime command monitoring teams, while in the field, worked closely with industry field supervisors on developing strategies and tactics for the next operational period, which was fed back to the incident command posts for inclusion in the next day's incident action plans.

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

Command Support

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

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

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

The ICS/Area Command Advantage

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

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

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

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

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

from senior management to cleanup personnel were left homeless; had no place of work to go to; no means of transportation; and their lives completely turned upside-down. Yet, despite this incredible impact, they came together and provided the resources and effort needed to successfully combat the oil spills.

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

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

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

About the authors:

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

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

It is a credit to both industry and government that this was indeed demonstrated superbly during the Hurricane Katrina/Rita oil spill response effort. ICS, however, cannot be credited for all the success of the response effort. The efforts of the oil industry incident commanders and their cleanup workforce is an untold story of heroism in itself. Like many residents impacted by the hurricanes, many of these people,

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

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

Endnotes:

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

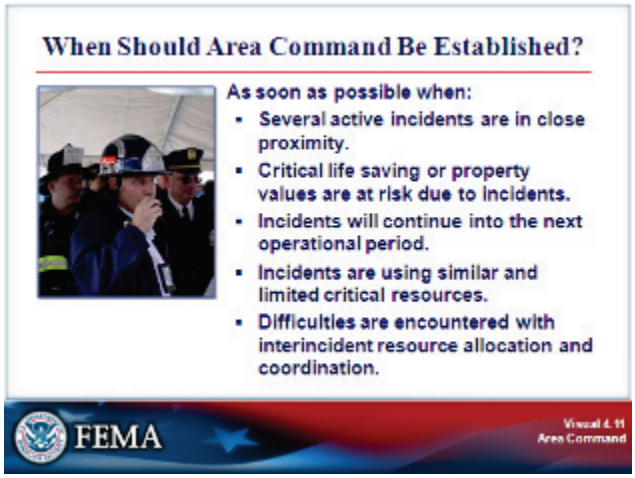
[2] "Prince William's Oily Mess: A Tale of Recovery," available at http://response.restoration.noaa.gov/index.php.

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

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

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

Visuals



View the job aid on the next page.

Your Notes

Job Aid: Location of Area Command

- **Existing facilities and communications.** It may take some hours to establish the Area Command. If there are existing facilities and communication systems that can be used (e.g., at a jurisdictional EOC), then the time needed to set up the Area Command may be reduced.

- **Close to incidents.** The Area Command should, to the extent possible, be located in close proximity to the incidents under its authority. The location should make it easy to have meetings and direct contact between the Area Commander and Incident Commanders.

- **Not collocated with an Incident Command Post**. Area Command should NOT be collocated with one of the incidents. Doing so might cause confusion with that incident's operations, and it also could be seen by other incidents as adding status to that one incident. Area Command, however, could be collocated with a multiagency coordination center such as an EOC. Note that an ICP should not be collocated with an EOC.

- **Sufficient size.** The facility used to house the Area Command organization should be large enough to accommodate a full Area Command staff and have the capability to accommodate meetings between the Area Command staff, Incident Commanders, and agency officials, and with news media representatives.

- **Capable of continuous operation.** The facility used to house the Area Command organization should allow for continuous operations and 24-hour-a-day access.

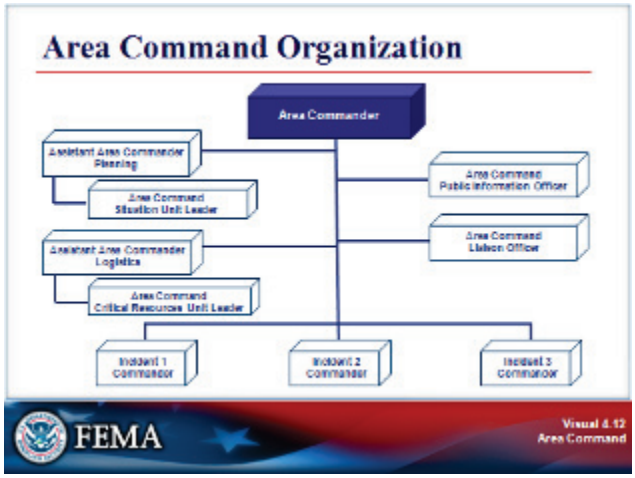
- **Adequate communications capabilities.** Adequate communications facilities (telephones, fax, computer connections) are critical. If radios are a primary means of communication, the Area Command facility should have line-of-sight coverage to Incident Command Posts or to repeaters serving those incident facilities. The facility should allow for suitable locations to temporarily install rooftop radio antennas.

- **Availability of backup power.** Backup power may be required in order to maintain a continuous operation.

- **Adequate and secure parking.** Transportation and parking issues should be considered when selecting the location.

- **Near commercial sources of support for food and lodging.** A location with access to food and lodging for staff members can help reduce the logistics requirement for providing support services.

Visuals



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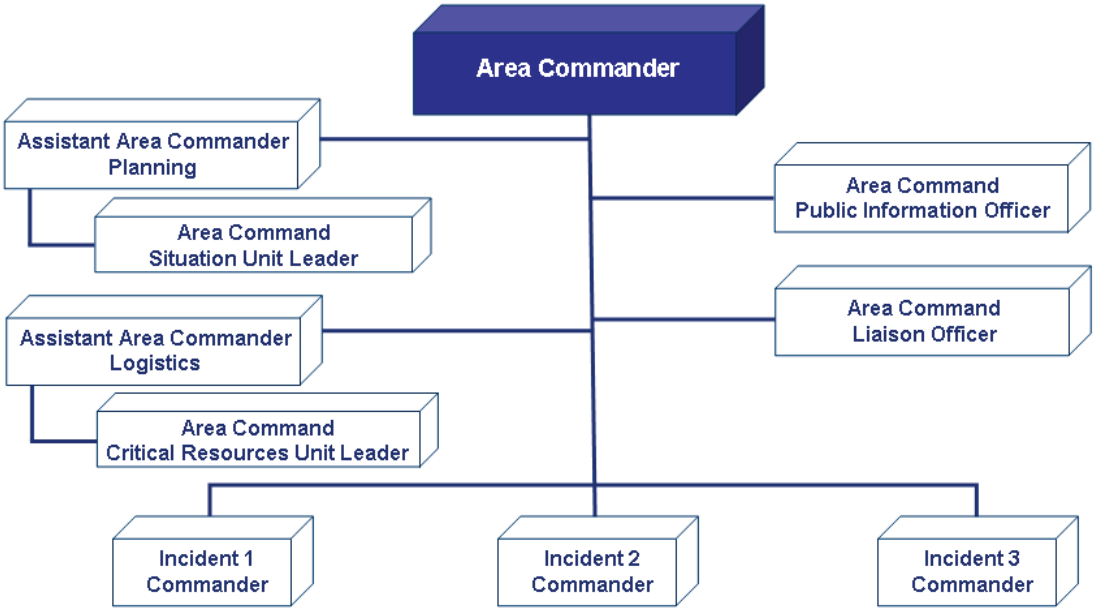

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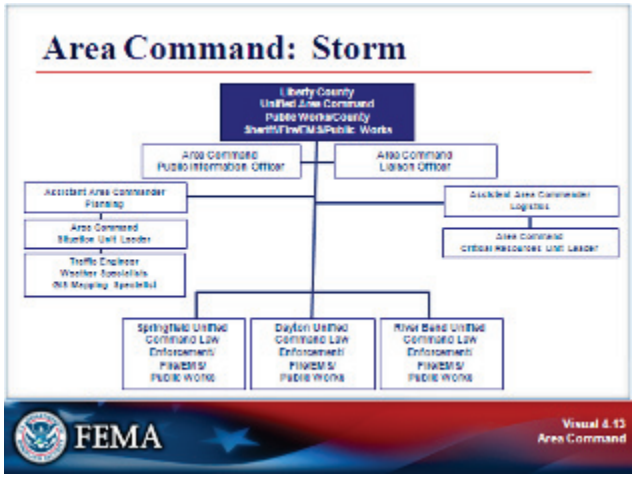

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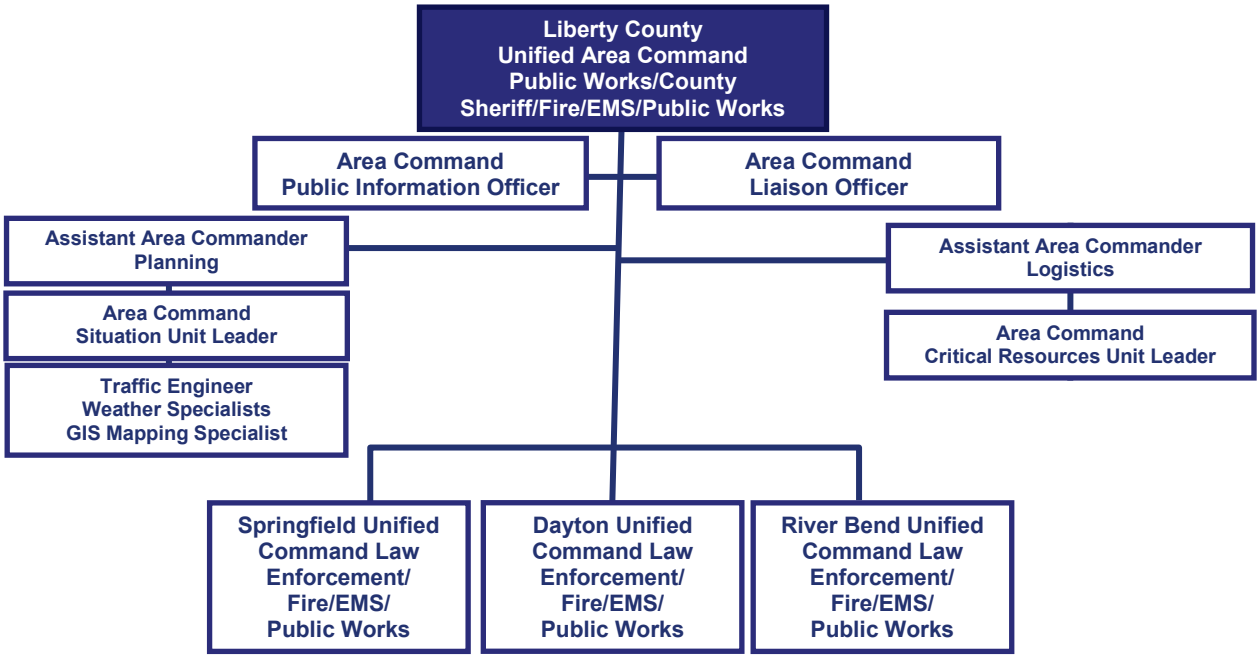

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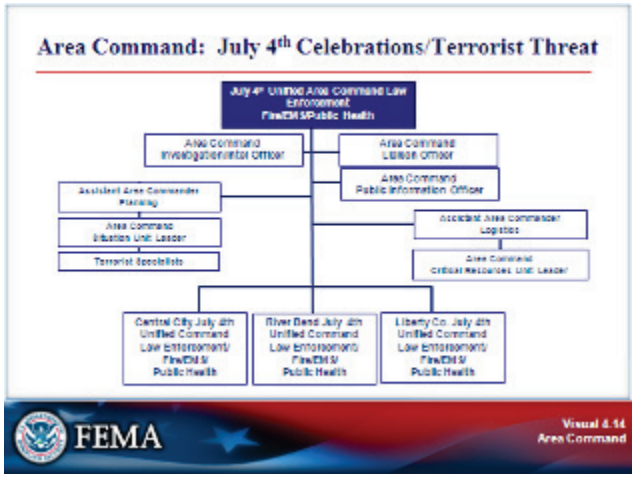

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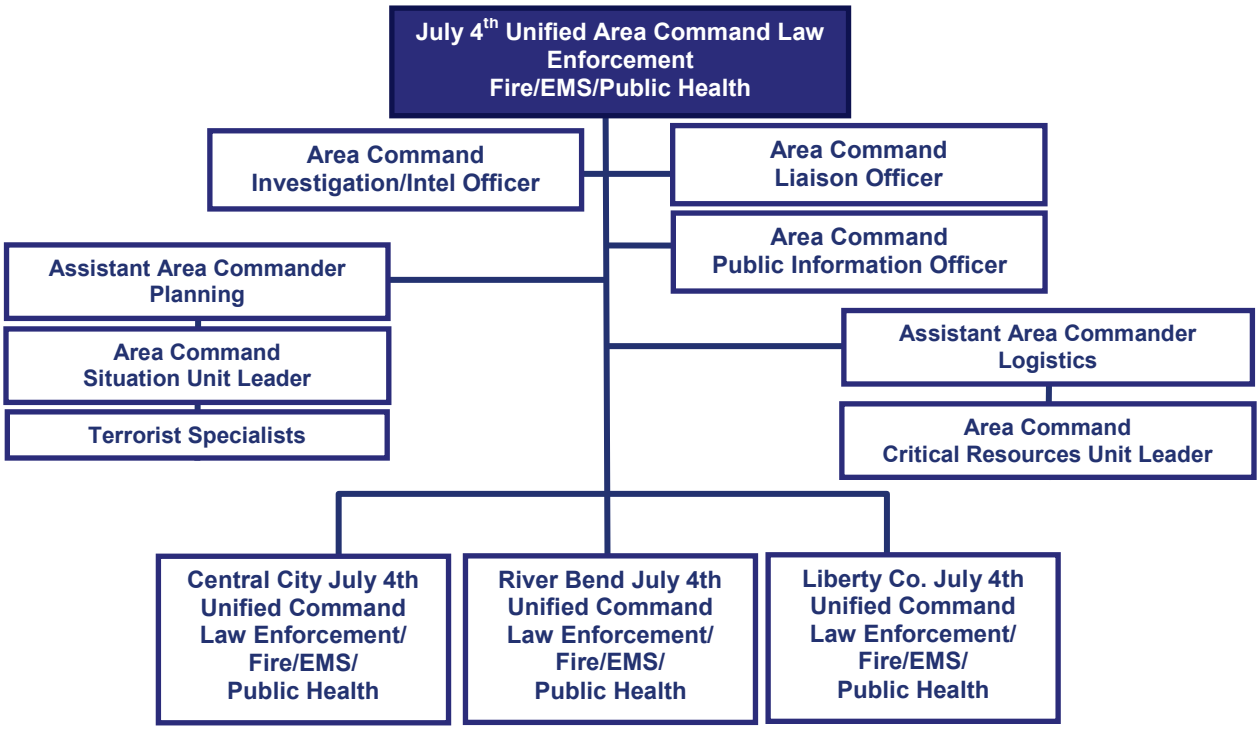

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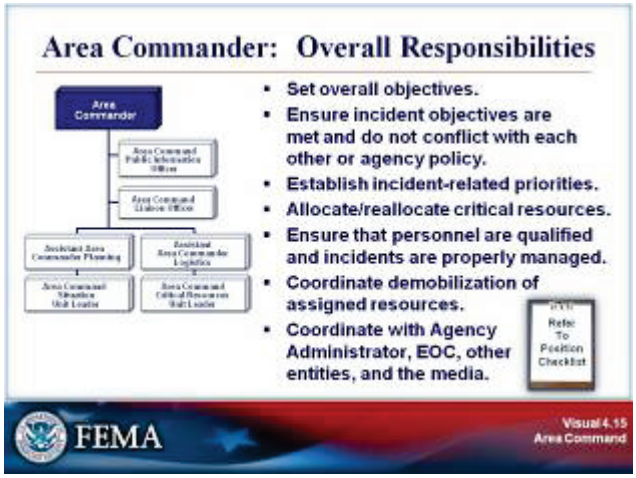
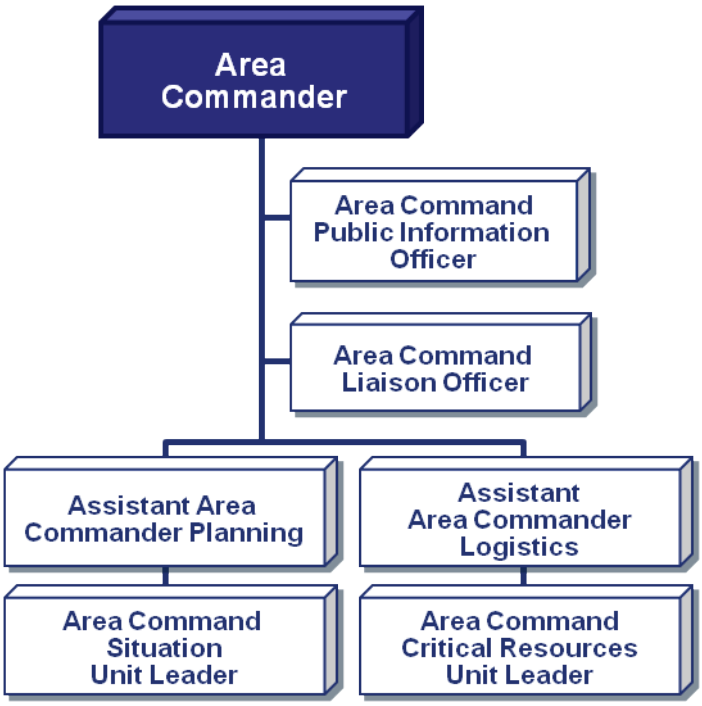


View the enlarged organization chart below, and the job aid on the next page.



Job Aid: Area Commander: Checklist of Actions

These actions will generally be conducted in the order listed:

_____ Obtain briefing from agency officials on agency expectations, concerns, and constraints.

_____ Obtain and carry out delegation of authority from agency officials for overall management and direction of the incidents within the designated Area Command.

_____ If operating as a Unified Area Command, develop working agreement for how Area Commanders will function together.

_____ Delegate authority to Incident Commanders based on agency expectations, concerns, and constraints.

_____ Establish an Area Command schedule and timeline.

_____ Resolve conflicts between incident “realities” and agency officials “wants.”

_____ Establish appropriate location for the Area Command facilities.

_____ Determine and assign an appropriate Area Command organization. Keep it manageable.

_____ Determine need for and assign technical specialists to support Area Command.

_____ Obtain incident briefing and IAPs from Incident Commanders (as appropriate).

_____ Assess incident situations prior to strategy meetings.

_____ Conduct a joint meeting with all Incident Commanders.

_____ Review objectives and strategies for each incident.

_____ Periodically review critical resource needs.

_____ Maintain close coordination with agency officials, cooperating and assisting agencies, and other entities, including EOCs.

_____ Establish priorities for critical resources.

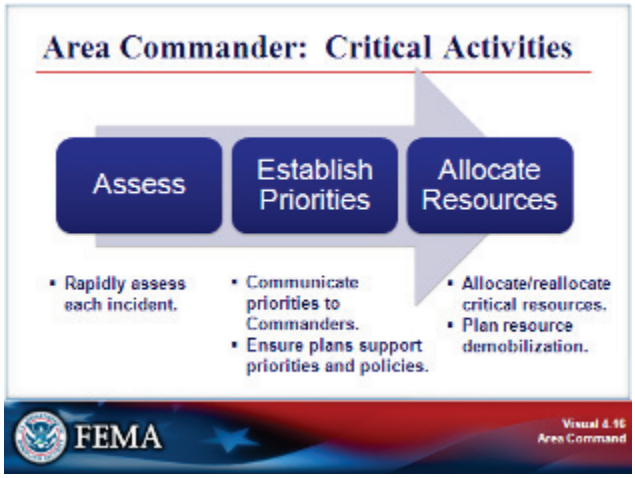
_____ Review procedures for interaction with the Area Command.

_____ Approve Incident Commanders’ requests for and release of critical resources.

_____ Coordinate and approve demobilization plans.

_____ Maintain log of major actions/decisions.

Visuals



View the job aid on the next pages.

Your Notes

Job Aid: Area Commander's Role

The Area Commander is responsible for the overall direction of Incident Management Teams assigned to the same incident or to incidents in close proximity. This responsibility includes ensuring that conflicts are resolved, incident objectives are established, and strategies are selected for the use of critical resources. Area Command also has the responsibility to coordinate with local, tribal, State, Federal, and volunteer assisting and/or cooperating organizations.

The Area Commander:

- Must rapidly assess the situation for each incident and ensure that incident action planning is addressing the priorities and direction set by the agency officials.
- Should establish, in writing, priorities related to assigned incidents, based upon the priorities and directions set by agency officials. The agency priorities and direction may be part of the written delegation of authority.

Establishing priorities is one of the most important functions an Area Commander performs. When two or more incidents are competing for critical resources and services, someone must make quick decisions based on an objective analysis of the total situation. The intent is to establish critical priorities for the common good of the total situation.

The different types of priorities that Area Command may need to establish relate to:

- Life safety.
- Property values at risk.
- Assigning critical resources.
- Demobilization.

Incident Commanders must acknowledge the Area Command's requirement to establish critical priorities. Incident Commanders may not always concur with Area Command decisions on priorities and critical resource allocations. Therefore, it is essential that each Incident Commander understand that the ability to obtain critical resources and services is balanced with the priorities established for that incident.

It also is essential that Incident Commanders understand that they may have to adjust incident strategies, tactical objectives, and resource assignments due to the lack of critical resources during a given operational period.

Job Aid: Area Commander's Role (Continued)

The Area Commander has the following overall responsibilities:

- Set overall objectives.
- Ensure that incident objectives are met and do not conflict with each other or agency policy.
- Establish incident-related priorities.
- Assign/reassign critical resources based on incident priorities.
- Ensure that Incident Management Teams are qualified and incidents are properly managed.
- Coordinate demobilization of assigned resources.
- Coordinate with agency administrator, EOC, other MAC entities, and the media.

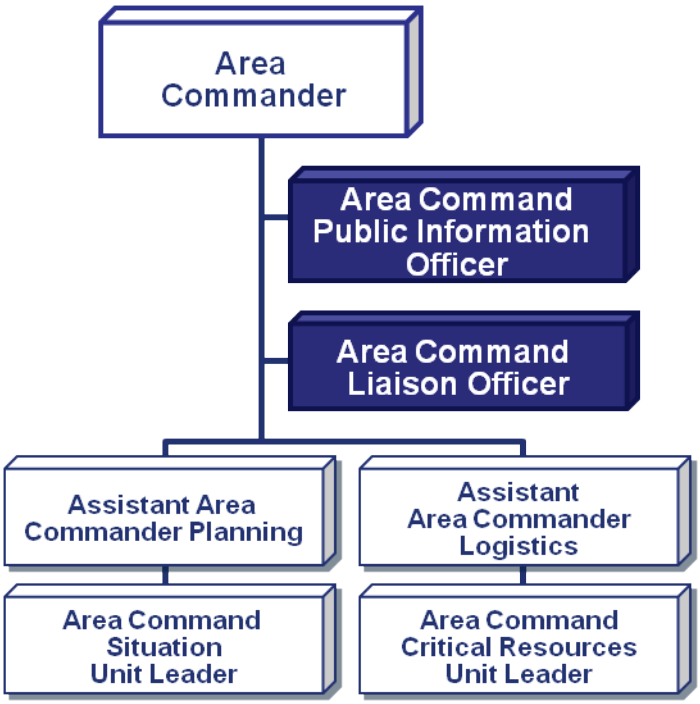
The Area Commander should develop procedures to be followed. These procedures should be reviewed with the respective Incident Commanders.

The Area Commander establishes:

- Incident and agency/jurisdictional priorities.
- Priorities for assignments of critical resources.
- Schedules of meetings and briefings.
- Requirements for Reports and Incident Action Plans.
- Points of contact with agency officials.
- Media relations and contact procedures.
- Unusual situation or emergency procedures reporting.
- Demobilization procedures.

Visuals

View the enlarged organization chart below.



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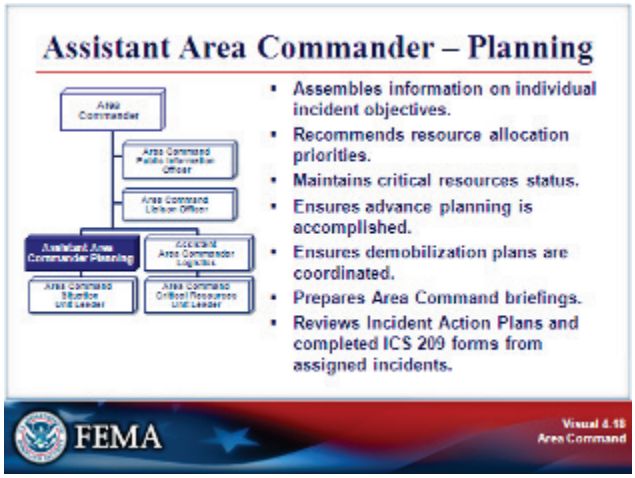

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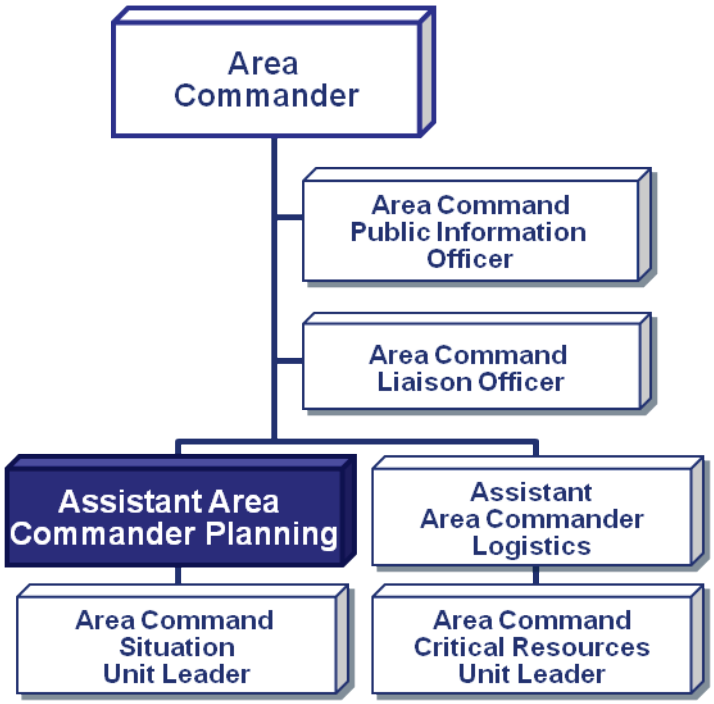

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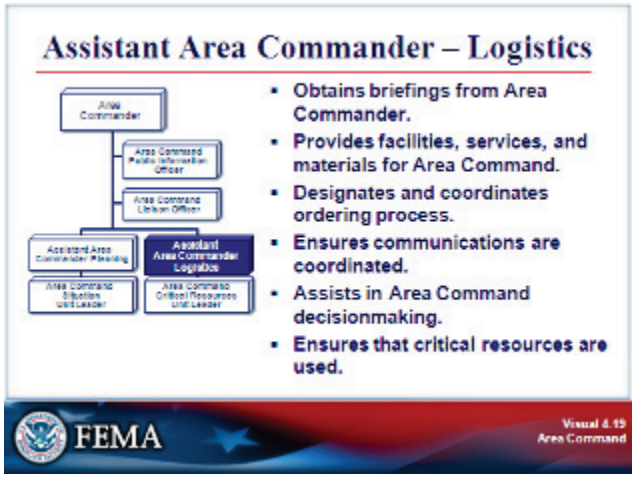

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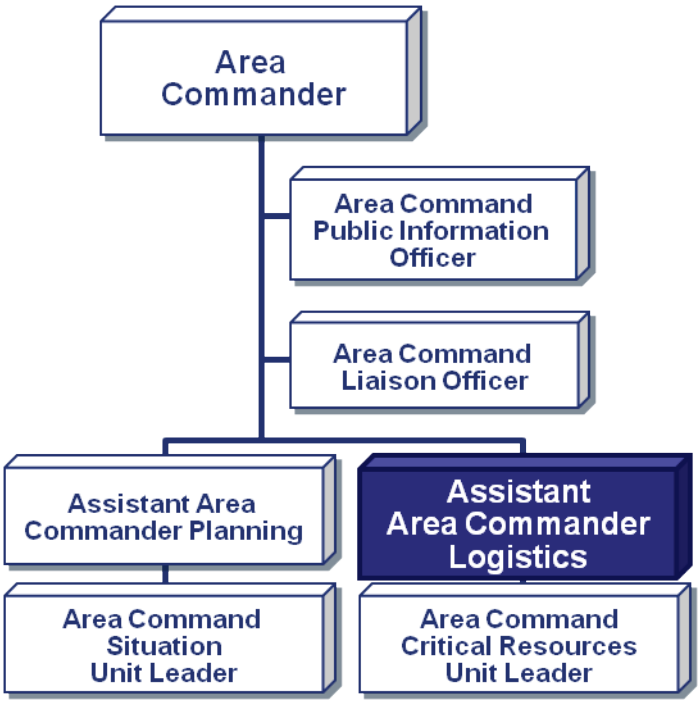


Visuals

View the job aid on the next page.

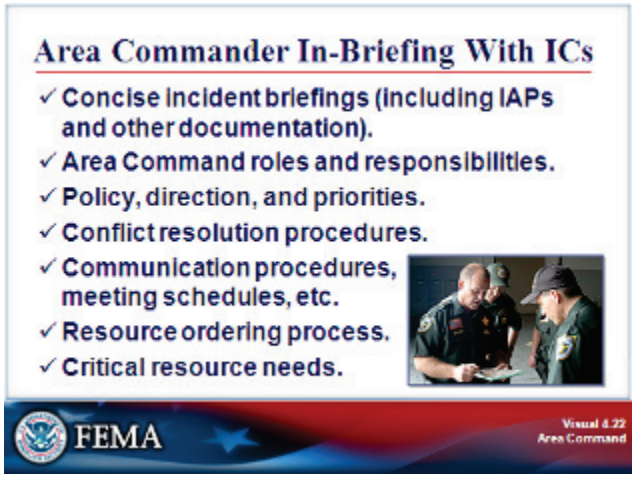
Your Notes

Job Aid: Other Area Command Positions

Area Command Public Information Officer	• Position is filled as needed. • Provides public information coordination between incident locations using the Joint Information System. This will be accomplished at the Joint Information Center, if established. • Serves as the contact point for media requests.
Area Command Liaison Officer	• Position is filled as needed. • Maintains off-incident interagency contacts and coordination. • Does not replace the Public Information and Liaison Officers who are assigned to the individual incidents. These positions are filled as needed.
Assistant Area Commander – Planning	Responsible for: • Assembling information on individual incident objectives. • Recommending the priorities for resource allocation. • Maintaining status on critical resources. • Ensuring that advance planning is being accomplished. • Ensuring demobilization plans are coordinated. • Preparing Area Command briefings, as requested. • Review Incident Action Plans and completed ICS 209 forms that are submitted from assigned incidents.
Area Command Situation Unit Leader	• This position may be assigned to assist the Assistant Area Commander – Planning. • Monitors the status of objectives for each incident or Incident Management Team assigned to the Area Command.
Assistant Area Commander – Logistics	Responsible for: • Obtaining briefings from the Area Commander. • Providing facilities, services, and materials for the Area Command. • Designating and coordinating ordering process. • Ensuring coordinated communications are in place. • Assisting in the development of Area Command decisions. • Ensuring that critical resources are used effectively on a continuous basis.
Area Command Critical Resource Unit Leader	• This position may be assigned to assist the Assistant Area Commander – Logistics. • Tracks and maintains the status and availability of critical resources assigned to each incident under the Area Command.

Technical Specialists	• The addition of technical specialists will depend on the kinds of incidents involved.
	• Technical specialists at the Area Command provide specific information and expertise relating to their specialty. For example, depending on the type of incidents involved, it may be useful to have the following specialists assigned to the Area Command team:
	  • Aviation Specialist
	  • Hazardous Materials Specialist
	  • Environmental Specialist
	  • Communications Specialist

Visuals



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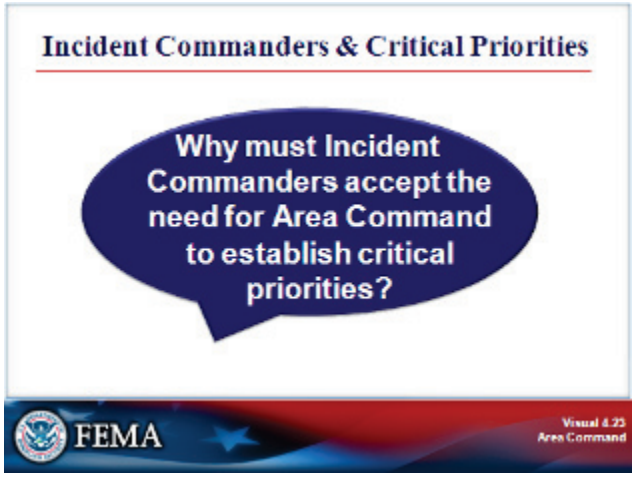

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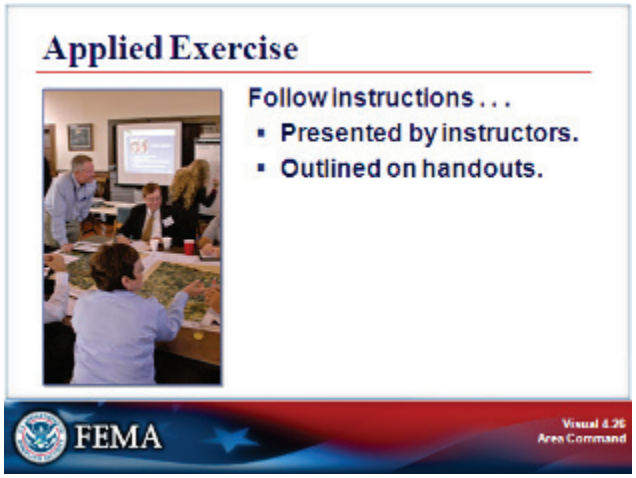

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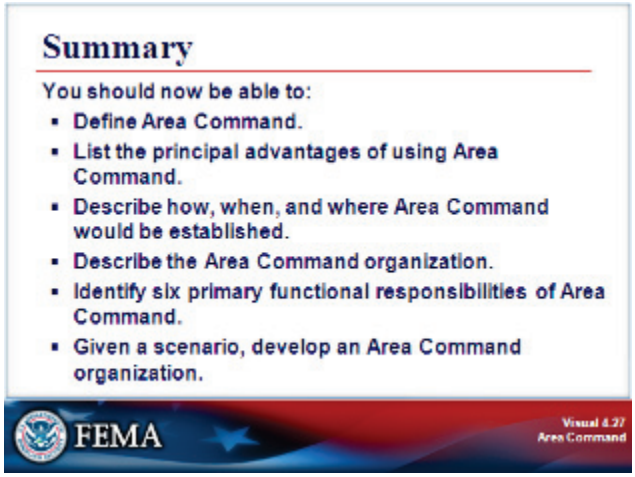

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UNIT 5: MULTIAGENCY COORDINATION

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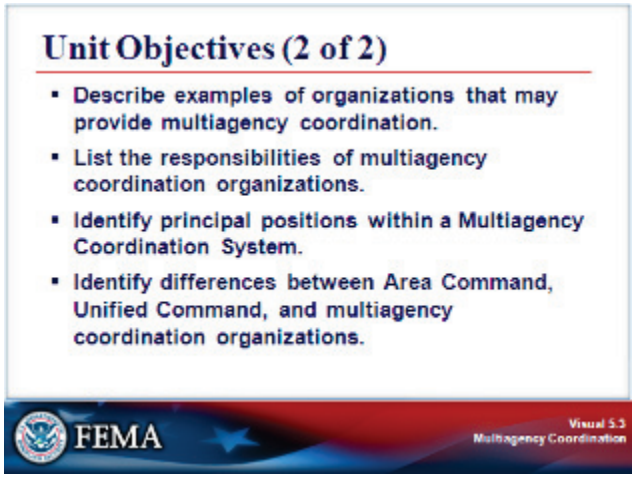

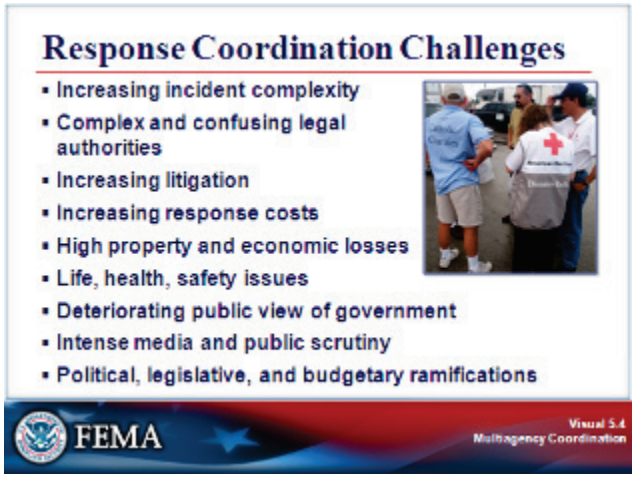

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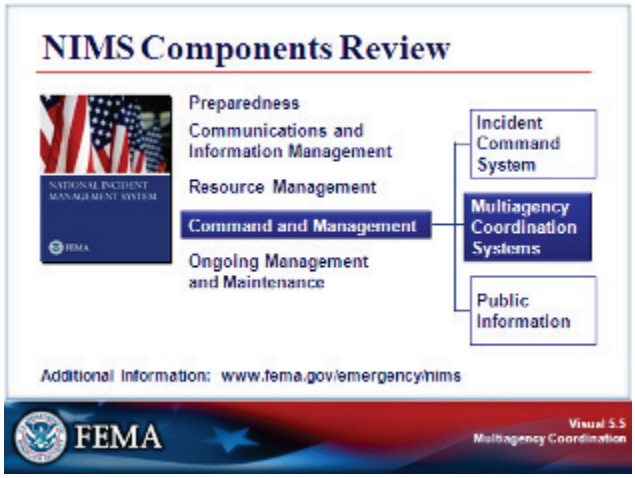

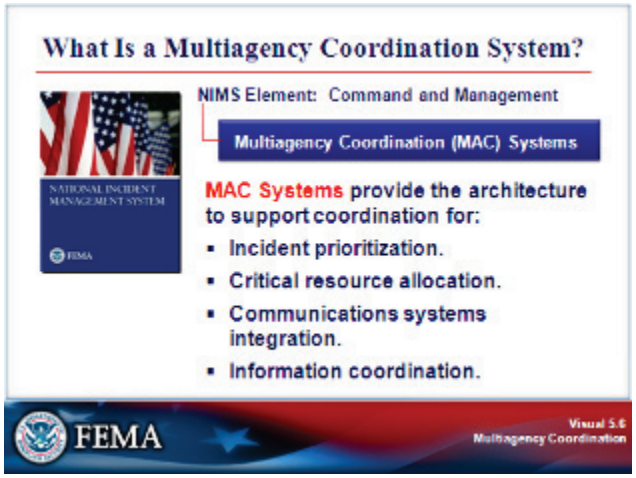

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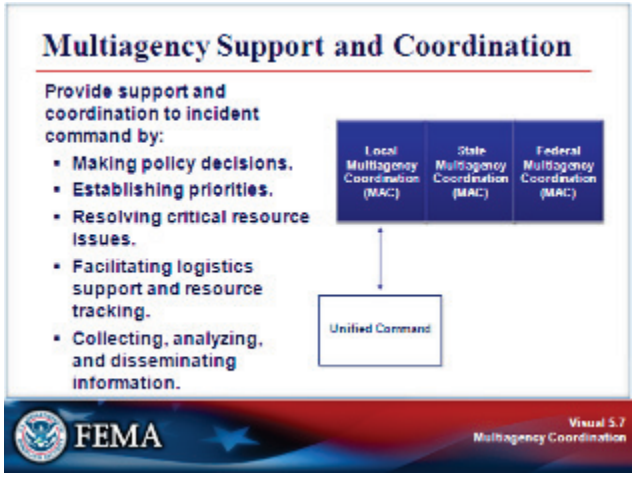

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Your Notes

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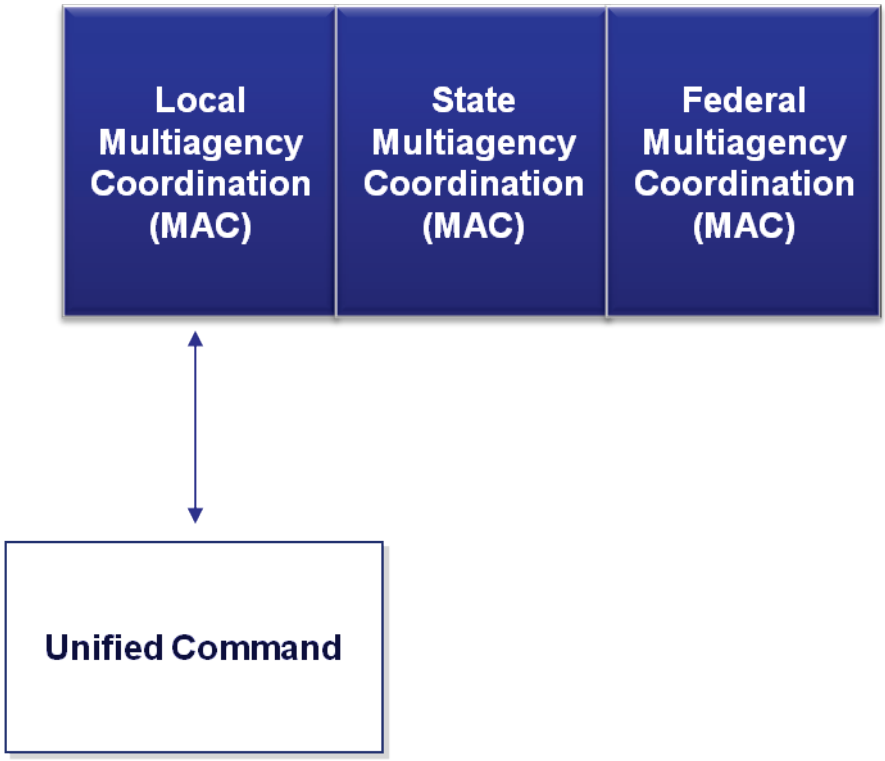

Local Multiagency Coordination (MAC)
State Multiagency Coordination (MAC)
Federal Multiagency Coordination (MAC)
Unified Command

Visuals

Your Notes

Your Notes

Video Transcript: MAC Systems Overview

NARRATOR: As an incident becomes more complex, a Multiagency Coordination, or MAC, System is used to coordinate and support the response efforts. A MAC System is a combination of integrated facilities, equipment, personnel, procedures, and communications with responsibility for coordinating and supporting incident management activities. The MAC System is much larger than a single facility and includes a network of elements all designed to support the Incident Command.

CHIP PATTERSON: The overall purpose of the MAC System is good situational awareness of having a coordination system and the command and control systems in place to have good situational awareness of what the effects that disaster has had on our community.

NARRATOR: A MAC System includes both command and coordination components. In a MAC System, direct tactical and operational responsibility for conducting incident management activities rests with the Incident Command or Area Command.

The coordination components of the MAC System support the on-scene commanders by:

- Establishing incident management policies and priorities;
- Facilitating logistical support and resource tracking;
- Making informed resource allocation decisions;
- Maintaining a common operating picture by coordinating incident-related information; and
- Coordinating interagency and intergovernmental issues regarding policies, priorities, and strategies.

CHIP PATTERSON: The difference between the Incident Manager in the EOC and the Incident Commander in the field can be summed up really with the terms of the **Incident Commander is engaged in command and control of that specific incident scene, and the Incident Manager in the EOC is engaged in coordination of that whole Multiagency Coordination System.**

The Incident Commander has certain statutory duties or authorities to be able to protect public safety, to carry out particular actions.

The Incident Manager in the Emergency Operations Center is discharging the duties of the chief executive of that jurisdiction to coordinate and make the entire community move towards effective response and recovery in supporting those Incident Commanders.

CRAIG FUGATE: We start merging our operations very quickly and we work to support local governments, and in any type of disaster—but particularly those we know are coming—we'll actually assign staff into those impacted or potentially impacted county Emergency Operations Centers before the storm ever makes landfall.

NARRATOR: A MAC System may include a coordination entity with agency policy representatives who have decisionmaking authority. Common examples of these groups include Policy Committees, MAC Groups, Joint Field Office Coordination Groups, and Executive Groups. Although these groups have differing titles, their purpose is to provide strategic policy direction for the incident.

Video Transcript: MAC Systems Overview (Continued)

CHIP PATTERSON: On disaster day in the Emergency Operations Center, they're involved in strategy and policy as well, and our system must account for that and have them involved because there are numerous policy-level decisions that need to be made during disasters.

CRAIG FUGATE: We are a representative form of government; our elected leaders are who the public expects to be providing that policy direction.

CHIP PATTERSON: It goes all the way back to being grounded in our local ordinance and city ordinance in describing who's in charge, who has the authority to declare local states of emergency and what that means and what it establishes; it establishes this Executive Group for the purposes of strategy and policymaking. An example of policy is hurricane evacuation, that's a policy decision, the establishment of curfews or exclusion zones, or restricting the sale of gasoline or firearms, all those are policy issues that the Executive Group gets involved in and makes the decisions about those.

NARRATOR: Effective resource management is a key function of those making policy decisions within the MAC System.

CHIP PATTERSON: One of the very important tools in the toolbox for resource management is the use of mutual aid agreements . . . really what are contracts in essence that describe the financial relationships, the legal relationships, and some of the operational relationships for a disaster environment. That statewide mutual aid agreement is an important part of our disaster service delivery.

NARRATOR: The Executive or Policy Group is supported by operational personnel. These staff members may work in the Emergency Operations Centers, Joint Operations Centers, Joint Field Offices, or Regional Response Coordination Centers. Although the names of facilities may differ, operational support staff facilitates logistics support and resource tracking, gathers and provides information, and implements multiagency coordination entity decisions.

There are many different ways to organize operational support staff. Often, operational support personnel are organized using Incident Command System, or ICS, principles. Although ICS principles may be used, these staff are in a support role, not a command role.

CHIP PATTERSON: We further organize the operations group using the Incident Command System and we have, essentially what we call an Incident Manager within the EOC who has a leadership role similar to what in the field would be called an Incident Commander—but an Incident Manager within the EOC—and then the common staff positions and general positions for within the Incident Command System: an Information Officer, Liaisons, Safety Officer, and then Section Chiefs: an Operations Section Chief, Plan Section Chief, Logistics Section Chief, and then Finance Section Chief.

And then that organizational structure is really dealing with, to a certain extent, command and control, but primarily coordination issues to support Incident Commanders out across that devastated area or that disaster area.

Video Transcript: MAC Systems Overview (Continued)

NARRATOR: One critical function of a Multiagency Coordination System is to develop a common operating picture accessible across jurisdictions and functional agencies. A common operating picture allows Incident Managers at all levels to make effective, consistent decisions in a timely manner. And it helps ensure consistency at all levels of incident management across jurisdictions, as well as between various engaged governmental jurisdictions, and private-sector and nongovernmental entities.

DAWN WOOD: We were talking about organizational discipline and it goes back to the objectives and what are the objectives that we need to meet in this period of time as well as in the overall picture of the incident and making sure that everybody that's part of the organization is moving in the same direction, that people are not off on their own doing their own thing, that we're all coming together to meet those needs as well as meet those objectives so it's tying the big picture together. You know, sometimes Operations is so busy out in the field doing what they need to do but it's essential that we get all the information—what they need, what they're doing—back up so that the rest of the organization is familiar with what they're doing and the bigger decisions can be made by the Executive Group and the mayor for going forward.

Another part of our MAC System is—a very important part—is the financial control system. I think in the past that's been an afterthought, and we realized that the Finance Section is very huge in being able to account for time, account for all the resources, payment, budgeting, everything has to be tracked through Finance and we want to get them involved at the beginning and not at the end, whereas we need to make sure that everything is documented correctly, that we're gathering the information that they need.

NARRATOR: Communications within a MAC System must be reliable. Systems and protocols must be in place to support integrated systems for communication, information management, and intelligence and information sharing to continuously update data during an incident.

CRAIG FUGATE: One of the things about NIMS is, irregardless of the technology challenges, it provides a method of ensuring you have interoperability of communications because you define who needs to talk to who, when, and what they need to say, and from there you take your systems and you build it to support the mission, the goals, and the objectives. NIMS provides the framework that identifies not only who needs to talk to who but what information must be passed between the different levels, both vertically and horizontally, to make sure we're all working towards the same mission, goals, and objectives even though we may have different pieces of that, come from different disciplines, and on a day-to-day basis we don't share common communications.

CHIP PATTERSON: One other component that, on somewhat more on the mission side of it, is the whole mechanism to communicate external to the public, to get out public information, and the need that we have in command centers to be able to partner with media, with television and radio and print media, to get that message out, to get protective action measures out, to get public safety messages and other information about that disaster.

It's very important to have that in close proximity to the overall Emergency Operations Center or command structure. But moreover it's not—the mission of getting that message out can impede the command and control and coordination, getting that whole piece of it done as well and so it's important to think of having the public information, Joint Information Center close and collocated, but not necessarily in the middle of the Emergency Operations Center.

Video Transcript: MAC Systems Overview (Continued)

In the facility that we're in now, the Joint Information Center is within this facility but is separated by several floors from the operational area of the EOC, so it's in close proximity but not in the midst of the operations.

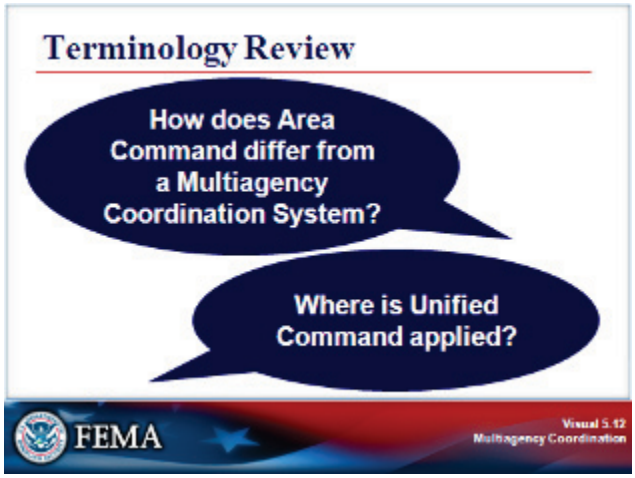
NARRATOR: Throughout this course you will learn that effective Multiagency Coordination Systems incorporate all phases of emergency management—prevention, preparedness, response, recovery, and mitigation.

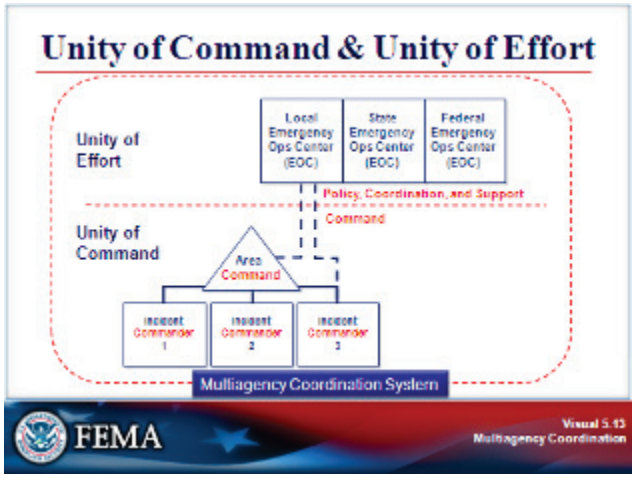
DAWN WOOD: What makes an effective multiagency coordinating system is the communication, and I think it's not just the communication when an incident happens but that we've had that communication all along and that in plans and writing plans, in exercises, in activations, that we're—have always been part of the same team.

DALE MARGADONNA: I think it helps coordinate whatever the incident is by having all the key players there that can make the decisions that can communicate their concerns. It certainly establishes a much more coordinated effort. It reinforces the command structure and I think it supports the entire effort much more than agencies being out on their own or being even in another location.

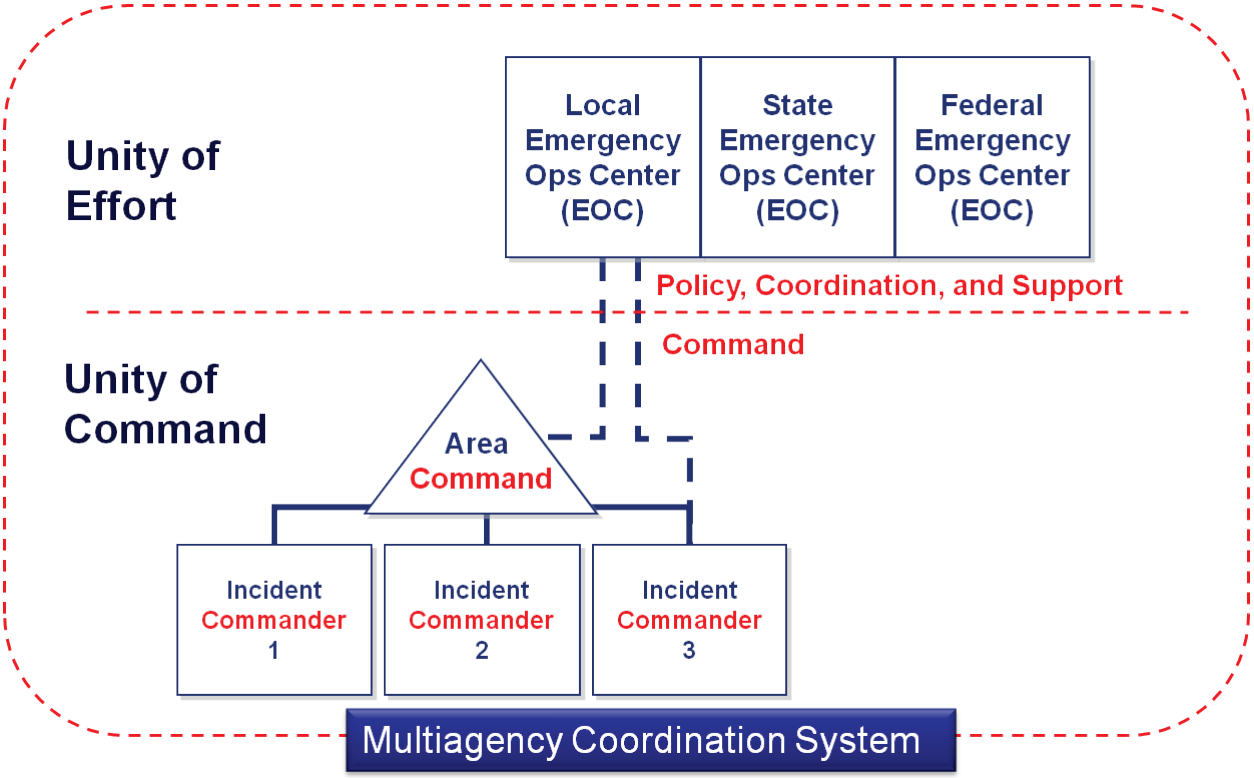
CHIP PATTERSON: The key to an effective Multiagency Coordination System is coming all the way back, is being disaster-victim focused and having a well-thought-out command and control communication and coordination system to be able to meet the extraordinary resource management issues and requirements as well as the situational awareness and coordination requirements that disaster brings. And so that means addressing it from a management organizational structure basis, from a facility basis, from a plans and procedure and training basis.

Visuals



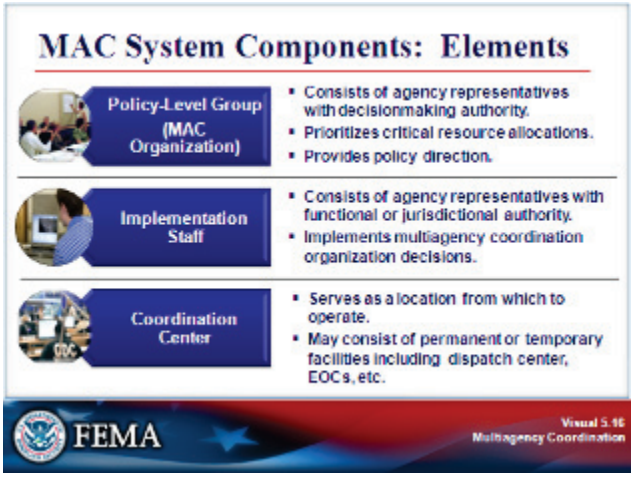


View the enlarged organization chart below.



Visuals

Your Notes



Your Notes

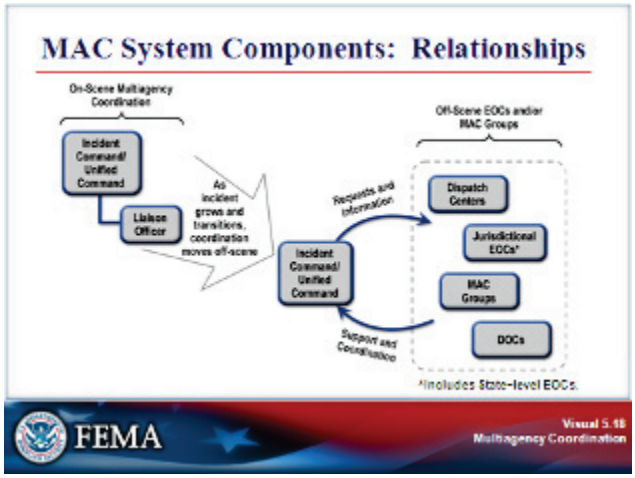
Job Aid: Common Multiagency Coordination Organizations

Multiagency Coordination Groups	
MAC Group	A MAC Group functions within the Multiagency Coordination System, which interacts with agencies or jurisdictions, not with incidents. MACS are useful for regional situations. A MAC Group can be established at a jurisdictional EOC or at a separate facility.
JFO Unified Coordination Group	**The JFO is led by the Unified Coordination Group, which is comprised of specified senior leaders representing State and Federal interests**, and in certain circumstances tribal governments, local jurisdictions, the private sector, or NGOs. The Unified Coordination Group typically consists of the Principal Federal Official (if designated), Federal Coordinating Officer (FCO), State Coordinating Officer, and senior officials from other entities with primary statutory or jurisdictional responsibility and significant operational responsibility for an aspect of an incident (e.g., the Senior Health Official, Department of Defense representative, or Senior Federal Law Enforcement Official if assigned). Within the Unified Coordination Group, the FCO is the primary Federal official responsible for coordinating, integrating, and synchronizing Federal response activities. **The composition of the Unified Coordination Group will vary, depending upon the scope and nature of the incident and the assets deployed in support of the affected jurisdiction.** The JFO structure normally includes a Unified Coordination Staff. The Unified Coordination Group determines the extent of staffing based on the type and magnitude of the incident.
Multiagency Coordination Centers	
Emergency Operations Center (EOC)	The physical location at which the coordination of information and resources to support local incident management activities normally takes place. Also called Expanded Dispatch, Emergency Command and Control Centers, etc., EOCs are used in various ways at all levels of government and within private industry to provide coordination, direction, and control during emergencies. EOC facilities can be used to house Area Command and multiagency activities, as determined by agency or jurisdiction policy.
Joint Operations Center (JOC)	An interagency command post established by the Federal Bureau of Investigation to manage terrorist threats or incidents and investigative and intelligence activities. The JOC coordinates the necessary local, State, and Federal assets required to support the investigation, and to prepare for, respond to, and resolve the threat or incident.
Joint Field Office (JFO)	The JFO is a temporary Federal facility established locally to coordinate operational Federal assistance activities to the affected jurisdiction(s). The JFO is a multiagency center that provides a central point of coordination for Federal, State, local, tribal, nongovernmental, and private-sector organizations with primary responsibility for threat response and incident support and coordination. The JFO enables the effective and efficient coordination of Federal incident-related prevention, preparedness, response, and recovery actions. The JFO accommodates all entities (or their designated representatives) essential to incident management, information sharing, and the delivery of disaster assistance and other support.

Job Aid: Common Multiagency Coordination Organizations (Continued)

Multiagency Coordination Centers (Continued)	
Joint Information Center (JIC)	The JIC is a facility where the Public Information Officer(s) and staff can coordinate and provide information on the incident to the public, media, and other agencies.
Regional Response Coordination Center (RRCC)	The RRCC is a standing facility operated by FEMA that is activated to coordinate regional response efforts, establish Federal priorities, and implement local Federal program support. The RRCC establishes communications with the affected State emergency management agency and the National Response Coordination Center (NRCC), coordinates deployment of the Emergency Response Team-Advance Element (ERT-A) to field locations, assesses damage information, develops situation reports, and issues initial mission assignments. The RRCC operates until a JFO is established in the field and/or the Principal Federal Officer, Federal Coordinating Officer, or Federal Resource Coordinator can assume their National Response Framework (NRF) coordination responsibilities. The RRCC replaces the Regional Operations Center.
National Response Coordination Center (NRCC)	The NRCC is a multiagency center that provides overall Federal response coordination for emergency management program implementation (including both Stafford Act and non-Stafford Act incidents). FEMA maintains the NRCC as a functional component of the National Operations Center (NOC) in support of incident management operations. The NRCC replaces the Emergency Support Team.
National Operations Center (NOC)	The NOC is the primary national hub for domestic incident management operational coordination and situational awareness. The NOC is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private-sector reporting. The NOC facilitates homeland security information sharing and operational coordination with other Federal, State, local, tribal, and nongovernment EOCs.

Visuals



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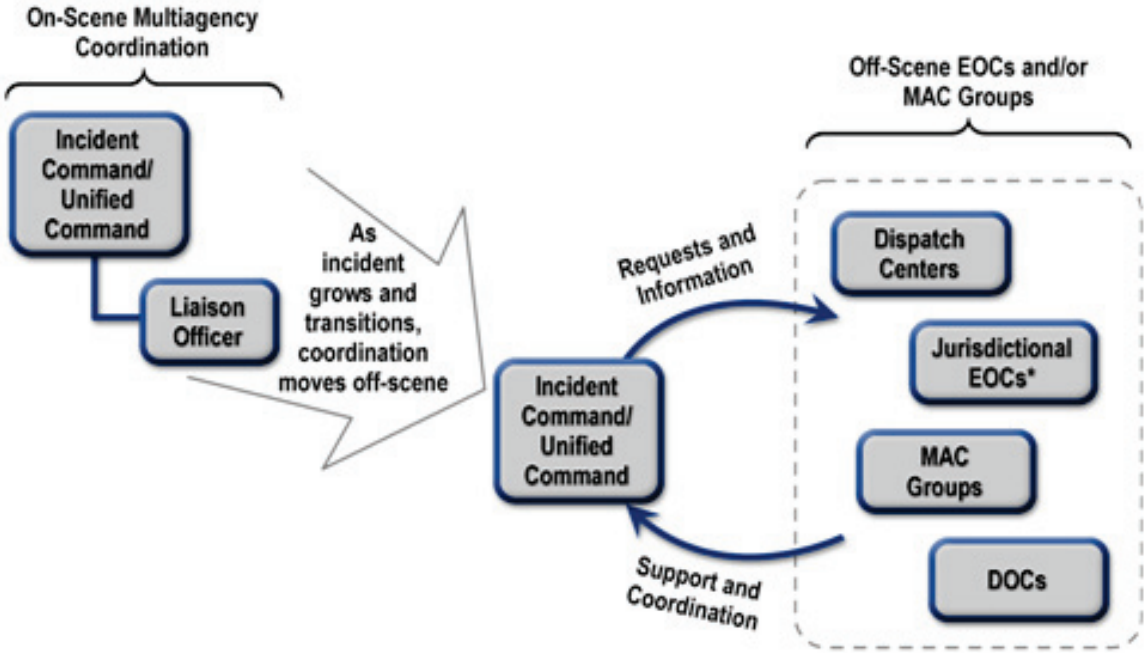
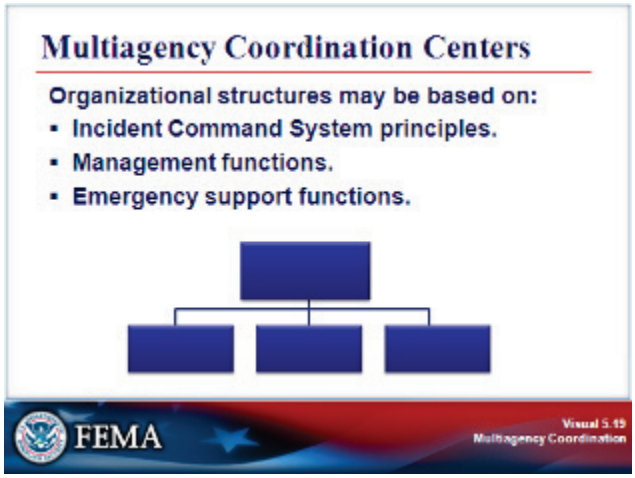
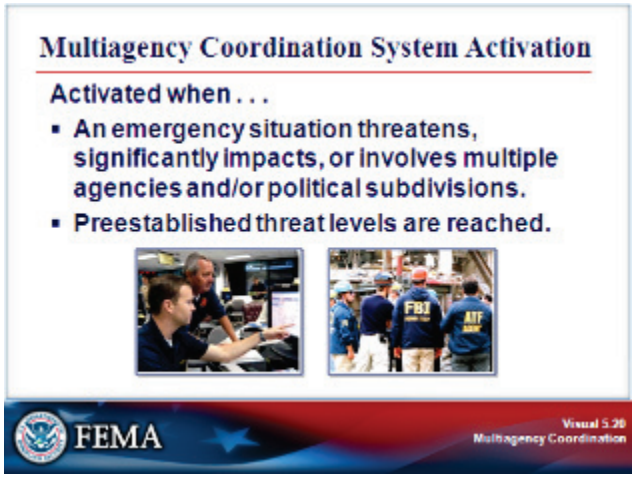
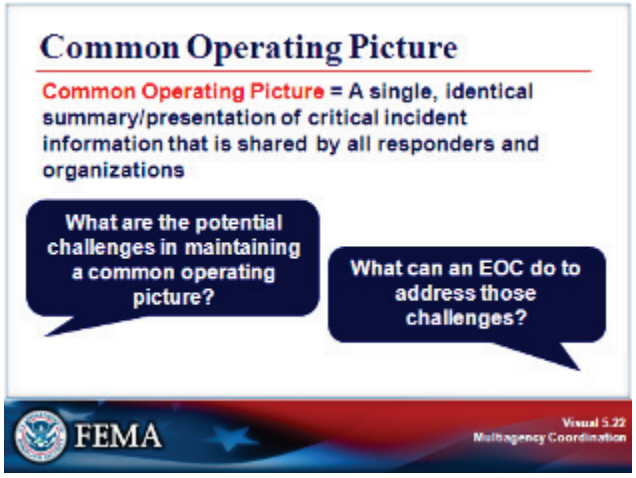


Visuals





Your Notes



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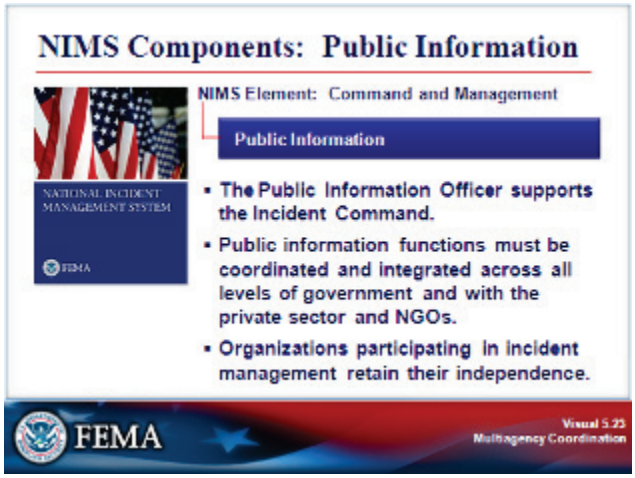

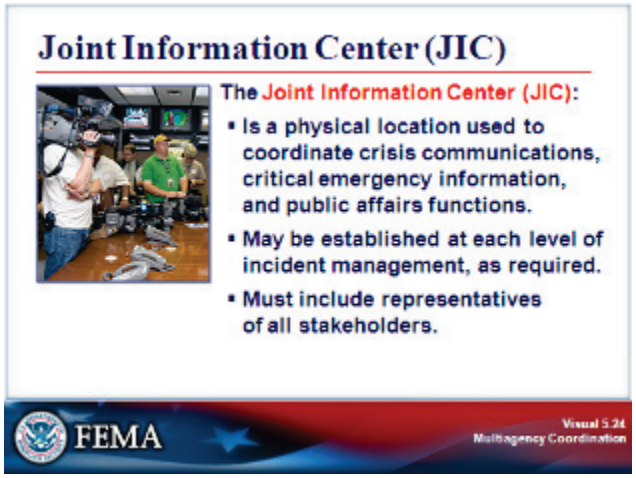

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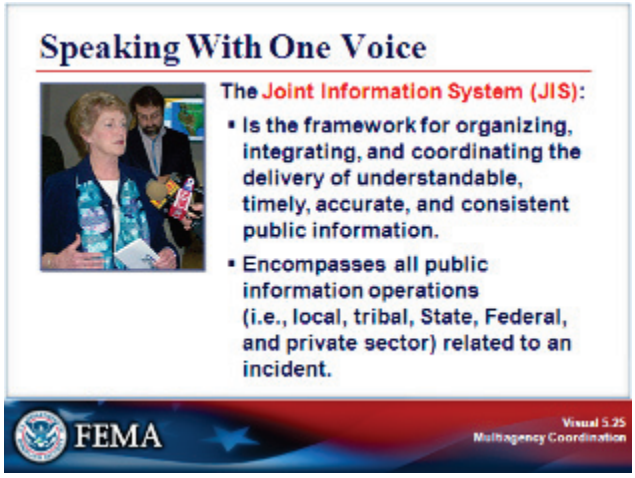

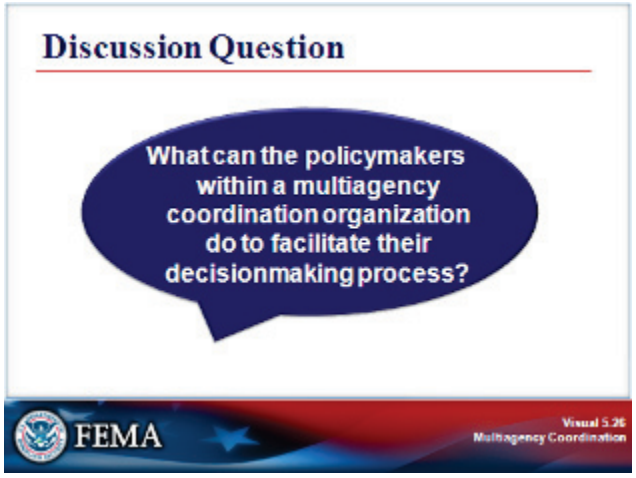

Your Notes

Visuals

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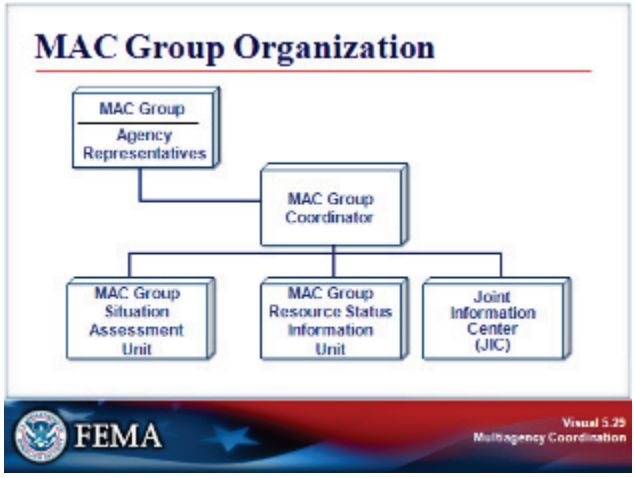


Your Notes

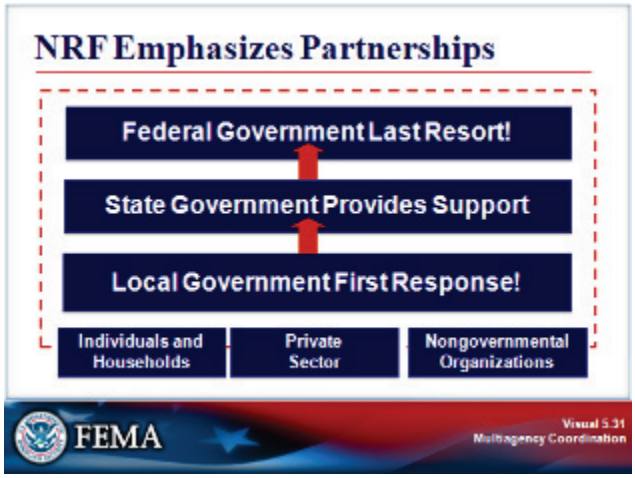
Job Aid: National Response Framework

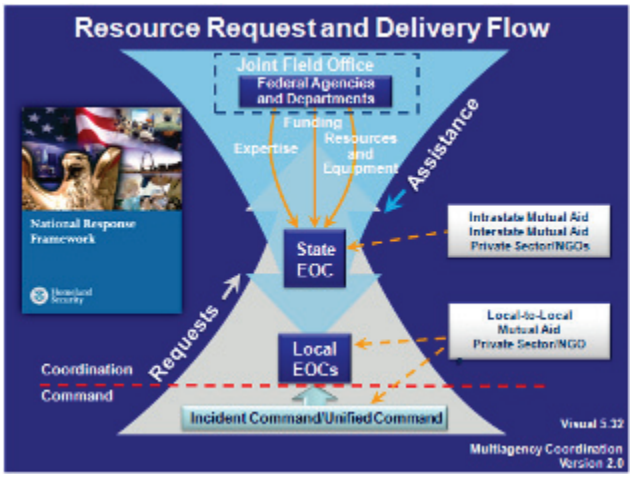
Key points related to the NRF:

- All Federal departments and agencies may play significant roles in incident management and response activities, depending on the nature and size of an incident.
- The Secretary of Homeland Security is the principal Federal official responsible for domestic incident management. This includes coordinating Federal operations and resource deployments within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, or other emergencies.
- **Federal departments and agencies routinely manage the response to incidents under their statutory or executive authorities.** These types of responses do not require DHS coordination and are led by the Federal entity with primary jurisdiction. In these instances, the Secretary of Homeland Security may monitor such incidents and may, as requested, activate Framework mechanisms to provide support to departments and agencies without assuming overall leadership for the incident.

The following visuals describe the coordination elements and supporting entities to provide a unified, national response when the Department of Homeland Security is coordinating the incident. These structures build on the local, State, and tribal structures discussed thus far in this unit.

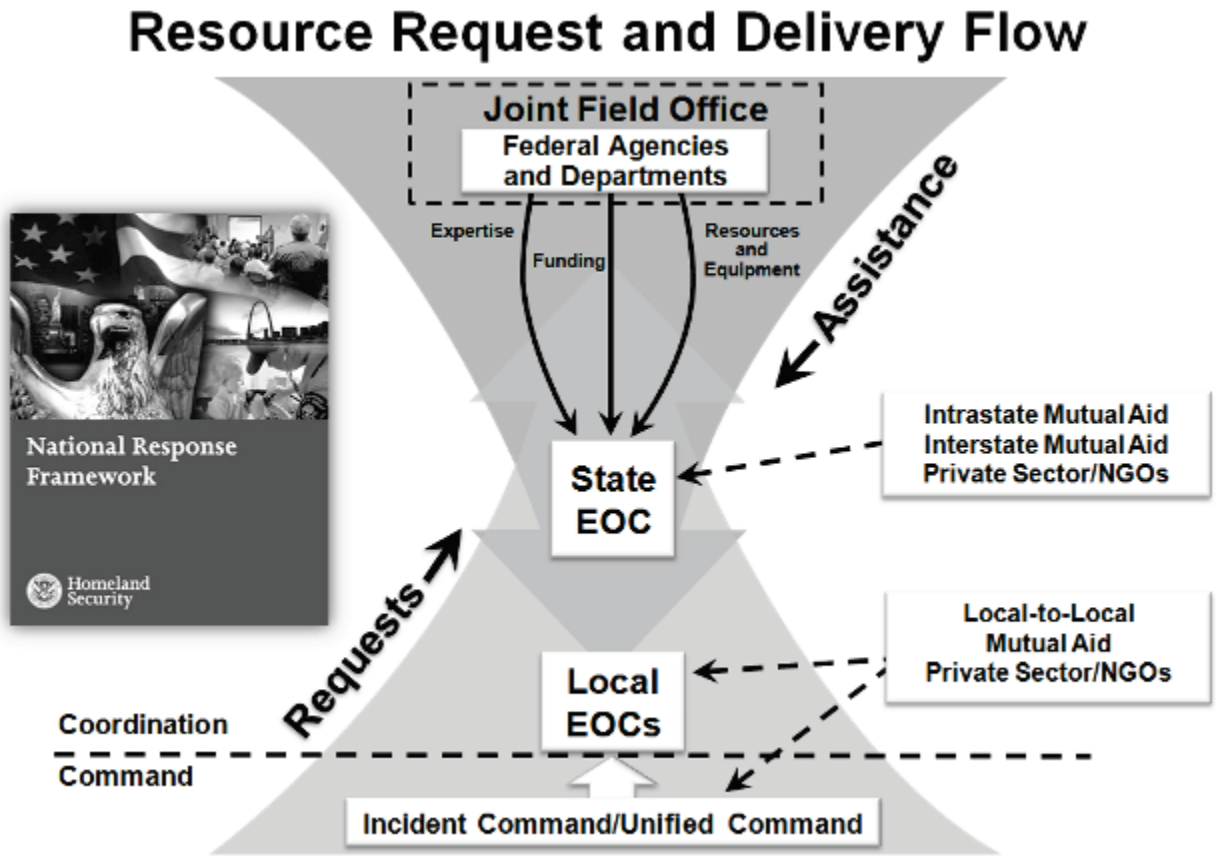
Visuals



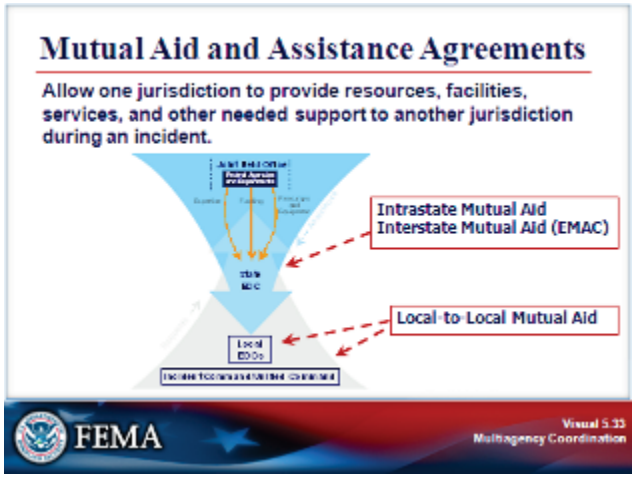


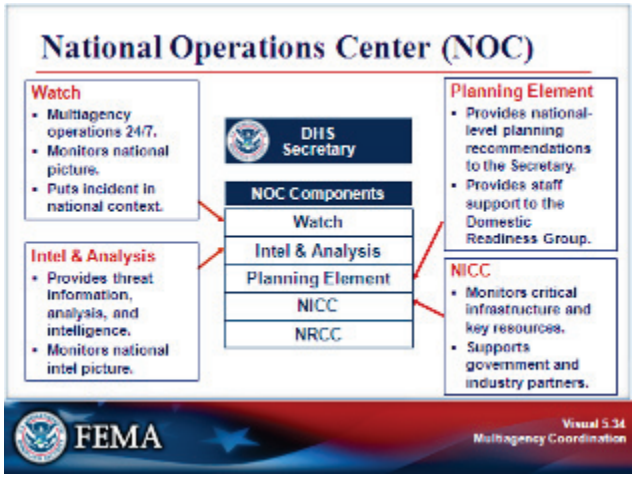
View the enlarged flow graphic on the next page.

Visuals


Resource Request and Delivery Flow
Joint Field Office
Federal Agencies and Departments
Expertise
Funding
Resources and Equipment
Assistance
National Response Framework
Homeland Security
State EOC
Intrastate Mutual Aid
Interstate Mutual Aid
Private Sector/NGOs
Requests
Local EOCs
Local-to-Local Mutual Aid
Private Sector/NGOs
Coordination
Command
Incident Command/Unified Command

Visuals





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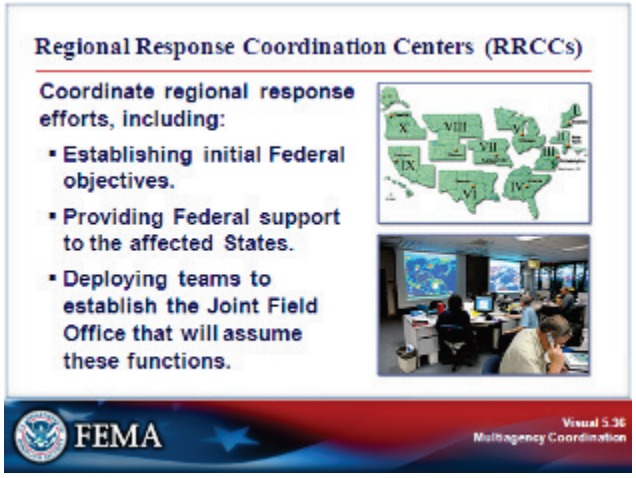

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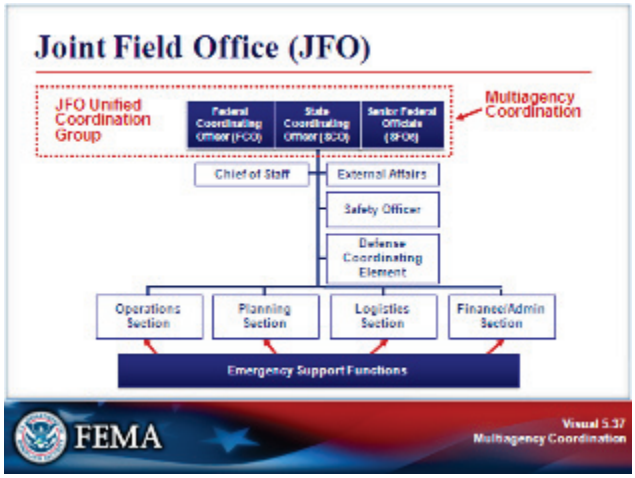
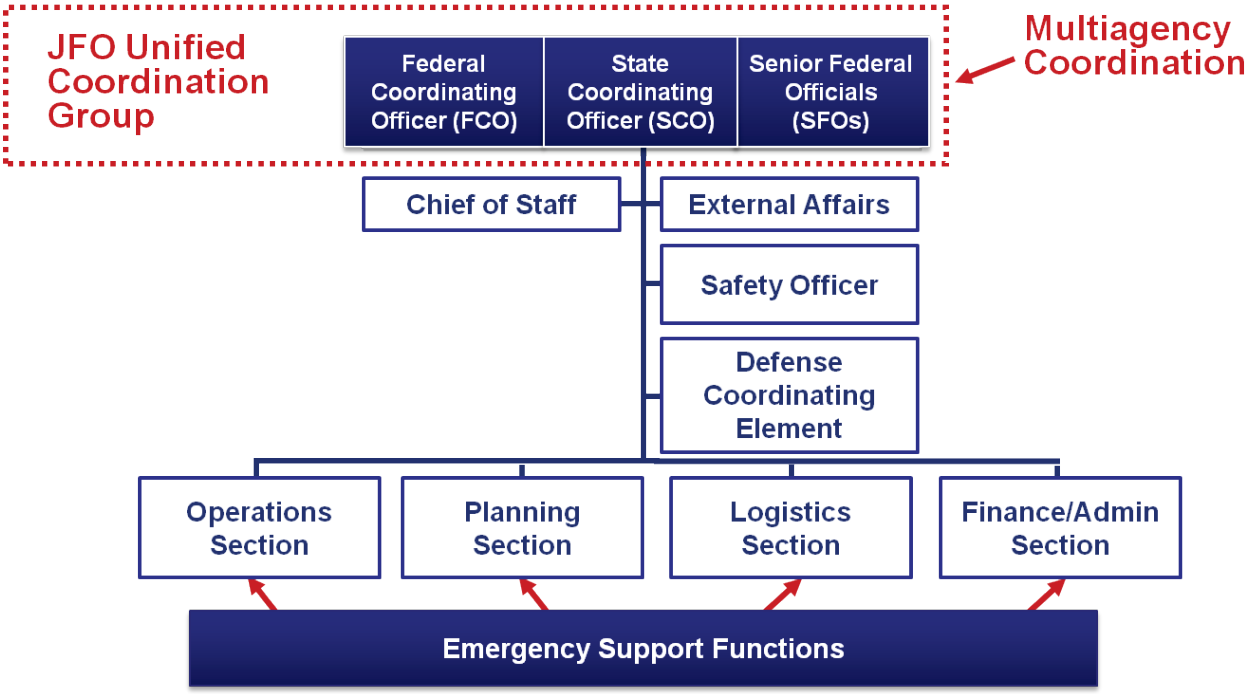
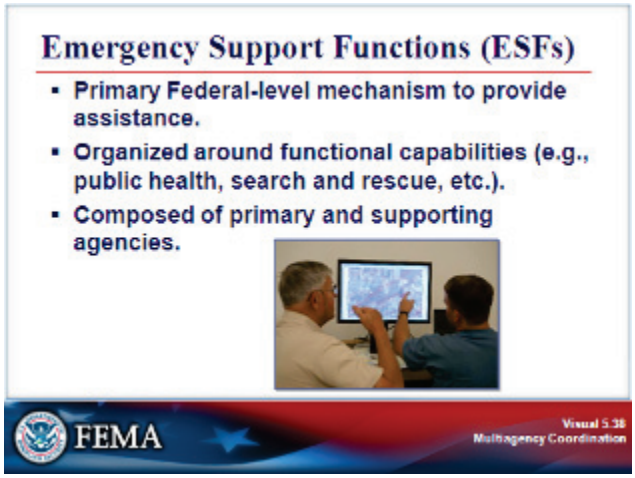


View the enlarged organization chart below.



Visuals



View the job aid on the next pages.

Your Notes

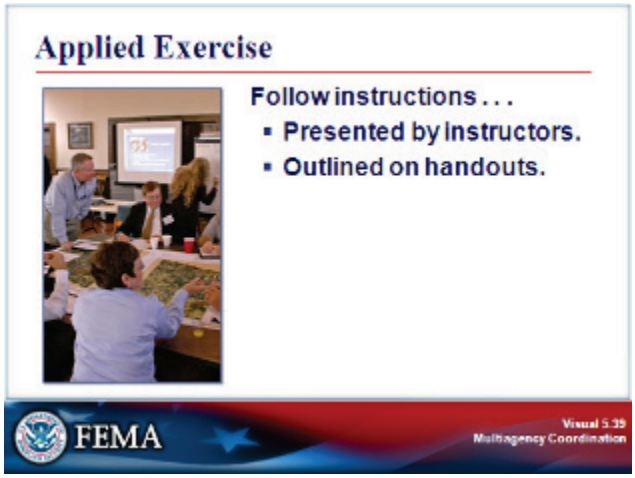
Job Aid: Emergency Support Function Teams and ESF Coordinators

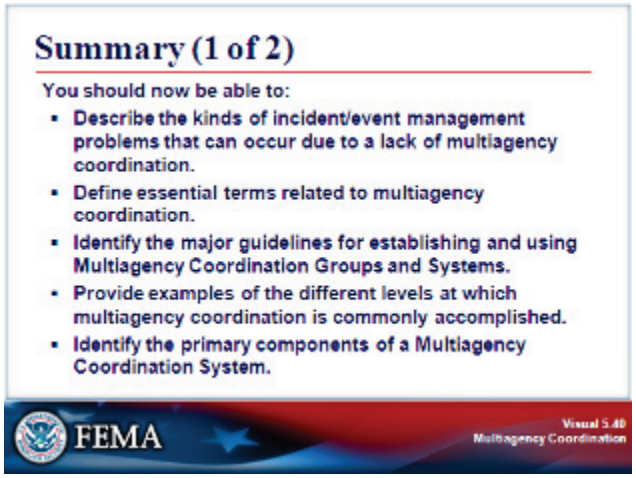
ESF #1 – Transportation **ESF Coordinator: Department of Transportation**
▪ Aviation/airspace management and control ▪ Transportation safety ▪ Restoration and recovery of transportation infrastructure ▪ Movement restrictions ▪ Damage and impact assessment
ESF #2 – Communications **ESF Coordinator: DHS (National Communications System)**
▪ Coordination with telecommunications and information industries ▪ Restoration and repair of telecommunications infrastructure ▪ Protection, restoration, and sustainment of national cyber and information technology resources ▪ Oversight of communications within the Federal incident management and response structures
ESF #3 – Public Works and Engineering **ESF Coordinator: Department of Defense (U.S. Army Corps of Engineers)**
▪ Infrastructure protection and emergency repair ▪ Infrastructure restoration ▪ Engineering services, construction management ▪ Critical infrastructure liaison
ESF #4 – Firefighting **ESF Coordinator: Department of Agriculture (U.S. Forest Service)**
▪ Coordination of Federal firefighting activities ▪ Resource support to wildland, rural and urban firefighting operations
ESF #5 – Emergency Management **ESF Coordinator: DHS (FEMA)**
▪ Coordination of incident management and response efforts ▪ Issuance of mission assignments ▪ Resource and human capital ▪ Incident action planning ▪ Financial management
ESF #6 – Mass Care, Emergency Assistance, Housing and Human Services **ESF Coordinator: DHS (FEMA)**
▪ Mass care ▪ Disaster housing ▪ Human services
ESF #7 – Logistics Management and Resource Support **ESF Coordinator: General Services Administration, and DHS (FEMA)**
▪ Comprehensive, national incident logistics planning, management, and sustainment capability ▪ Resource support (facility space, office equipment and supplies, contracting services, etc.)

Job Aid: Emergency Support Function Teams and ESF Coordinators (Continued)

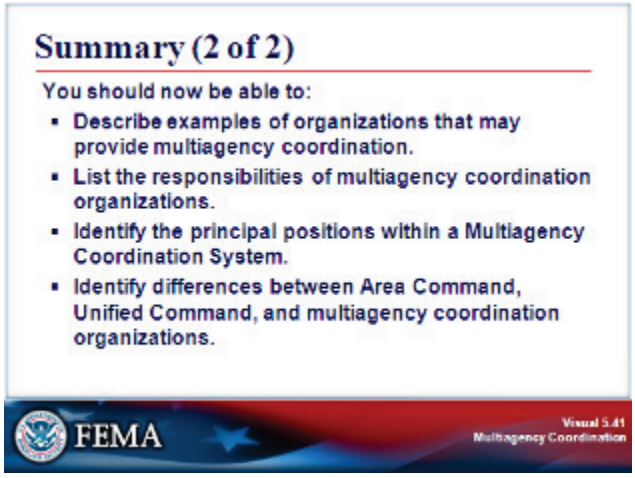
ESF #8 – Public Health and Medical Services **ESF Coordinator: Department of Health and Human Services**
▪ Public health ▪ Health-related human services ▪ Medical ▪ Mental health services ▪ Mass fatality management
ESF #9 – Search and Rescue **ESF Coordinator: DHS (FEMA)**
▪ Life-saving assistance ▪ Search and rescue operations
ESF #10 – Oil and Hazardous Materials Response **ESF Coordinator: Environmental Protection Agency**
▪ Oil and hazardous materials (chemical, biological, radiological, etc.) response ▪ Environmental short- and long-term cleanup
ESF #11 – Agriculture and Natural Resources **ESF Coordinator: Department of Agriculture**
▪ Nutrition assistance ▪ Animal and plant disease and pest response ▪ Food safety and security ▪ Natural and cultural resources and historic properties protection ▪ Safety and well-being of pets
ESF #12 – Energy **ESF Coordinator: Department of Energy**
▪ Energy infrastructure assessment, repair, and restoration ▪ Energy industry coordination ▪ Energy forecast
ESF #13 – Public Safety and Security **ESF Coordinator: Department of Justice**
▪ Facility and resource security ▪ Security planning and technical resource assistance ▪ Public safety and security support ▪ Support to access, traffic and crowd control
ESF #14 – Long-Term Community Recovery **ESF Coordinator: DHS (FEMA)**
▪ Social and economic community impact assessment ▪ Long-term community recovery assistance to States, local governments, and the private sector ▪ Analysis and review of mitigation program implementation
ESF #15 – External Affairs **ESF Coordinator: DHS**
▪ Emergency public information and protective action guidance ▪ Media and community relations ▪ Congressional and international affairs ▪ Tribal and insular affairs

Visuals





Your Notes



Your Notes

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UNIT 6: COURSE SUMMARY

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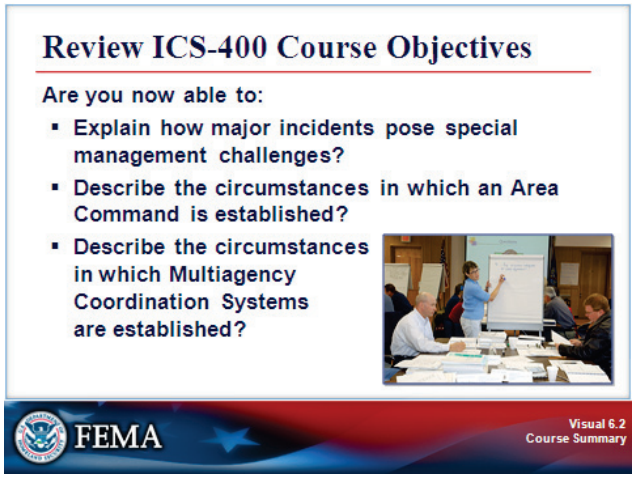
Visuals



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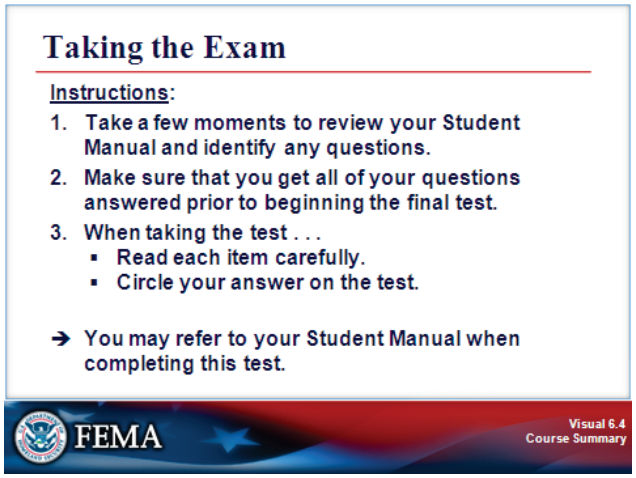

Your Notes

Visuals

Your Notes