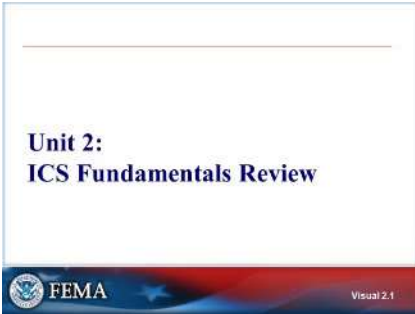

Unit 2: ICS Fundamentals Review

STUDENT MANUAL

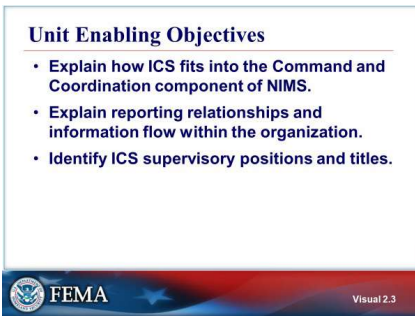
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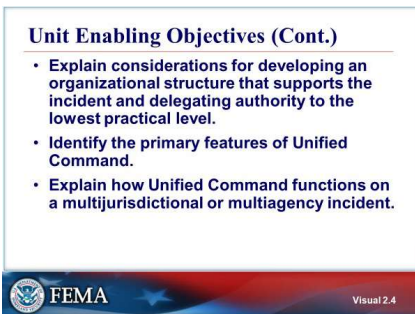
Visual 2.1



Visual 2.2



Visual 2.3



Visual 2.4

UNIT 2: ICS FUNDAMENTALS REVIEW

Unit 2 is a review of basic ICS organizational and staffing concepts learned in prerequisite courses as well as an overview of the roles and responsibilities of a Unified Command.

UNIT TERMINAL OBJECTIVE

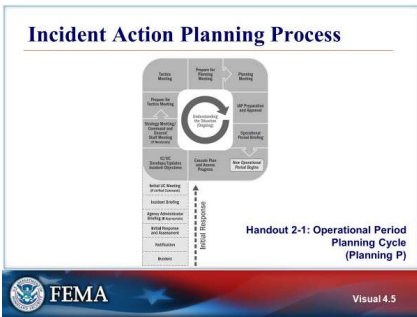
Given a simulated scenario, identify roles and reporting relationships under a Unified Command that involves agencies within the same jurisdiction and under multijurisdictional conditions.

UNIT ENABLING OBJECTIVES

- Explain how ICS fits into the Command and Coordination component of NIMS.
- Explain reporting relationships and information flow within the organization.
- Identify ICS supervisory positions and titles.

UNIT ENABLING OBJECTIVES (CONT.)

- Explain considerations for developing an organizational structure that supports the incident and delegating authority to the lowest practical level.
- Identify the primary features of Unified Command.
- Explain how Unified Command functions on a multijurisdictional or multiagency incident.



Visual 2.5

INCIDENT ACTION PLANNING PROCESS

Refer to Handout 2-1: Operational Period Planning Cycle (Planning P) and review. The Planning "P" is a guide to the process and steps involved in planning for an incident, from the onset of the incident (shown in the "leg" of the "P") through preparations for the first Operational Period (shown in the "top" of the "P").

In complex incidents, a formal planning process as illustrated in the visual is used. In less complex incidents or during the initial response, the planning steps are completed in a more flexible manner.

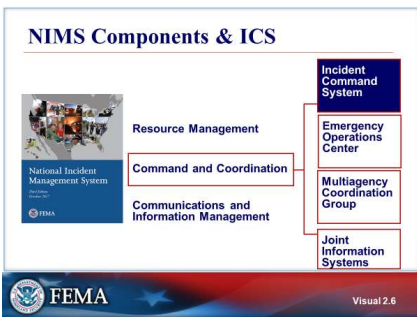
The planning cycle then continues for each successive Operational Period, as shown in the circular part of the "P".

As illustrated on the visual, the Unified Command conducts an initial Unified Command meeting early in the incident response. Then the Unified Commanders jointly establish objectives for each Operational Period. The Planning "P" is extremely valuable when preparing for a planned event.

The leg of the "P" describes the initial response period: Once the incident/event begins, the steps are Notifications, Initial Response & Assessment, Agency Administrator Briefing (if appropriate), Incident Briefing using ICS Form 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, Strategy Meeting/Command and General Staff Meeting (if necessary), 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.



Visual 2.6

NIMS COMPONENTS & ICS

ICS is only one facet of NIMS. NIMS integrates existing best practices into a consistent, nationwide approach to domestic incident management that is applicable at all jurisdictional levels and across functional disciplines in an all-hazards context.

These components represent a building-block approach to incident management. The application of the guidance for all three components is vital to successful NIMS implementation.

- **Resource Management** describes standard mechanisms to systematically manage resources, including personnel, equipment, supplies, teams, and facilities, both before and during incidents in order to allow organizations to more effectively share resources when needed.
- **Command and Coordination** describes leadership roles, processes, and recommended organizational structures for incident management at the operational and incident support levels and explains how these structures interact to manage incidents effectively and efficiently.
- **Communications and Information Management** describes systems and methods that help to ensure that incident personnel and other decision makers have the means and information they need to make and communicate decisions.

Additional information: <https://www.fema.gov/national-incident-management-system>

NIMS Management Characteristics

14 foundational characteristics of incident command and coordination under NIMS:

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



Visual 2.7

NIMS MANAGEMENT CHARACTERISTICS

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

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

Unity of Command

Under unity of command, personnel:

- Report to only one supervisor.
- Receive work assignments and take directions only from that one person.



Don't confuse **unity** of command with **Unified** Command!



Visual 2.8

Visual 2.8

UNITY OF COMMAND

Unity of command means that personnel:

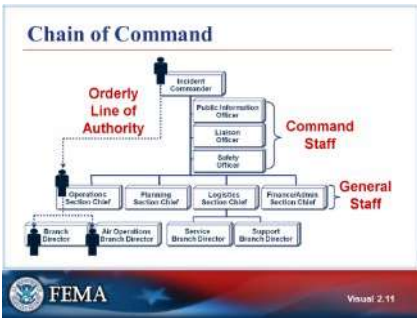
- Report to only one supervisor.
- Receive work assignments and take directions only from that one person.

Do not to confuse **unity** of command with **Unified** Command. We discuss the differences in the next visual.



Visual 2.9

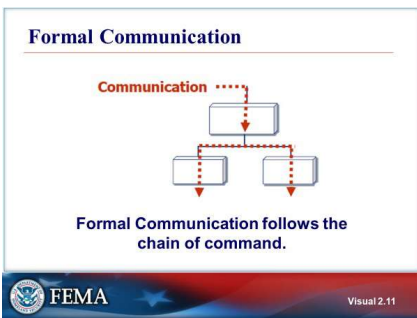
“UNITY” VS. “UNIFIED”



Visual 2.10

CHAIN OF COMMAND

Chain of command is used to communicate direction and maintain management control. Chain of command, however, does not apply to the exchange of informal information. Although orders must flow through the chain of command, members of the organization may directly communicate with each other to ask for or share informal information.



Visual 2.11

FORMAL COMMUNICATION

Formal communication follows the chain of command and as the incident organization grows to meet the needs of the incident, care must be taken to ensure that information transfer is handled effectively.

Formal communication requires that orders, directives, resource requests, and status changes must follow the hierarchy of command unless otherwise directed.

Formal Communication (Cont.)

Use formal communication when:

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

Visual 2.12


FORMAL COMMUNICATION (CONT.)

Use formal communication when:

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

Informal Communication

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



Within the ICS organization, critical information must flow freely!

FEMA Visual 2.13


Visual 2.13

INFORMAL COMMUNICATION

- Used when exchanging incident or event information.
- Not used for formal requests for additional resources or for tasking working assignments.

There is ongoing communication within the organization to exchange information among and between personnel. However, it is important to note that some information such as classified, sensitive or personally identifiable information, has limitations on how and with whom it can be shared.

Informal Communication: Examples



FEMA Visual 2.14

Visual 2.14

INFORMAL COMMUNICATION: EXAMPLES

Examples of informal communication:

- Operations talking directly to Safety.
- Liaison talking to Operations.
- Logistics may directly contact Resources to determine the number of persons requiring feeding.
- Finance/Admin may directly discuss and share information on alternative strategies with Planning.



Visual 2.15


COMMON TERMINOLOGY

Using common terminology helps to define:

- Organizational functions.
 - Major functions and functional units with incident responsibilities are named and defined. Terminology for the organizational elements is standard and consistent
- Incident facilities.
 - **Incident Command Post** – The field location at which the primary tactical-level, on-scene incident command functions are performed.
 - **Staging Area** – The location where resources can be placed while awaiting a tactical assignment.
 - **Incident Base** – The location where primary logistics functions are coordinated. There is only one incident base per incident. The Incident Command Post may be collocated with the incident base.
 - **Camp** – A location where food, water, rest, and sanitary services are provided to incident personnel.
- Resource descriptions.
 - Major resources—including personnel, equipment, teams, and facilities,—are given common names and are "typed" with respect to their capabilities, to help avoid confusion and to enhance interoperability.
- Position titles.
 - At each level within the ICS organization, individuals with primary responsibility have distinct titles. Titles provide a common standard for all users, and also make it easier to fill ICS positions with qualified personnel. ICS titles often do not correspond to the titles used on a daily basis.

Using common terminology requires plain english (no jargon) and clear text (no code).

Incident Management Roles	
Incident Commander <ul style="list-style-type: none"> • Manage the incident at the scene • Keep the EOC/ MAC Group Informed on all important matters pertaining to the incident 	EOC Director and Staff <ul style="list-style-type: none"> • Support the Incident Commander and the MAC Group: • Provide Resources • Plan for Resource Requirements • Facilitate Situational Awareness
Joint Information System <ul style="list-style-type: none"> • Enable communication between incident personnel • Provide Critical Information to the Public 	Senior Officials/ MAC Group <ul style="list-style-type: none"> • Provide the Incident Commander and the EOC staff: • Authority • Mission & Strategic direction • Policy



Visual 2.16

INCIDENT MANAGEMENT ROLES

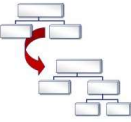
The Incident Commander (IC) is the primary person in charge at the incident. In addition to managing the incident scene, he or she is trained to keep the Agency Executives/Senior Officials informed and up to date on all important matters pertaining to the incident. The IC is delegated has overall authority and assigned responsibility for conducting incident operations.

The Agency Executives/Senior Officials have overall responsibility within the Jurisdiction. They delegate authority and assign responsibility to the Incident Commander. They often act as members of the Multiagency Coordination Group (may also be called a Policy Group) to set policy for an agency or jurisdiction, establish the mission to be accomplished, shape the overall strategic direction, and give the trained responders the authority to accomplish the incident objectives.

Modular Organization

Incident command organizational structure is based on:

- Size, type, and complexity of the incident.
- Specifics of the hazard environment created by the incident.
- Incident planning process and incident objectives.



Handout 2-2: Incident Complexity

FEMA Visual 2.17

Visual 2.17

MODULAR ORGANIZATION

This modular concept is based on the following considerations:

- The organization matches the function or task to be performed and the Resources that must be managed to perform these tasks and functions;
- Staffing is made only for those functional elements required to perform the task;
- Span of control guidelines are maintained;
- The function of any non-activated organizational element is performed at the next highest level; and
- Organizational elements are deactivated if they are no longer required.

Refer to Handout 2-2: Incident Complexity.

Span of control is an ICS concept that describes the ratio of individuals supervised to the number of supervisors. Span of control is accomplished by organizing resources into Teams, Divisions, Groups, Branches, or Sections.

Effective incident management frequently necessitates ratios significantly different from the guideline 1:5 ratio of supervisors to subordinates. The type of incident, nature of the task, hazards and safety factors, experience of the supervisor and subordinates, and communication access between the subordinates and the supervisor are all factors that influence manageable span of control. Incident personnel should use their best judgment to determine the actual distribution of subordinates to supervisors for a given incident or operations.

Modular Expansion

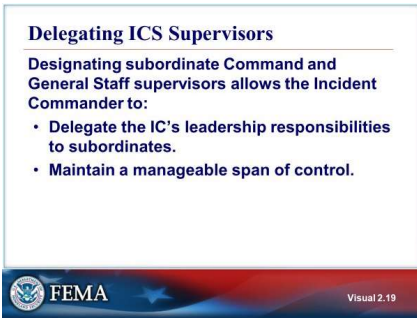
- Develop organizational structure to support function or task to be performed
- Staff only the organizational elements needed to perform those functions or tasks
- Ensure manageable span of control
- Next higher supervisor performs any function for which a subordinate has not been activated
- Demobilize organizational elements that are no longer needed

FEMA Visual 2.18

Visual 2.18

MODULAR EXPANSION

The complexity of the incident and the type and number of resources managed will drive organizational structure requirements.



Visual 2.19

DELEGATING ICS SUPERVISORS

Responsibility for every function defaults to the next higher supervisory position until that supervisor delegates those responsibilities.

A basic ICS operating guideline is that the person at the top of the organization is responsible for a task until that responsibility is delegated to a subordinate position. For this reason, it is important for the IC to designate subordinate leaders and delegate portions of his or her responsibilities to these supervisors.

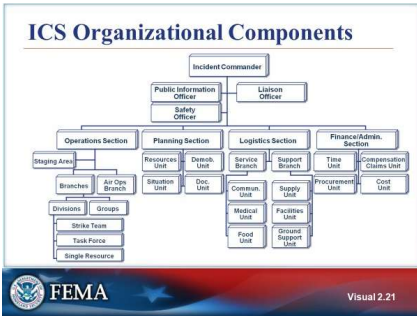


Visual 2.20

INCIDENT COMPLEXITY AND RESOURCE NEEDS

As complexity increases, resources must increase, requiring an organization with additional levels of supervision. In addition, resources should match the incident complexity (type).

The visual shows how the Incident Command System can expand according to the needs of the incident (modular organization).

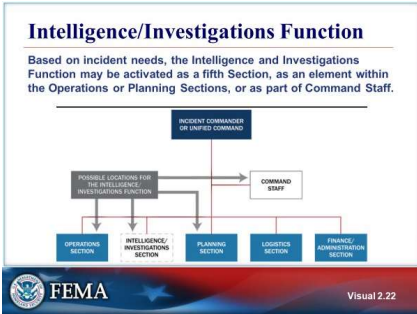


Visual 2.21

ICS ORGANIZATIONAL COMPONENTS

- Typically structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance and administration.
- Adaptable to any emergency or incident to which domestic incident management agencies would be expected to respond.
- Scalable organizational structure that is based on the size and complexity of the incident. However, this flexibility does NOT allow for the modification of the standard, common language used to refer to organizational components or positions.

Refer to Handout 2-4: ICS Organizational Structure and Elements.



Visual 2.22

INTELLIGENCE/INVESTIGATIONS FUNCTION

Intelligence/Investigations (I/I) is a sixth function of ICS that is only established when needed.

The purpose of the I/I function within ICS is to determine the source or cause of the incident, to control its impact and/ or help prevent the occurrence of similar incidents.

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

- Within the Planning Section.
- As a Separate General Staff Section.
- Within the Operations Section. This
- Within the Command Staff.

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.

Additional information on the I/I function can be found in the NIMS Intelligence and Investigations Function Guidance and Field Operations guide

www.fema.gov/nims-doctrine-supporting-guides-tools.

ICS Supervisory Position Titles

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

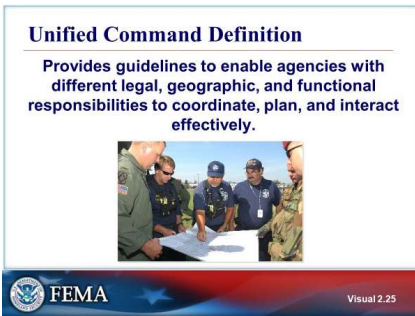
FEMA Visual 2.23

Visual 2.23

ICS SUPERVISORY POSITION TITLES



Visual 2.24



Visual 2.25

FACILITATED ACTIVITY: MATCHING POSITION TITLES

The instructor will explain the facilitated activity.

UNIFIED COMMAND DEFINITION

When no one jurisdiction, agency or organization has primary authority and/or the resources to manage an incident on its own, Unified Command may be established. In Unified Command, there is no one "commander." Instead, the Unified Command manages the incident by jointly approved objectives. A Unified Command allows these participating organizations to set aside issues such as overlapping and competing authorities, jurisdictional boundaries, and resource ownership to focus on setting clear priorities and objectives for the incident (one IAP). The resulting unity of effort allows the Unified Command to allocate resources regardless of ownership or location.

Unified Command does not affect individual agency authority, responsibility, or accountability.

Unified Command Advantages

- Enables all agencies with responsibility to manage an incident together by establishing a common set of incident objectives and strategies.
- Allows members of the Unified Command to make joint decisions by establishing a single command structure.
- Maintains unity of command. All tactical resources report to one Operations Section Chief.



FEMA Visual 2.26

UNIFIED COMMAND ADVANTAGES

- Enables all agencies with responsibility to manage an incident together by establishing a common set of incident objectives and strategies.
- Allows the members of the Unified Command to make joint decisions by establishing a single command structure.
- Maintains unity of command. All tactical resources report to one Operations Section Chief.

Unified Command Features



- A single integrated incident organization.
- Collocated (shared) facilities
- One set of incident objectives, single planning process, and IAP.
- Integrated General Staff.
- Coordinated process for resource ordering.

FEMA Visual 2.27

UNIFIED COMMAND FEATURES

Five features of a Unified Command:

- A single integrated incident organization.
- Collocated (shared) facilities.
- One set of incident objectives, single planning process, and Incident Action Plan (IAP).
- Shared Operations, Planning, Logistics, and Finance/Administration Sections.
- A coordinated process for resource ordering.

Unified Command Principles

- Policies: Established by participating jurisdiction and/or agency authorities.
- Objectives: Set by members of Unified Command.
- Organization: Participating jurisdictional or agency on-scene senior representatives operate in a Unified Command structure.
- Resources: Supplied by the jurisdictions and agencies that have functional or jurisdictional, legal, and financial responsibility.
- Operations: Directed by the Unified Command's Operations Section Chief, who controls tactical resources.

FEMA Visual 2.28

UNIFIED COMMAND PRINCIPLES

Resources (personnel and equipment) stay under the administrative and policy control of their agencies. Operationally, personnel respond to tactical assignments under the coordination and direction of the Operations Section Chief.

An example of administrative and policy control may be agreements with a union that could affect overtime, compensable breaks, time in pay status, etc.

Planning “P” and Unified Command

The members of the Unified Command meet

- During Initial Response to:
 - Assess the situation
 - Set objectives and priorities
 - Discuss authorities
 - Establish the ICS organization
- Again at the beginning of each Operational Period planning cycle to develop or update objectives

FEMA Visual 2.29

Visual 2.29

PLANNING “P” AND UNIFIED COMMAND

As illustrated on the visual, the Unified Command conducts an initial Unified Command meeting early in the incident response. Then the Unified Command jointly establishes objectives for each Operational Period.

Advantages of Unified Command

What are the advantages of using Unified Command?

FEMA Visual 2.30

Visual 2.30

ADVANTAGES OF UNIFIED COMMAND

Discuss the advantages of using Unified Command.

Advantages of Using Unified Command: Overview

- Single set of objectives developed for entire incident.
- Collective approach develops strategies to achieve objectives.
- Improved information flow and coordination between jurisdictions and agencies.
- All agencies understand joint priorities and restrictions.
- Agency’s legal authorities not compromised or neglected.
- Single Incident Action Plan combines efforts and optimizes assignment performances.

FEMA Visual 2.31

Visual 2.31

ADVANTAGES OF USING UNIFIED COMMAND: OVERVIEW

- **SINGLE SET OF OBJECTIVES DEVELOPED FOR ENTIRE INCIDENT.**
- **COLLECTIVE APPROACH DEVELOPS STRATEGIES TO ACHIEVE OBJECTIVES.**
- **IMPROVED INFORMATION FLOW AND COORDINATION BETWEEN JURISDICTIONS AND AGENCIES.**
- **ALL AGENCIES UNDERSTAND JOINT PRIORITIES AND RESTRICTIONS.**
- **AGENCY’S LEGAL AUTHORITIES NOT COMPROMISED OR NEGLECTED.**

SINGLE INCIDENT ACTION PLAN COMBINES EFFORTS AND OPTIMIZES ASSIGNMENT PERFORMANCES.

Unified Command: Multiple Jurisdictions
 Incidents that impact more than one political jurisdiction

Example: A wildland fire starts in one jurisdiction and burns into another jurisdiction. Responding agencies from each jurisdiction have the same mission (fire suppression), and it is the political and/or geographical boundaries that mandate multiagency cooperation and involvement.




Visual 2.32

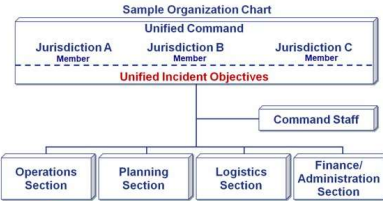

UNIFIED COMMAND: MULTIPLE JURISDICTION

Unified Command may be used when incidents impact more than one political jurisdiction.

An example is a wildland fire starting in one jurisdiction and burning into another jurisdiction. Responding agencies from each jurisdiction have the same mission (fire suppression), and it is the political and/or geographical boundaries that mandate multiagency cooperation and involvement.

Multijurisdictional Incident

Sample Organization Chart

Visual 2.33



MULTIJURISDICTIONAL INCIDENT

This visual presents an example of a Unified Command organization chart for a multijurisdictional incident. The chart includes the following elements:

- **Unified Command:** The Unified Command is composed of the representatives from the three jurisdictions. The Unified Command establishes a single set of unified objectives.
- **Integrated Command and General Staff:** The organization has an integrated Command Staff and Operations, Planning, Logistics, and Finance/Administration Sections.

Unified Command: Multiple Agencies/Single Jurisdiction
 Incidents involving multiple agencies/departments within the same political jurisdiction

Example: During a hazardous materials incident, the fire department has responsibility for fire suppression and rescue, the police department has responsibility for evacuation and area security, and public health agencies and others have responsibility for site cleanup.

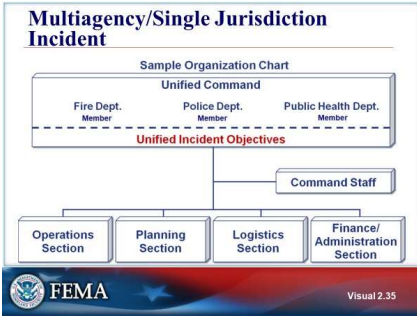



Visual 2.34

UNIFIED COMMAND: MULTIPLE AGENCIES/SINGLE JURISDICTION

Unified Command may also be used when incidents involve multiple agencies or departments within the same political jurisdiction.

An example is a hazardous materials incident in which the fire department has responsibility for fire suppression and rescue, the police department has responsibility for evacuation and area security, and the public health agencies and others have responsibility for site cleanup.

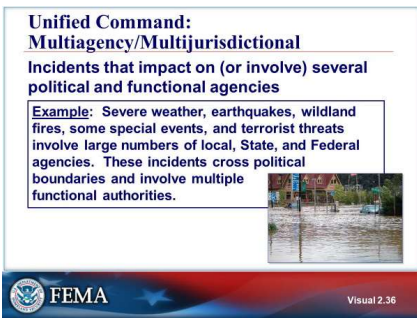


Visual 2.35

MULTIAGENCY/SINGLE JURISDICTION INCIDENT

This visual presents an example of a Unified Command organization chart for a Multiagency/Single Jurisdiction incident. The chart includes the following elements:

- Unified Command: The Unified Command is composed of the representatives from the three departments of the single jurisdiction (fire department, police department, and public health agency). The Unified Command establishes a single set of unified objectives.
- Integrated Command and General Staff: The organization has an integrated Command Staff and Operations, Planning, Logistics, and Finance/Administration Sections.



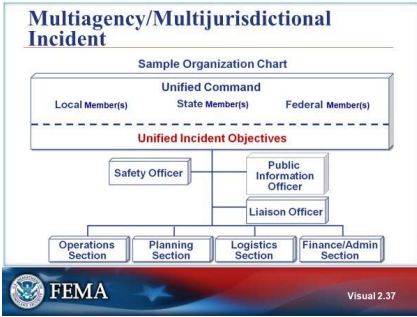
Visual 2.36

UNIFIED COMMAND: MULTIAGENCY / MULTIJURISDICTION

A third instance in which Unified Command may be used involves incidents that impact on or involve several political and functional agencies.

Examples are severe weather, earthquakes, wildland fires, some special events, and terrorist threats that involve large numbers of local, State, and Federal agencies.

These incidents cross political boundaries and involve multiple functional authorities.

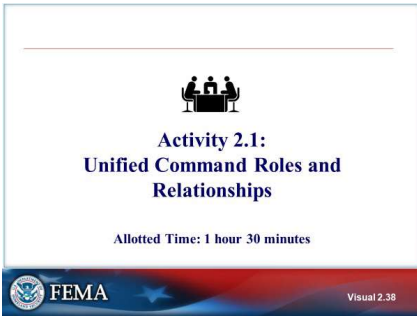


Visual 2.37

MULTIAGENCY/MULTIJURISDICTIONAL INCIDENT

This visual presents an example of a Unified Command organization chart for a multiagency/multijurisdiction incident. The chart includes the following elements:

- **Unified Command:** Representatives from local, State, and Federal agencies comprise the Unified Command and share responsibility for incident management.
- **Integrated Command and General Staff:** The organization has an integrated Command Staff (including Safety, Public Information, and Liaison functions) and Operations, Planning, Logistics, and Finance/Administration Sections.



Visual 2.38

ACTIVITY 2.1: UNIFIED COMMAND ROLES AND RELATIONSHIPS


The instructor will explain Applied Activity 2.1.

You will have 45 minutes to complete the activity and 45 minutes for an instructor-facilitated debrief (1 hour 30 minutes in total).

Refer to Unit 2 of the Applied Activity Materials document.

Objectives Review

1. How does ICS fit into the Command and Coordination component of NIMS?
2. What are the reporting relationships and information flow within the organization?
3. Can you match ICS supervisory positions with titles?
4. What are considerations for developing an organizational structure and delegating authority to the lowest practical level that enable management of an incident?
5. What are the primary features of UC?
6. How does UC function on a multiagency incident?



The slide features the FEMA logo on the left and the text 'Visual 2.39' on the right, set against a red and blue background.

Visual 2.39

OBJECTIVES REVIEW

Unit Enabling Objectives

- Explain how ICS fits into the Command and Coordination component of NIMS.
- Explain reporting relationships and information flow within the organization.
- Identify ICS supervisory positions and titles.
- Explain considerations for developing an organizational structure that supports the incident and delegating authority to the lowest practical level.
- Identify the primary features of Unified Command.
- Explain how Unified Command functions on a multijurisdictional or multiagency incident.