

Course: IS-200.HC - Applying ICS to Healthcare Organizations

- Lesson 1: Course Overview
- Lesson 2: ICS and the Emergency Management Program
- Lesson 3: Functional Areas and Positions
- Lesson 4: Leadership and Management
- Lesson 5: ICS Management Process
- Lesson 6: Course Summary

Lesson 1: Course Overview

Course Welcome

The Emergency Management Institute developed ICS 200, Applying ICS to Healthcare Organizations (IS-200), to provide training on the Incident Command System (ICS) to healthcare professionals whose primary responsibility is emergency management, to include middle management within a hospital or healthcare system. Such professionals may include physicians, department managers, unit leaders, charge nurses, and hospital administrators that would have a leadership role during an incident.

IS-200 follows the National Incident Management System (NIMS) guidelines and meets the NIMS Baseline Training Requirements for I-200.

This is the second in a series of ICS courses designed to meet the all-hazard, all-agency NIMS ICS requirement for operational personnel. Descriptions and details about the other ICS courses in the series may be found on our web site: <http://training.fema.gov>.

This course is designed to enable personnel to operate efficiently during an incident or event within ICS. This course primarily focuses on the management of an initial response to an internal incident. At the end of this course, you should be able to:

- Describe the ICS organization appropriate to the complexity of the incident or event.
- Use the ICS to manage an incident or event.

Incident Command System (ICS)

In the last 30 years, ICS has evolved from its original application for managing large forest fires to a universally-accepted management tool any organization can use. ICS is an incident-focused organizational structure that can be implemented along side of the day-to-day administrative structure of an organization.

Public health agencies and healthcare organizations must learn and use ICS in order to be able to integrate into the larger emergency management system.

ICS: Part of a Comprehensive Emergency Management Program

Since 2001, the Joint Commission for the Accreditation of Healthcare Organizations (JCAHO) has required an all-hazards, comprehensive emergency management program, and an Incident Command System consistent with that in use by the community. A comprehensive emergency management program addresses all hazards through four phases of activity: mitigation (including prevention), preparedness, response, and recovery. These phases exist in a cycle with recovery leading back to mitigation/prevention. ICS is a management system used for the response and recovery phases of an incident as well as preparedness pre-planning activities.

Homeland Security Presidential Directives

In 2002 and 2003, President Bush issued the following Homeland Security Presidential Directives (HSPDs):

- HSPD-5 identifies steps for improved coordination in response to incidents. It requires the Department of Homeland Security (DHS) to coordinate with other Federal departments and agencies, State, local,

and tribal governments, and the private sector. HSPD-5 established the need for a National Response Plan (NRP) and a National Incident Management System (NIMS).

- HSPD-8 describes the way Federal departments and agencies will prepare. It requires DHS to coordinate with other Federal departments and agencies and State, local, and tribal governments to develop a National Preparedness Goal, which includes hospitals and healthcare systems.

NRP and NIMS

The NRP is an all-discipline, all-hazards plan for the management of domestic incidents. Using the template established by the NIMS, the NRP provides the structure and mechanisms to coordinate and integrate incident management activities and emergency support functions across Federal, State, local, and tribal government entities, the private sector, and non-governmental organizations.

NIMS provides a consistent framework for incident management regardless of the cause, size, or complexity of the incident. Building upon ICS, NIMS provides the Nation's first responders and authorities with the same foundation for incident management for terrorist attacks, natural disasters, and other emergencies. NIMS requires that ICS be institutionalized within governmental agencies and private/non-profit organizations.

Institutionalizing NIMS

According to the NIMS Integration Center, "institutionalizing the use of ICS" means that government officials, incident managers, and emergency response organizations at all jurisdictional levels adopt the Incident Command System.

Actions to institutionalize the use of ICS take place at two levels — policy and organizational/operational.

At the policy level, institutionalizing the ICS means government officials, i.e., governors, mayors, county and city managers, tribal leaders, and others:

- Adopt the ICS through executive order, proclamation, or legislation as the jurisdiction's official incident response system; and
- Direct that incident managers and response organizations in their jurisdictions train, exercise, and use the ICS in their response operations.

At the organizational/operational level, evidence that incident managers and emergency response organizations are institutionalizing the ICS would include the following:

- ICS is being integrated into functional and system-wide emergency operations policies, plans, and procedures;
- ICS training is planned or under way for responders, supervisors, and command level officers;
- Responders at all levels are participating in and/or coordinating ICS-oriented exercises that involve responders from multi-disciplines and jurisdictions.

NIMS Components

NIMS integrates existing best practices into a consistent, nationwide approach to domestic incident management. As illustrated below, six major components make up the NIMS systems approach.

- Command and Management
- Preparedness
- Resource Management
- Communications and Information Management
- Supporting Technologies
- Ongoing Management and Maintenance

NIMS Command and Management

Following is a synopsis of the Command and Management component of the NIMS.

- **Command and Management.** NIMS standard incident command structures are based on three key organizational systems:

- **ICS.** ICS provides an organizational structure and planning process any organization can use to manage the response to an incident or a planned event;
- **Multiagency Coordination Systems.** Multiagency Coordination Systems (MACSs) are the combination of facilities, equipment, personnel, procedures, and communications integrated into a common system that supports incident management. An Emergency Operations Center or Hospital Command Center is an example of a facility used to support a MACS.
- **Public Information Systems.** These systems refer to processes, procedures, and systems for communicating timely and accurate information to the public during crisis or emergency situations.

ICS Features

As you learned in the previous lesson, ICS is based on proven management principles, which contribute to the strength and efficiency of the overall system.

ICS principles are implemented through a wide range of management features including the use of common terminology and clear text, and a modular organizational structure.

ICS emphasizes effective planning, including management by objectives and reliance on an Incident Action Plan. ICS helps ensure full utilization of all incident resources by:

- Maintaining a manageable span of control.
- Establishing predesignated incident locations and facilities.
- Implementing resource management practices.
- Ensuring integrated communications.

The ICS features related to command structure include chain of command and unity of command as well as unified command and transfer of command. Formal transfer of command occurs whenever leadership changes.

Through accountability and mobilization, ICS helps ensure that resources are on hand and ready.

And, finally ICS supports responders and decisionmakers by providing the data they need through effective information and intelligence management.

This lesson covers each of these ICS features in detail.

This course builds on what you learned in ICS-100 about ICS features. The ICS features are listed below.

- **Common Terminology.** Using common terminology helps to define organizational functions, incident facilities, resource descriptions, and position titles.
- **Modular Organization.** The incident command organizational structure develops in a top-down, 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.
- **Management by Objectives.** Includes establishing overarching objectives; developing and issuing assignments, plans, procedures, and protocols; establishing specific, measurable objectives for various incident management functional activities; and directing efforts to attain the established objectives.
- **Reliance on an Incident Action Plan.** Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities.
- **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 or multi-organizational involvement, or multiple jurisdictions with multiagency involvement, Unified Command allows agencies and organizations with different legal, geographic, and functional authorities

and responsibilities to work together effectively without affecting individual entity authority, responsibility, or accountability.

- **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 can range from three to seven subordinates. A ratio of one supervisor to five reporting elements is recommended.
- **Predesignated Incident Locations and Facilities.** Various types of operational locations and support facilities are established in the vicinity of an incident to accomplish a variety of purposes. Typical predesignated facilities include Incident Command Posts, Staging Areas/Labor Pool, Helibases, and Helispots. Additional facilities such as Mass Casualty Triage Areas and others may be added as required.
- **Resource Management.** Resource management includes processes for categorizing, ordering, dispatching, tracking, and recovering resources. It also includes processes for reimbursement for resources, as appropriate. 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.
- **Information and Intelligence Management.** The incident management organization must establish a process for gathering, sharing, and managing incident-related information and intelligence.
- **Integrated Communications.** Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures.
- **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.
- **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 or organization 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.
- **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.
- **Mobilization.** Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.

Additional Resources

For more information on NIMS implementation activities for hospitals and healthcare systems, consult the following resources:

- The National Incident Management System (NIMS) (<http://www.dhs.gov/xlibrary/assets/NIMS-90-web.pdf>).
- HSPD-5 in its entirety (<http://www.whitehouse.gov/news/releases/2003/02/20030228-9.html>).
- The Emergency Management (EM) Principles and Practices for Healthcare Systems (<http://www1.va.gov/emshg/page.cfm?pg=122>).
- The HICS Implementation Manual (<http://www.emsa.ca.gov/hics/hics.asp>).

Lesson Completion

You have completed the **Course Overview** lesson.

The next lesson will describe how ICS is incorporated within the overall emergency management program.

Lesson 2: ICS and the Emergency Management Program

Lesson Overview

The **ICS and Emergency Management Program** lesson explains how ICS is incorporated within the overall emergency management program.

Lesson 2 Objectives

By the end of this lesson, you should be able to:

- Describe what is meant by the term comprehensive emergency management program.
- Explain the relationship of ICS to the overall emergency management program.
- Provide an overview of the ICS implementation process.
- Describe how ICS uses management by objectives.

Comprehensive Emergency Management

The concept, Comprehensive Emergency Management (CEM), was developed by the National Governor's Association and was a founding principle for the Federal Emergency Management Agency (FEMA) when it was created in 1979. CEM defined four phases that apply to all hazards: mitigation (including prevention), preparedness, response, and recovery. Mitigation activities are those that eliminate or reduce the impact of hazards; preparedness activities build the capabilities of an organization or a jurisdiction to respond and recover from the impacts of those hazards; response activities gain control over the on-going negative effects of the hazards; and, recovery activities return the organization or jurisdiction back to its pre-disaster condition. ICS is used to manage the response and recovery activities.

The Integrated Emergency Management System

The Integrated Emergency Management System, or IEMS, was created by FEMA in 1983 to explain how comprehensive emergency management programs are developed. IEMS provided two key directions:

- Emergency management program development occurs through a multi-year development process.
- Emergency Operations Plans should be based on functions, not hazards or agencies.

IEMS articulated a framework of steps that can be used to develop emergency management programs. They are:

- Hazards Vulnerability Analysis.
- Capability Assessment.
- Emergency Operations Planning.
- Capability Maintenance.
- Mitigation Efforts.
- Emergency Operations or Exercises.
- Evaluation.
- Capability Shortfall or Gap Analysis.
- Multi-year Development Planning.
- Annual Development Increment and Work Plan (which leads back to Capability Assessment).

Emergency Operations Plans

IEMS called for Emergency Operations Plans based on functions, not hazards or agencies. This was a significant shift in thinking and is a practice still in use today. The National Response Plan, as well as most State and local jurisdiction emergency plans, are written in this "all hazards" format. There are at least three sections to an Emergency Operations Plan:

- **Basic Plan.** The Basic Plan provides an overview of how the organization or jurisdiction will organize and coordinate response and recovery activities. The use of the Incident Command System would be discussed in this document.

- **Functional Annexes.** The Functional Annexes, also known as Emergency Support Functions, explain how particular functions will be organized and implemented. Some organizations use the functional areas of the Incident Command System (Command, Operations, Planning, Logistics, and Finance/Administration) as the basis for the functional annexes.
- **Incident-Specific Appendices.** These documents include short, concise guidance on how to recognize and initiate a response to the priority hazards identified through the organization's Hazards Vulnerability Analysis. This guidance would include initiating an ICS organization and the incident action planning process.

Emergency Management Programs for Healthcare Organizations

In January 2001, the Joint Commission on the Accreditation of Healthcare Organizations (JCAHO) updated the emergency management standards for hospitals and since then, has extended them to all care settings. Other standards organizations, including the National Fire Protection Association (NFPA) and the American Society for Testing and Materials (ASTM) have advocated the use of an all-hazards, comprehensive emergency management approach and have advocated use of an Incident Command System consistent with that used by the local community.

ICS Management Process

The organization's Emergency Operations Plan, with ICS incorporated, is used to manage the demands generated by the threat or impact of a hazard, such as severe weather, a violent criminal act, or an unintentional accident. Disaster researchers have identified two separate sets of demands that occur during emergencies:

- Agent-generated demands, or those caused by the particular hazard, such as deaths and injuries, evacuation, and mass care.
- Response-generated demands, or those created within and between the organizations as they respond to the impacts of the hazard. Response-
- generated demands include coordination, exercise of authority, and communications.

In almost every After Action Report, you will see problems with response-generated demands. Broader application of the Incident Command System by all of the organizations involved in emergency response should help resolve these problems.

The "lifecycle" of an Incident includes a number of stages, such as:

- **Event recognition**, or the point in time when the organization becomes aware of a significant event occurring.
- **Notifications** of key staff and the decision to activate the Emergency Operations Plan / Incident Command System.
- **Mobilization** and assignment of staff for the initial ICS organization.
- **Incident operations**, managed through the ICS organization and incident action planning process.
- **Demobilization** of some or all of the ICS organization to meet the existing and projected requirements.
- **Transition to long-term recovery** activities, and returning to the day-to-day organizational structure.
- **Return-to-readiness** activities including post-incident critique, debriefing, after action review, and corrective action.

During the mobilization stage of incident response, the initial ICS organization takes shape, based on the type of incident. For many healthcare organizations, this is a pre-designated level of staffing derived from the **Incident-Specific Guidance** that was developed for that particular hazard. At this point, the organization is reacting to the incident.

The main focus of the ICS management process is to get in a position to proactively manage the incident response and recovery. This is accomplished through the incident action planning process.

Initial Response: Conduct a Situation Assessment

One of the first tasks for the initial Incident Commander is to conduct a situation assessment. This is necessary in order to set objectives for the immediate time period. An initial assessment would include:

- The type of incident, its location, magnitude, and expected duration.
- Any on-going hazards and safety concerns, including entrance and exit routes for responders.
- Determining the initial priorities, categorized as follows:
 - **First Priority:** Life Saving.
 - **Second Priority:** Incident Stabilization.
 - **Third Priority:** Property Preservation.
- A location for the Incident Command Post.

ICS Uses “Management by Objectives”

The initial Incident Commander sets **objectives** for the immediate period of time (e.g. first several hours). If it appears that the incident will last longer than this, the initial Incident Commander will establish the future **operational period**. **Operational periods** are timeframes within which objectives are established that guide response and recovery activities. Operational periods are not always associated with shift length, and can be 8-, 12-, or 24-hours in length.

The incident action planning process uses management by objectives. This process includes:

- Setting the operational period.
- Determining overall priorities.
- Establishing specific, measurable, and attainable objectives.
- Selecting the most effective strategies and tactics to accomplish the objectives.
- Identifying the resource requirements needed to carry out the tactics.
- Developing and issuing assignments.
- Directing, monitoring, and evaluating response efforts in order to adjust strategies, objectives, and assignments for the next operational period.
- Documenting results to facilitate corrective action.

Effective Incident Objectives

For full effectiveness, incident objectives must be:

- Specific and state what is to be accomplished.
- Measurable and include a standard and timeframe.
- Attainable and reasonable.
- In accordance with the Incident Commander's authorities.
- Evaluated to determine effectiveness of strategies and tactics.

Objectives, Strategies, and Tactics

Incident Objectives, Strategies, and Tactics are three fundamental pieces of a successful incident response.

- **Incident Objectives** state what will be accomplished.
- **Strategies** establish the general plan or direction for accomplishing the incident objectives.
- **Tactics** specify how the strategies will be executed.

The Incident Commander is responsible for establishing objectives and selecting strategies. The Operations Section, if it is established, is responsible for determining appropriate tactics for an incident.

Elements of an Incident Action Plan

An IAP covers an operational period and includes:

- What must be done.
- Who is responsible.
- How information will be communicated.
- What should be done if someone is injured.

The operational period is the period of time scheduled for execution of a given set of tactical actions as specified in the Incident Action Plan. The exact length of an operational period is set by the Incident Commander, based on the incident.

Lesson Review

You have completed the **ICS and the Emergency Management Program** lesson. You should now be able to understand:

- The relationship of ICS to the organization's emergency management program.
- How ICS is integrated into the structure of an Emergency Operations Plan (EOP).
- The lifecycle of incident response and recovery.
- The incident action planning process.
- How ICS is implemented during the initial response.

The next lesson will discuss functional areas and positions.

Lesson 3: Functional Areas and Positions

Lesson Overview

The **Functional Areas & Positions** lesson introduces you to ICS and organizational components, command staff, expanding incidents, and general staff.

Lesson 3 Objectives

At the end of this lesson, you should be able to:

- Describe the functional areas and positions within an ICS organizational structure.
- Describe how ICS is used to manage expanding incidents.

Incident Commander

The Incident Commander performs **all** major ICS Command and General Staff responsibilities unless these functions are activated.

The Command Staff positions include Public Information Officer, Safety Officer, and Liaison Officer. General Staff positions include Sections Chiefs associated with the Operations, Logistics, Planning, and Finance/Administration Sections.

Upon arriving at an incident, the highest ranking and/or the most qualified person will either assume command, maintain command as is, or reassign command to a third party. This does not mean that the highest ranking person (e.g. the Director or CEO) needs to assume the role of Incident Commander. In ICS, the Director or CEO can assume the role of Agency Executive, Incident Commander, or neither. ICS roles are assumed by those individuals most qualified for the position. The Incident Commander reports incident progress to the Agency Executive, who continues to run the day-to-day administrative affairs of the organization.

The Incident Commander:

- Has overall incident management responsibility delegated by the Agency Executive.
- Develops the objectives that guide incident response and recovery efforts.
- Approves the Incident Action Plan and all requests pertaining to the ordering and releasing of incident resources.

Command Staff

The Command Staff is only activated in response to the needs of the incident. Command Staff includes the following positions:

- Public Information Officer.
- Liaison Officer.
- Safety Officer.

Command Staff carry out staff functions needed to support the Incident Commander. These functions include interagency liaison, incident safety, and public information. The following Command Staff positions are established to assign responsibility for key activities not specifically identified in the General Staff functional elements.

Public Information Officer (PIO)

The PIO is responsible for interfacing with the public and media and/or with other agencies and organizations with incident-related information requirements. The PIO develops accurate and complete information on the incident's cause, size, and current situation; resources committed; and other matters of general interest for both internal and external consumption. The PIO may also perform a key public information-monitoring role.

Only one incident PIO should be designated. Assistants may be assigned from other agencies or departments involved. The Incident Commander must approve the release of all incident-related information.

Safety Officer (SO)

The SO monitors incident operations and advises the Incident Commander on all matters relating to operational safety, including the health and safety of emergency responder personnel. The ultimate responsibility for the safe conduct of incident management operations rests with the Incident Commander or Unified Command and supervisors at all levels of incident management. The SO is, in turn, responsible to the Incident Commander for the set of systems and procedures necessary to ensure ongoing assessment of hazardous environments, coordination of multiagency safety efforts, and implementation of measures to promote emergency responder safety, as well as the general safety of incident operations. The SO has emergency authority to stop and/or prevent unsafe acts during incident operations. In a Unified Command structure, a single SO should be designated, in spite of the fact that multiple jurisdictions and/or functional agencies/organizations may be involved. The SO must also ensure the coordination of safety management functions and issues across jurisdictions, across functional agencies, and with private-sector and nongovernmental organizations.

Liaison Officer (LNO)

The LNO is the point of contact for representatives of other non-governmental organizations, governmental agencies, and/or private entities. In either a Single or Unified Command structure, representatives from assisting or cooperating agencies and organizations coordinate through the LNO. Agency and/or organizational representatives assigned to an incident must have the authority to speak for their parent agencies and/or organizations on all matters, following appropriate consultations with their organization's leadership. Assistants and personnel from other agencies or organizations (public or private) involved in incident management activities may be assigned to the LNO to facilitate coordination.

Deputies

Deputies may be assigned at the Incident Command, Section, or Branch levels. The only ICS requirement regarding the use of a Deputy is that the Deputy must be fully qualified and equally capable to assume the position.

The two primary functions of a Deputy include:

- Performing specific tasks as requested by the Incident Commander, Section Chief, or Branch Director.
- Performing ICS functions in a relief capacity (e.g., to take over the next operational period). In this case, the Deputy would assume the primary role.

Like Command and General Staff positions, Deputies should only be assigned when needed. Remember that the ICS organizational structure should expand relative to incident needs.

Cooperating and Assisting Agencies

For large incidents, other organizations or agencies can assist with the incident response efforts in different capacities.

Assisting Agencies are agencies or organizations that provide personnel, services, or other resources to the organization with **direct responsibility for the incident management**.

Cooperating Agencies are organizations that **supply assistance other than direct operational or support functions and resources** to the incident management effort.

For example, hospitals and healthcare systems from areas outside of a region impacted by an incident may send medical personnel and supplies to help treat incident victims. They are serving as cooperating agencies. They are offering assistance, but are not responsible for incident response.

Agency Representative

An Agency Representative is an individual who speaks on behalf of an assisting or cooperating agency or organization to other entities involved with the same incident. Agency Representatives work through the Liaison Officer of the other agency's ICS structure. For example, a healthcare organization's Agency Representative would make contact with the Liaison Officer of the local government's Emergency Operations Center (EOC) to communicate information and requests to the local government, as well as make decisions on matters affecting the healthcare organization's participation in the incident.

Assistants

In a large or complex incident, 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. Assistants are subordinates of principle Command Staff positions. As the title indicates, Assistants should have a level of technical capability, qualifications, and responsibility subordinate to the primary positions. Assistants may also be assigned to Unit Leaders.

Expanding Incidents

An incident may start small and then expand. As the incident grows in scope and the number of resources needed increases, there may be a need to activate Teams, Divisions, Groups, Branches, or Sections to maintain an appropriate span of control.

The ability to delegate the supervision of resources not only frees up the Incident Commander to perform critical decisionmaking and evaluation duties, but also clearly defines the lines of communication to everyone involved in the incident.

Next, we'll review the major organizational elements that may be activated during an expanding incident.

Operations Section

The Operations Section:

- Directs and coordinates all incident tactical operations.
- Is typically one of the first organizations to be assigned to the incident.
- Expands from the bottom up.
- Has the most incident resources.
- Controls staging areas for personnel, equipment, and vehicles.

Operations Section Chief

The Operations Section Chief:

- Is responsible to the Incident Commander for the direct management of all incident-related operational activities.
- Establishes tactical objectives for each operational period.
- Has direct involvement in the preparation of the Incident Action Plan.

The Operations Section Chief may have one or more Deputies assigned.

Operations Section: Staging Areas

Staging Areas are set up at the incident where resources can wait for a tactical assignment. Staging areas can be designated for personnel, equipment and/or vehicles. In healthcare organizations, the term Labor Pool is essentially a staging area for personnel.

Incident resources can have one of three types of status conditions: Assigned, Available, or Out-of-Service.

Resources in a Staging Area are available and ready for assignment. Resources in an Out-of-Service status (e.g. resting, eating) are NOT located at the Staging Area.

Staging Areas: Chain of Command

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

Divisions and Groups

Divisions are established to divide an incident into physical or geographical areas of operation.

Groups are established to divide the incident into functional areas of operation.

Groups may be assigned across geographical areas when a functional activity crosses divisional lines.

For example, a Damage Assessment Task Force, reporting to the Infrastructure Group Leader, could work across divisions established to manage two distinct areas of the hospital that had been damaged - the west side of the building (West Division) and the north side (North Division).

In any organization in which combined Divisions and Groups are used, it is important that the supervisors establish and maintain close communications and coordination. Each will have equal authority; neither supervisor will be subordinate to the other.

Branches

Branches have functional or geographical responsibility for major parts of incident operations. Branches can be used to combine functional Groups and geographic Divisions, or when the number of resources, Groups, or Divisions exceeds the recommended span of control (one supervisor to three to seven subordinates) for the Operations Section Chief. Branches are identified by Roman numerals or functional name, and are managed by a Branch Director.

Planning Section

The Planning Section has responsibility for:

- Maintaining resource status.
- Maintaining and displaying situation status.
- Preparing the Incident Action Plan (IAP).
- Developing alternative strategies.
- Providing documentation services.
- Preparing the Demobilization Plan.
- Providing a primary location for Technical Specialists assigned to an incident.

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

Information and Intelligence

The Planning Section is typically responsible for gathering and disseminating information and intelligence critical to the incident. Based on the incident needs, the Information and Intelligence function may be activated as a fifth General Staff section, as an element within the Operations or Planning Sections, or as part of the Command Staff. The analysis and sharing of information and intelligence are important elements of ICS.

In this context, intelligence includes not only national security or other types of classified information but also other operational information, such as risk assessments, medical intelligence (i.e., surveillance), weather information, geospatial data, structural designs, toxic contaminant levels, and utilities and public works data, that may come from a variety of different sources.

Traditionally, information and intelligence functions are located in the Planning Section.

However, in exceptional situations, the Incident Commander may need to assign the information and intelligence functions to other parts of the ICS organization. In any case, information and intelligence must be appropriately analyzed and shared with personnel, designated by the Incident Commander, who have proper clearance and a "need-to-know" to ensure that they support decisionmaking.

The information and intelligence function may be organized in one of the following ways:

- **Within the Command Staff.** This option may be most appropriate in incidents with little need for tactical or classified intelligence and in which incident-related intelligence is provided by supporting Agency Representatives, through real-time reach-back capabilities.
- **As a Unit Within the Planning Section.** This option may be most appropriate in an incident with some need for tactical intelligence and when no law enforcement entity is a member of the Unified Command.
- **As a Branch Within the Operations Section.** This option may be most appropriate in incidents with a high need for tactical intelligence (particularly classified intelligence) and when law enforcement is a member of the Unified Command.
- **As a Separate General Staff Section.** This option may be most appropriate when an incident is heavily influenced by intelligence factors or when there is a need to manage and/or analyze a large volume of classified or highly sensitive intelligence or information. This option is particularly relevant to a terrorism incident, for which intelligence plays a crucial role throughout the incident life cycle.

Regardless of how it is organized, the information and intelligence function is also responsible for developing, conducting, and managing information-related security plans and operations as directed by the Incident Action Plan. These can include information security and operational security activities, as well as the complex task of ensuring that sensitive information of all types (e.g., classified information, sensitive law enforcement information, proprietary and personal information, or export-controlled information) is handled in a way that not only safeguards the information but also ensures that it gets to those who need access to it so that they can effectively and safely conduct their missions.

The information and intelligence function also has the responsibility for coordinating information- and operational-security matters with public awareness activities that fall under the responsibility of the Public Information Officer, particularly where such public awareness activities may affect information or operations security.

Planning Section Key Personnel

The Planning Section will have a Planning Section Chief. The Planning Section Chief may have a Deputy. Technical Specialists are advisors with special skills required at the incident. Traditional ICS principles have Technical Specialists initially reporting to the Planning Section, and working within that Section, or reassigned to another part of the organization. Technical Specialists can be in any discipline required (e.g., epidemiology, infection control, chemical-biological-nuclear agents, etc.).

Planning Section Units

The major responsibilities of Planning Units are:

- **Resources Unit:** Responsible for all check-in activity and for maintaining the status on all personnel and equipment resources assigned to the incident.

- **Situation Unit:** Collects and processes information on the current situation, prepares situation displays and situation summaries, develops maps and projections.
- **Documentation Unit:** Prepares the Incident Action Plan, maintains all incident-related documentation, and provides duplication services.
- **Demobilization Unit:** On large, complex incidents, the Demobilization Unit will assist in ensuring that an orderly, safe, and cost-effective movement of personnel is made when they are no longer required at the incident.

Logistics Section

Early recognition of the need for a Logistics Section can increase effectiveness and efficiency of incident operations. The Logistics Section is responsible for all support requirements, including:

- Communications.
- Medical support to incident personnel.
- Food for incident personnel.
- Supplies, facilities, and ground support.

It is important to remember that Logistics Unit functions are geared to **supporting personnel and resources directly assigned to the incident**. One area of confusion is the Facilities Unit. The purpose of this Unit is to provide facilities in support of the incident, such as space for the Incident Command Post or a location for a vehicle Staging Area, portable toilets, tentage for outdoor areas, and so on. The Facilities Unit is not responsible for day-to-day facility maintenance.

Logistics Section: Service Branch

The Service Branch may be made up of the following units:

- The **Communications Unit** is responsible for developing plans for the effective use of incident communications equipment and facilities, installing and testing of communications equipment, distribution of communications equipment to incident personnel, and the maintenance and repair of communications equipment.
- The **Medical Unit** in an ICS applied to healthcare organizations would be responsible for providing medical screening, evaluation and follow-up of employees who are assigned to an incident.
- The **Food Unit** is responsible for supplying the food needs for the entire incident, including all remote locations (e.g., Staging Areas), as well as providing food for personnel unable to leave tactical field assignments.

Logistics Section: Support Branch

The Support Branch within the Logistics Section may include the following units:

- The **Supply Unit** is responsible for ordering personnel, equipment, and supplies; receiving and storing all supplies for the incident; maintaining an inventory of supplies; and servicing nonexpendable supplies and equipment.
- The **Facilities Unit** is responsible for the layout and activation of incident facilities (e.g., Staging Areas and the Incident Command Post (ICP)). The Facilities Unit Leader provides sleeping and sanitation facilities for incident personnel, if needed.
- The **Ground Support Unit** is responsible for supporting out-of-service resources; transporting personnel, supplies, food, and equipment; fueling, service, maintenance, and repair of vehicles and other ground support equipment.

Finance/Administration Section

The Finance/Administration Section:

- Is established when incident management activities require finance and other administrative support services.
- Handles claims related to property damage, injuries, or fatalities at the incident.

Not all incidents will require a separate Finance/Administration Section. If only one specific function is needed (e.g., cost analysis), a Technical Specialist assigned to the Planning Section could provide these services.

Finance/Administration Units

Finance/Administration Units include the following:

- The **Time Unit** is responsible for equipment and personnel time recording.
- The **Procurement Unit** is responsible for administering all financial matters pertaining to vendor contracts, leases, and fiscal agreements.
- The **Compensation/Claims Unit** is responsible for financial concerns resulting from property damage, injuries, or fatalities at the incident.
- The **Cost Unit** is responsible for tracking costs, analyzing cost data, making cost estimates, and recommending cost-saving measures.

Lesson Review

You have completed the **Functional Areas and Positions** lesson. You should now be able to:

- Describe the functions of organizational positions within the Incident Command System (ICS).
- Describe how ICS is used to manage expanding incidents.

The next lesson will discuss how leadership and management are integral to ICS.

Lesson 4: Leadership & Management

Lesson Overview

The **Leadership and Management** lesson provides a more detailed look at the following ICS features:

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

Lesson 4 Objectives

At the end of this lesson, you should be able to:

- Describe Chain of Command and formal communication relationships.
- Identify common leadership responsibilities.
- Describe span of control and modular development.
- Describe the use of position titles.

Chain of Command

An orderly line of authority is used for the flow of task assignments and resource requests. This line of authority flows down through the organizational structure.

Unity of Command means that each individual involved in incident operations will be assigned to only one supervisor to whom they report.

Chain of Command and Unity of Command help to ensure that clear reporting relationships exist and eliminate the confusion caused by multiple, conflicting directives. Supervisors at all levels must be able to control the actions of all personnel under their supervision.

Unified Command

A Unified Command is often established for incidents that occur in the community that require the involvement of several agencies, such as law enforcement, fire/rescue, and emergency medical services. A Unified Command structure in a hospital may be appropriate when community public safety agencies are on-site, responding to a fire or serious criminal incident. Unified Command:

- Enables all responsible agencies and organizations to manage an incident together by establishing a common set of incident objectives and strategies.
- Allows Incident Commanders to make joint decisions by establishing a single command structure at one Incident Command Post (ICP).
- Maintains Unity of Command. Each employee only reports to one supervisor.

Advantages of Unified Command

Advantages of using Unified Command include:

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

Communications Overview

Formal communications follow the lines of authority. However, information concerning the incident or event can be passed horizontally or vertically within the organization without restriction.

Formal Communication

As illustrated on the previous screen, formal communication must be used when:

- Receiving and giving work assignments.
- Requesting support or additional resources.
- Reporting progress of assigned tasks.

Other information concerning the incident or event can be passed horizontally or vertically within the organization without restriction. This is known as **informal** communication.

Informal Communication

Informal communication:

- Is used to exchange incident or event information only.
- Is **NOT** used for:
 - Formal requests for additional resources.
 - Tasking work assignments.

Within the ICS organization, critical information must flow freely!

Examples of informal communication are as follows:

- The Food Unit Leader may directly contact the Resources Unit Leader to determine the number of persons requiring feeding.
- The Cost Unit Leader may directly discuss and share information on alternative strategies with the Planning Section Chief.

Incident Leadership

As a leader during an incident, you must provide purpose, direction, and motivation for responders who are working to accomplish difficult tasks under dangerous, stressful circumstances.

Common Leadership Responsibilities

An effective incident leader:

- **ENSURES** safe work practices.
- **TAKES COMMAND** of assigned resources.
- **MOTIVATES** with a "can do safely" attitude.
- **DEMONSTRATES INITIATIVE** by taking action.

The safety of all personnel involved in an incident or a planned event is the **first duty of ICS leadership**. This is the overall responsibility of Team Leaders, Group or Division Supervisors, Branch Directors, Sections Chiefs, and all members of the Command or Unified Command staff. Ensuring safe work practices is the top priority within the ICS common leadership responsibilities.

In addition, an effective incident leader:

- **COMMUNICATES** by giving specific instructions and asking for feedback.
- **SUPERVISES** the scene of action.
- **EVALUATES** the effectiveness of the plan.
- **UNDERSTANDS** and **ACCEPTS** the need to modify plans or instructions.

Leadership & Duty

Leaders should know, understand, and practice the leadership responsibilities discussed in this lesson. Leaders need to recognize the relationship between these responsibilities and the leadership values. Duty is how you value your job. Duty begins with everything required of you by law and policy, but it is much more than simply fulfilling requirements. A leader commits to excellence in all aspects of his or her professional responsibility.

Commitment to Duty

What can you do, personally, that demonstrates your commitment to duty to those you lead?

As a leader, you should try to:

- Take charge within your scope of authority.
- Be prepared to step out of a tactical role to assume a leadership role.
- Be proficient in your job.
- Make sound and timely decisions.
- Ensure tasks are understood.
- Develop your subordinates for the future.

Leadership & Respect

In order to maintain leadership and respect, you should:

- **Know your subordinates and look out for their well-being.** The workers who follow you are your greatest resource. Not all of your workers will succeed equally, but they all deserve respect.

- **Keep your subordinates and supervisor informed.** Provide accurate and timely briefings, and give the reason (intent) for assignments and tasks.
- **Build the team.** Conduct frequent briefings and debriefings with the team to monitor progress and identify lessons learned. Consider team experience, fatigue, and physical limitations when accepting assignments.

ICS Management: Span of Control

ICS span of control for any supervisor is between three and seven subordinates, and optimally does not exceed five subordinates.

Lesson Review

You have completed the **Leadership and Management** lesson. You should now be able to:

- Describe chain of command and formal communication relationships.
- Identify common leadership responsibilities.
- Describe span of control and modular development.
- Describe the use of position titles.

The next lesson will discuss the ICS Management activities that occur during an operational period.

Lesson 5: ICS Management Process

Lesson Overview

The **ICS Management Process** lesson introduces you to the ICS management activities that occur during an operational period.

Lesson 5 Objectives

At the end of this lesson, you should be able to:

- Explain how ICS is implemented during the initial response phase.
- Describe the transfer of command process.
- Identify the ICS management activities that occur during an operational period.

ICS and the All-Hazards Emergency Management Program

In Lesson 2, you learned that an “all-hazards” emergency management program consists of various activities that relate to:

- **Mitigation (including Prevention)** - Eliminating or reducing the impact of hazards.
- **Preparedness** - Building the capability and capacity of an organization to respond and recover from hazards.
- **Response** - Controlling the on-going negative effects.
- **Recovery** - Restoring the organization to its pre-disaster condition.

The Incident Command System is a temporary, incident-focused organizational structure and management process that is guided by objectives. It is used to manage the response and recovery phases.

ICS Tools

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

- ICS Forms.
- Position Description and Responsibilities Document.
- Emergency Operations Plan.
- Organization Policies and Procedures Manual.
- Maps.

ICS Forms

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

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

Commonly Used ICS Forms

ICS uses a forms-driven management process. The primary forms used to develop an Incident Action Plan include the 201 (Incident Briefing), the 202 (Incident Objectives), the 203 (Organizational Assignment List), the 215 (Operational Planning Worksheet), and the 215A (Safety Analysis). A complete list of the commonly used ICS Forms appears below.

Form Number	Title	Who Completes
Form 201	Incident Briefing	Section Chief
Form 202	Response Objectives	Section Chief
Form 203	Organization Assignment List	Resources Unit
Form 204	Assignment List	Section Chief, Staff
Form 205	Incident Radio Communications Plan	Communications Unit
Form 206	Medical Plan*	Medical Unit