Unit 3: Delegation of Authority & Management by Objectives

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Unit 3. Delegation of Authority & Management by Objectives

Unit Objectives

At the end of this unit, students will be able to:

- Describe the delegation of authority process.
- Describe scope of authority.
- Define management by objectives.
- Explain the importance of preparedness plans and agreements.

Scope

- Unit Introduction
- Unit Objectives
- Delegation of Authority Process
- Activity: Delegating Authority
- Implementing Authorities
- Management by Objectives
- Activity: Adding Incident Objectives
- Preparedness Plans and Agreements
- Activity: Developing Incident Objectives
- Summary

Methodology

This unit uses a combination of instructor presentations and discussion questions. The content begins with delegation of authority. The students will complete an activity in which they identify ways to keep agency executives involved in a case study incident.

The instructor will then segue into a discussion of how authorities are implemented. The next area will cover management by objectives. Students will complete a brief activity in which they practice writing an incident objective. The final topic covers preparedness plans and agreements. The final activity allows the students to apply what they have learned in this unit by developing incident objectives for a scenario.

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Introduction Unit Objectives	5 minutes
Delegation of Authority Process Activity: Delegating Authority	20 minutes
Implementing Authorities	2 minutes
Management by Objectives Activity: Adding Incident Objectives	18 minutes
Preparedness Plans and Agreements	10 minutes
Activity: Developing Incident Objectives	60 minutes
Summary	5 minutes
Total	**2 hours**

Materials

- PowerPoint visuals 3.1 – 3.29
- Student Manual

UNIT INTRODUCTION

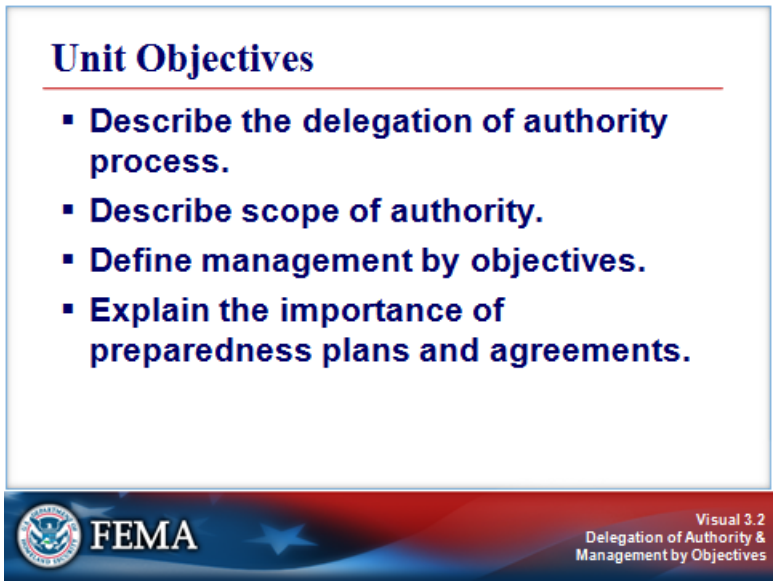
Visual 3.1

Instructor Notes: Present the following key points.

The Delegation of Authority and Management by Objectives unit introduces you to the delegation of authority process, implementing authorities, management by objectives, and preparedness plans and objectives.

UNIT OBJECTIVES

Visual 3.2



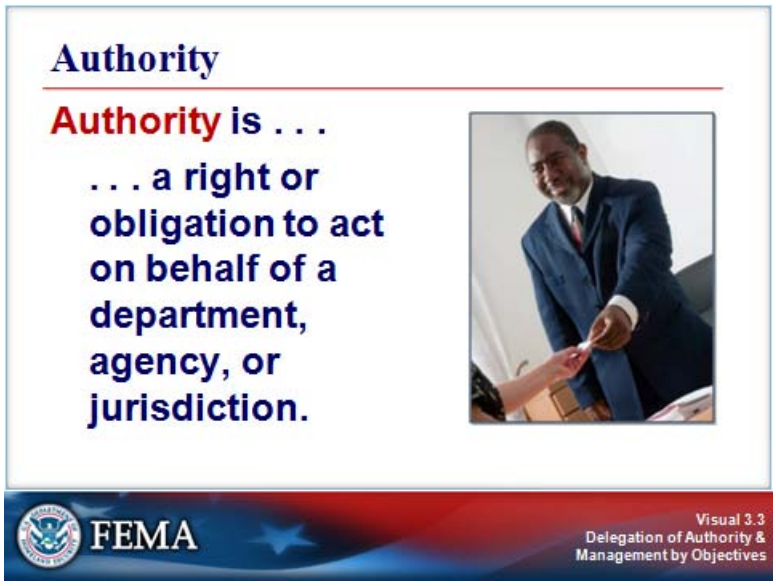
Instructor Notes: Present the following key points.

The objectives of this unit are as follows:

- Describe the delegation of authority process.
- Describe scope of authority.
- Define management by objectives.
- Explain the importance of preparedness plans and agreements.

DELEGATION OF AUTHORITY PROCESS

Visual 3.3



Instructor Notes: Present the following key points.

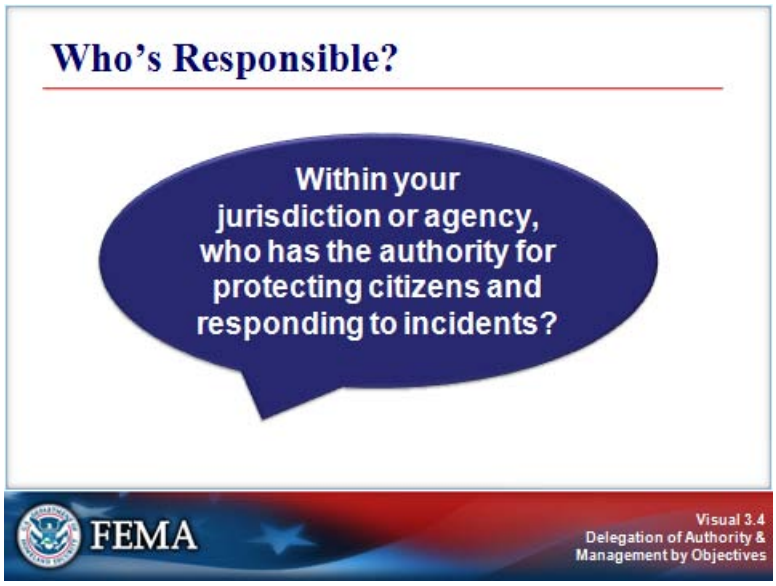
Authority is a right or obligation to act on behalf of a department, agency, or jurisdiction.

- In most jurisdictions, the responsibility for the protection of the citizens rests with the chief elected official. Elected officials have the authority to make decisions, commit resources, obligate funds, and command the resources necessary to protect the population, stop the spread of damage, and protect the environment.

- In private industry, this same responsibility and authority rests with the chief executive officer.

DELEGATION OF AUTHORITY PROCESS

Visual 3.4



Instructor Notes: Present the following key points.

Ask the participants:

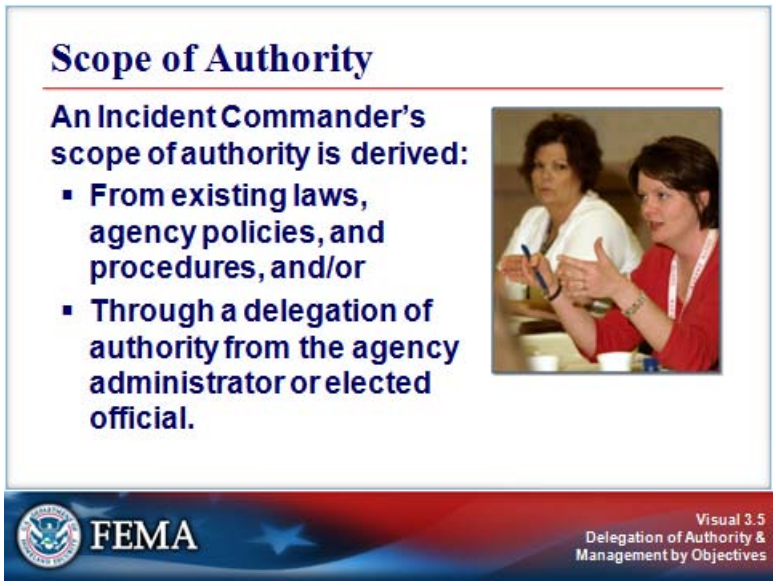
Within your jurisdiction or agency, who has the authority for protecting citizens and responding to incidents?

Acknowledge the participants' responses. If not mentioned by the participants, add the following:

- In most jurisdictions, the responsibility for the protection of the citizens rests with the chief elected official.
- Along with this responsibility, by virtue of their office, these people have the authority to make decisions, commit resources, obligate funds, and command the resources necessary to protect the population, stop the spread of damage, and protect the environment.
- In private industry, this same responsibility and authority rests with the chief executive officer.

DELEGATION OF AUTHORITY PROCESS

Visual 3.5



Instructor Notes: Present the following key points.

An Incident Commander's scope of authority is derived:

- From existing laws, agency policies, and procedures, and/or
- Through a delegation of authority from the agency administrator or elected official.

DELEGATION OF AUTHORITY PROCESS

Visual 3.6

Instructor Notes: Present the following key points.

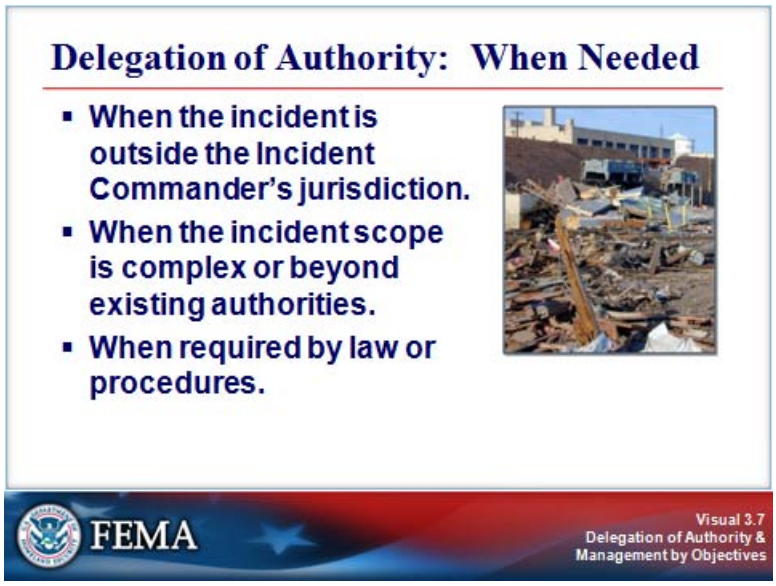
The process of granting authority to carry out specific functions is called the delegation of authority. Delegation of authority:

- Grants authority to carry out specific functions.
- Is issued by the chief elected official, chief executive officer, or agency administrator in writing or verbally.
- Allows the Incident Commander to assume command.
- Does NOT relieve the granting authority of the ultimate responsibility for the incident.

Ideally, this authority will be granted in writing. Whether it is granted in writing or verbally, the authorities granted remain with the Incident Commander until such time as the incident is terminated, or a relief shift Incident Commander is appointed, or the Incident Commander is relieved of his or her duties for just cause.

DELEGATION OF AUTHORITY PROCESS

Visual 3.7



Instructor Notes: Present the following key points.

A delegation of authority may be needed:

- When the incident is outside the Incident Commander's jurisdiction.
- When the incident scope is complex or beyond existing authorities.
- When required by law or procedures.

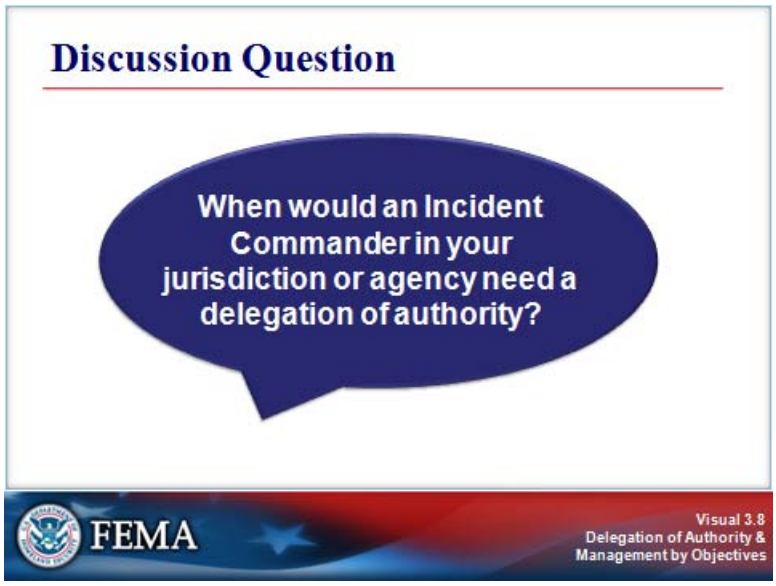
A delegation of authority may not be required if the Incident Commander is acting within his or her existing authorities. For example:

- An emergency manager may already have the authority to deploy response resources to a small flash flood.
- A fire chief probably has the authority (as part of the job description) to serve as an Incident Commander at a structure fire.

Ask the participants if they can think of other instances when a delegation of authority may not be necessary.

DELEGATION OF AUTHORITY PROCESS

Visual 3.8



Instructor Notes: Present the following key points.

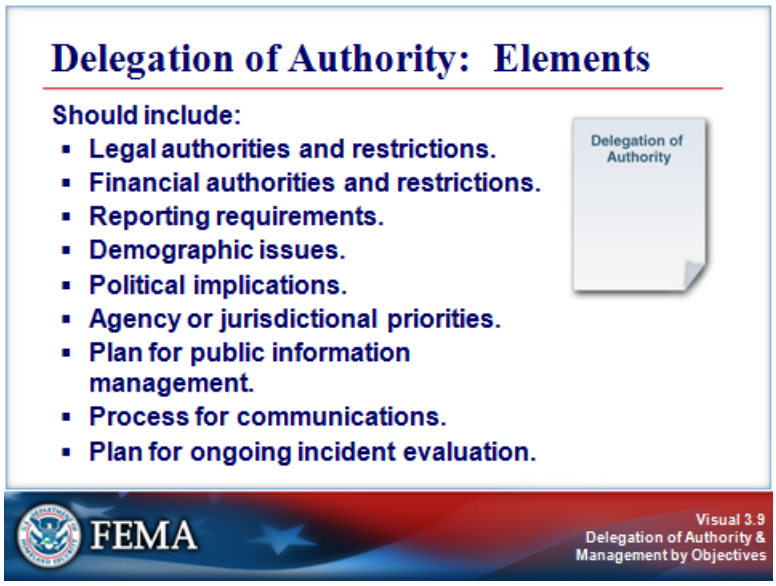
Ask the participants:

When would an Incident Commander in your jurisdiction or agency need a delegation of authority?

Acknowledge the participants' responses. Tell the participants that if they are not sure of when a delegation may be required, then it is important to clarify their authorities with their agencies or jurisdictions.

DELEGATION OF AUTHORITY PROCESS

Visual 3.9



Instructor Notes: Present the following key points.

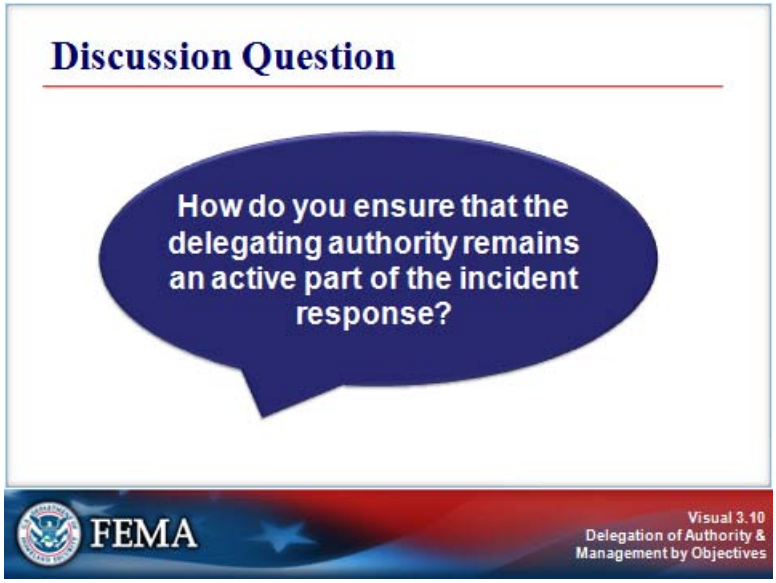
A delegation of authority should include the following elements:

- Legal authorities and restrictions.
- Financial authorities and restrictions.
- Reporting requirements.
- Demographic issues.
- Political implications.
- Agency or jurisdictional priorities.
- Plan for public information management.
- Process for communications.
- Plan for ongoing incident evaluation.

The delegation should also specify when the incident will be achieved prior to a transfer of command or release.

DELEGATION OF AUTHORITY PROCESS

Visual 3.10



Instructor Notes: Present the following key points.

The final responsibility for the resolution of the incident remains with the chief elected official, chief executive officer, or agency administrator. It is imperative then that the chief elected official, chief executive officer, or agency administrator remain an active participant, supporter, supervisor, and evaluator of the Incident Commander.

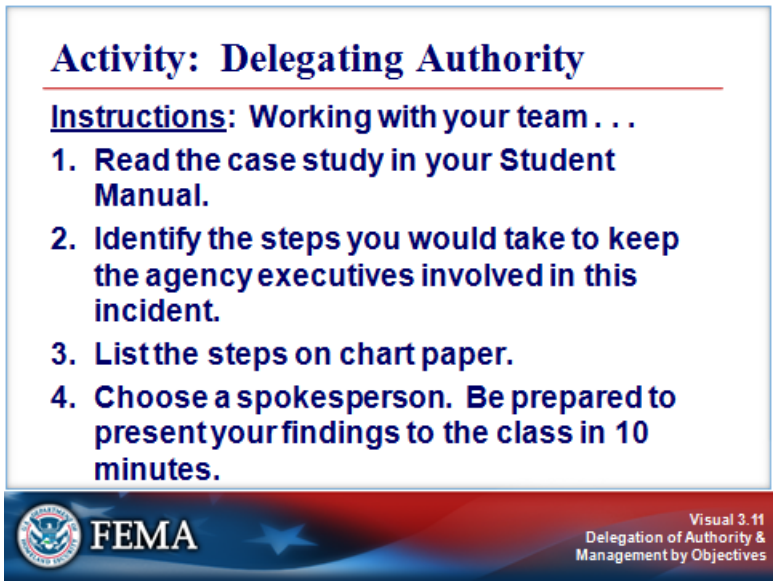
Ask the participants:

How do you ensure that the delegating authority remains an active part of the incident response?

Facilitate a discussion among the participants. Add any advice you may have based on your past experiences.

ACTIVITY: DELEGATING AUTHORITY

Visual 3.11



Instructor Notes: Present the following key points.

Activity Purpose: To identify and reinforce ways that incident management personnel can keep their agency executives involved and informed during an incident.

Time: 15 minutes

Instructions: Working in your team:

1. Read the case study in your Student Manual.
2. Identify the steps you would take to keep the agency executives involved in this incident.
3. List the steps on chart paper.

Case Study:

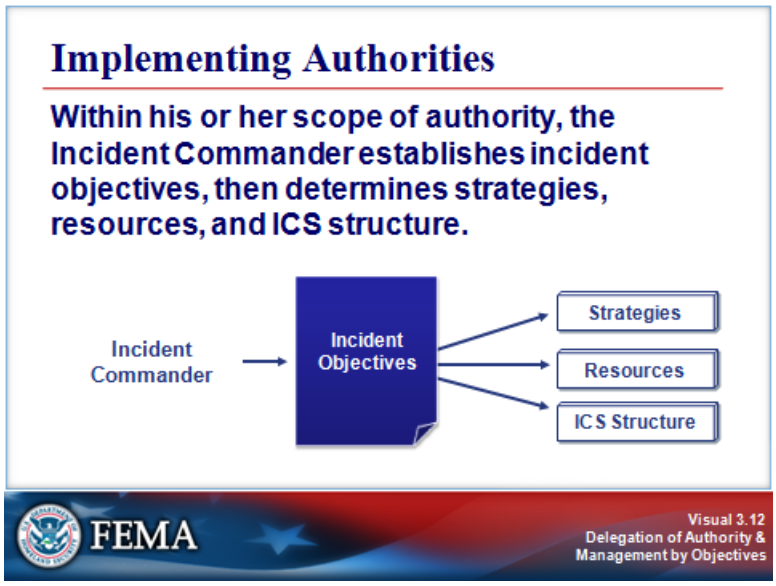
The Beltway sniper case was one of the most infamous crimes in recent law enforcement, instilling fear in thousands of people. According to the after-action report, communication was clearly the most compelling concern in the sniper case. Investigations of this kind succeed or fail based on executives' ability to effectively manage and communicate information in a timely manner. Incident Commanders must balance the incident needs with the obligations of local executives to be responsive to their citizens. In the words of one police chief, "You cannot expect leaders to stop leading."

Debrief Instructions:

1. Ask for one team's spokesperson to volunteer to present one of the team's identified issues.
2. Ask another team's spokesperson to add another issue that their group identified.
3. Continue the discussion until all teams' identified issues have been presented.

IMPLEMENTING AUTHORITIES

Visual 3.12

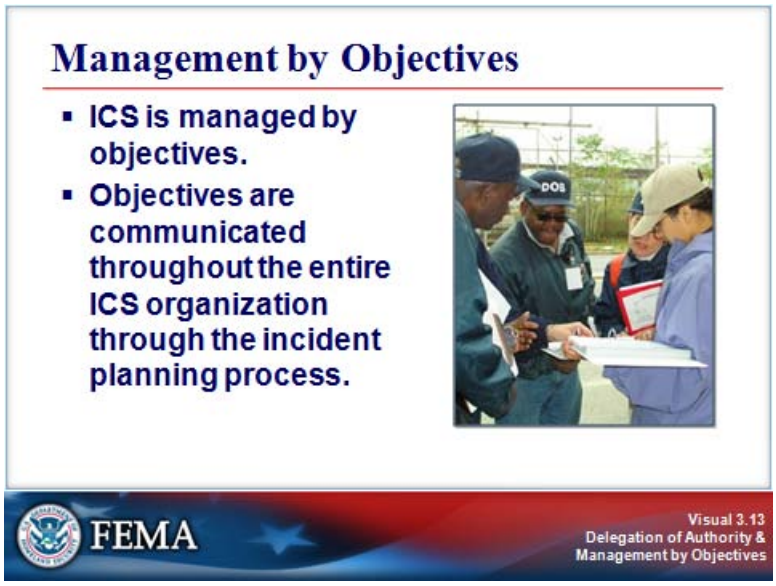


Instructor Notes: Present the following key points.

Within his or her scope of authority, the Incident Commander establishes incident objectives, then determines strategies, resources, and ICS structure. The Incident Commander must also have the authority to establish an ICS structure adequate to protect the safety of responders and citizens, to control the spread of damage, and to protect the environment.

MANAGEMENT BY OBJECTIVES

Visual 3.13



Instructor Notes: Present the following key points.

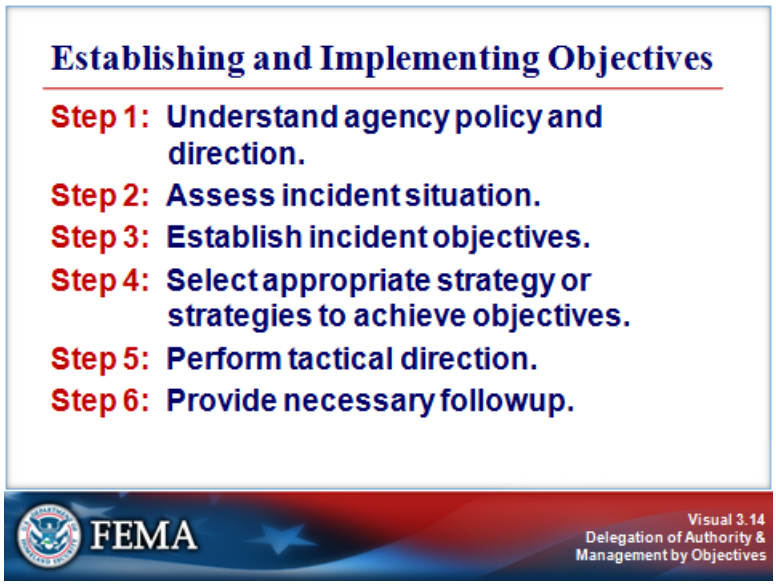
ICS is managed by objectives. Objectives are communicated throughout the entire ICS organization through the incident planning process.

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.
- Directing efforts to attain them, in support of defined strategic objectives.
- Documenting results to measure performance and facilitate corrective action.

MANAGEMENT BY OBJECTIVES

Visual 3.14



Instructor Notes: Present the following key points.

The process for establishing and implementing incident objectives involves the following steps.

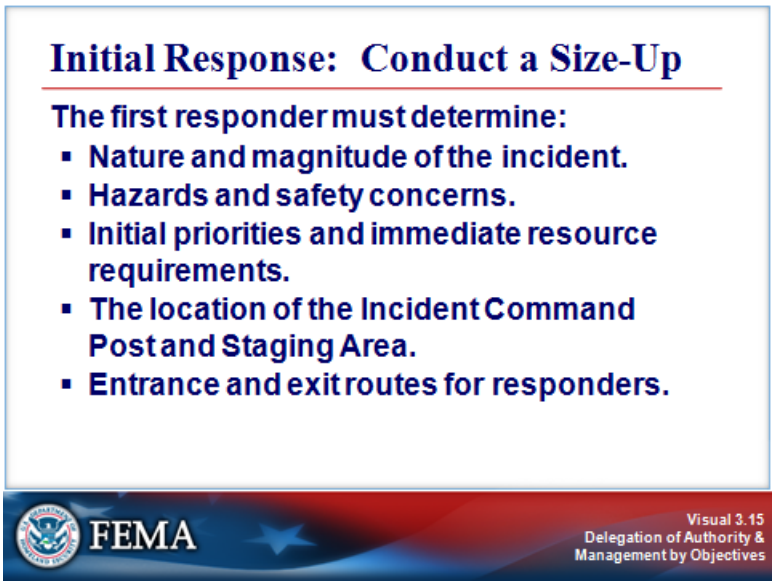
- Step 1: Understand agency policy and direction.
- Step 2: Assess incident situation.
- Step 3: Establish incident objectives.
- Step 4: Select appropriate strategy or strategies to achieve objectives.
- Step 5: Perform tactical direction.
- Step 6: Provide necessary followup.

The Incident Commander must have a firm grasp of the policies and direction of his or her agency or jurisdiction. Laws, regulations, and policies of that agency or jurisdiction will govern the Incident Commander's scope of authority to act and, therefore, the objectives established.

Note that the ICS-300 course presents more training in setting objectives and the planning process cycle.

MANAGEMENT BY OBJECTIVES

Visual 3.15



Instructor Notes: Present the following key points.

In an initial incident, a size-up is done to set the immediate incident objectives.

The first responder to arrive must assume command and size up the situation by determining:

- Nature and magnitude of the incident.
- Hazards and safety concerns:
  - Hazards facing response personnel and the public
  - Evacuation and warnings
  - Injuries and casualties
  - Need to secure and isolate the area
- Initial priorities and immediate resource requirements.
- The location of the Incident Command Post and Staging Area.
- Entrance and exit routes for responders.

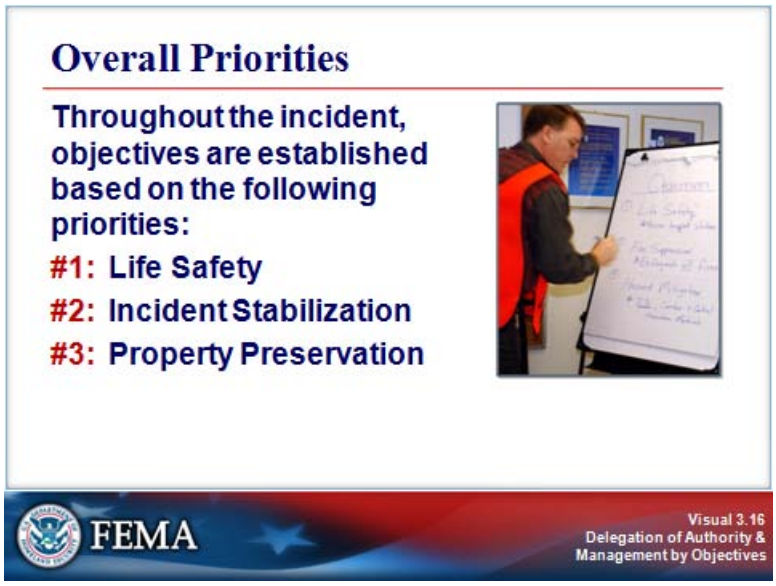
Ask the participants:

What additional factors might you consider when conducting a size-up?

Acknowledge the participants' responses. Share any other factors that you have learned are important through your own experiences.

MANAGEMENT BY OBJECTIVES

Visual 3.16



Instructor Notes: Present the following key points.

Throughout the incident, objectives are established based on the following priorities:

- First Priority: Life Safety
- Second Priority: Incident Stabilization
- Third Priority: Property Preservation

Ask the participants for examples of each type of priority. Present examples based on your experience.

MANAGEMENT BY OBJECTIVES

Visual 3.17

Instructor Notes: Present the following key points.

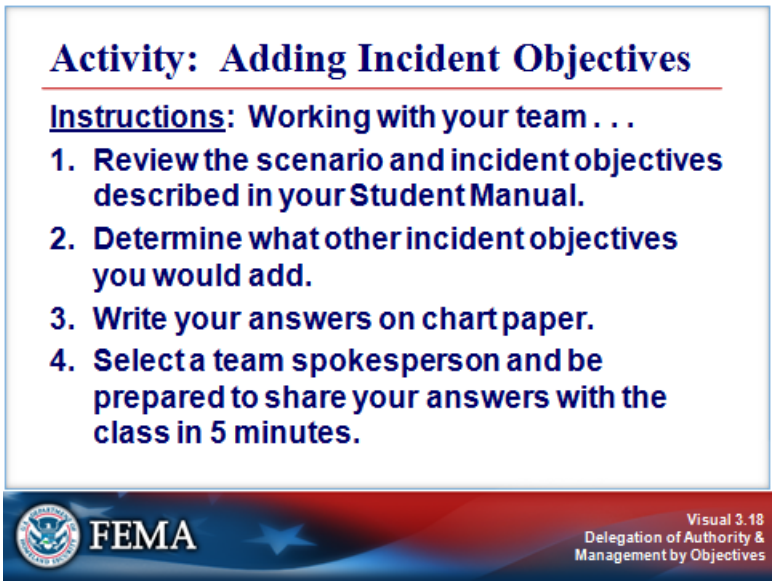
Incident objectives must describe what must be accomplished and provide substantive direction for work at the incident.

For full effectiveness, incident objectives must be:

- Specific – Is the wording precise and unambiguous?
- Measurable – How will achievements be measured?
- Action Oriented – Is an action verb used to describe expected accomplishments?
- Realistic – Is the outcome achievable with given available resources?
- Time Sensitive – What is the timeframe (if applicable)?

ACTIVITY: ADDING INCIDENT OBJECTIVES

Visual 3.18



Instructor Notes: Present the following key points.

Activity Purpose: To give the students practice at developing incident objectives for a scenario.

Time: 10 minutes

Instructions: Working in your team:

1. Read the following scenario in your Student Manual.
2. Next, review the sample incident objectives
3. Determine what other incident objectives you would add for this incident.
4. List the objectives on chart paper and select a spokesperson.
5. Be prepared to present your additional objectives to the class in 5 minutes.

Scenario: At noon a sudden, severe windstorm strikes the city, uprooting trees, and trapping several commuters in their vehicles. Power is out to half of the city. Traffic is gridlocked. The storm has passed as quickly as it began.

Sample Incident Objectives:

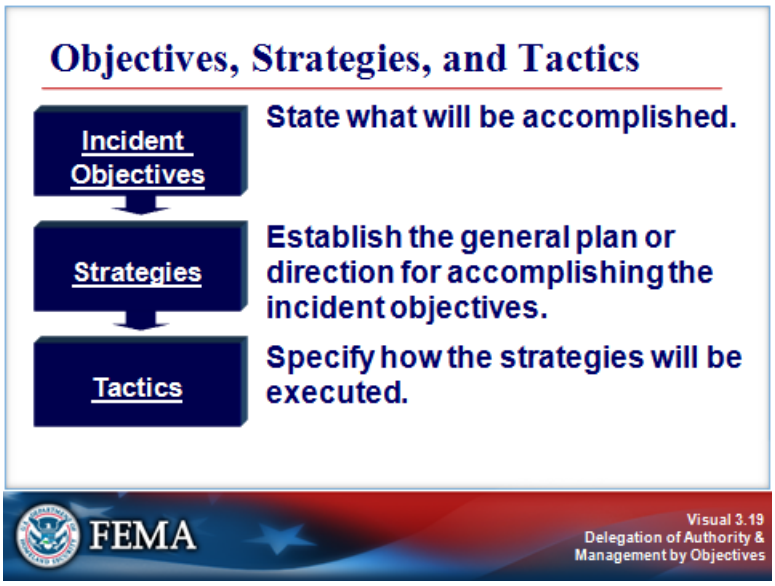
- Identify life-safety priorities and initial resource needs for the first 2 hours by 12:30.
- Begin rescue operations before 12:45.

Debrief Instructions:

1. Ask for one team's spokesperson to volunteer to present one of the team's additional objectives.
2. Ask another team's spokesperson to add another objective that their group identified.
3. Continue the discussion until all teams' identified objectives have been presented.
4. Provide constructive feedback on the quality of the incident objectives.

MANAGEMENT BY OBJECTIVES

Visual 3.19



Instructor Notes: Present the following key points.

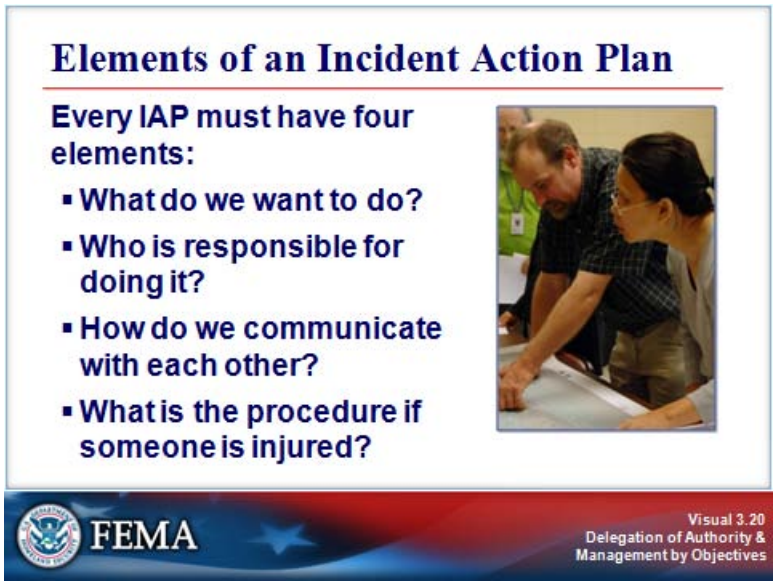
Incident objectives, strategies, and tactics are three fundamental pieces of a successful incident response.

- 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 goals and selecting strategies. The Operations Section, if it is established, is responsible for determining appropriate tactics for an incident.

MANAGEMENT BY OBJECTIVES

Visual 3.20



Instructor Notes: Present the following key points.

An Incident Action Plan (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 IAP.

PREPAREDNESS PLANS AND AGREEMENTS

Visual 3.21

Instructor Notes: Present the following key points.

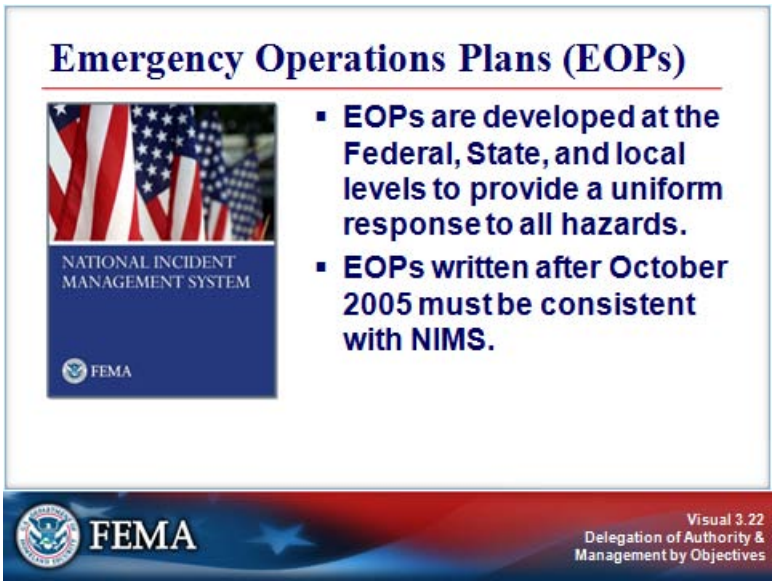
The Incident Commander, as well as the Command and General Staffs, should have a working knowledge of jurisdictional and agency preparedness plans and agreements.

Preparedness plans may take many forms. The most common preparedness plans are:

- Federal, State, or local Emergency Operations Plans (EOPs).
- Standard operating guidelines (SOGs).
- Standard operating procedures (SOPs).
- Jurisdictional or agency policies.

PREPAREDNESS PLANS AND AGREEMENTS

Visual 3.22



Instructor Notes: Present the following key points.

- EOPs are developed at the Federal, State, and local levels to provide a uniform response to all hazards that a community may face.

- EOPs written after October 2005 must be consistent with the National Incident Management System (NIMS).

- NIMS is mandated by Homeland Security Presidential Directive (HSPD) 5, which directs the Secretary of Homeland Security to develop and administer a National Incident Management System. According to HSPD-5:

  "This system will provide a consistent nationwide approach for Federal, State, tribal, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, tribal, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multiagency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources."

PREPAREDNESS PLANS AND AGREEMENTS

Visual 3.23

Instructor Notes: Present the following key points.

NIMS states that:

- Mutual aid agreements and assistance agreements are agreements between agencies, organizations, and jurisdictions that provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services.

- Jurisdictions should be party to agreements with the appropriate jurisdictions and/or organizations from which they expect to receive, or to which they expect to provide, assistance.

Note: The United States has a trust relationship with Indian tribes and recognizes their right to self-government. As such, tribal governments are responsible for coordinating resources to address actual or potential incidents. When local resources are not adequate, tribal leaders seek assistance from States or the Federal Government.

For certain types of Federal assistance, tribal governments work with the State, but as sovereign entities they can elect to deal directly with the Federal Government for other types of assistance. In order to obtain Federal assistance via the Stafford Act, a State Governor must request a Presidential declaration on behalf of a tribe.

PREPAREDNESS PLANS AND AGREEMENTS

Visual 3.24

Instructor Notes: Present the following key points.

- Mutual aid is the voluntary provision of resources by agencies or organizations to assist each other when existing resources are inadequate.

- When combined with NIMS-oriented resource management, mutual aid allows jurisdictions to share resources among mutual aid partners.

- At a minimum, mutual aid agreements should include the following elements or provisions:

  - Definitions of key terms used in the agreement;
  - Roles and responsibilities of individual parties;
  - Procedures for requesting and providing assistance;
  - Procedures, authorities, and rules for payment, reimbursement, and allocation of costs;
  - Notification procedures;
  - Protocols for interoperable communications;
  - Relationships with other agreements among jurisdictions;
  - Workers compensation;
  - Treatment of liability and immunity;
  - Recognition of qualifications and certifications; and
  - Sharing agreements, as required.

PREPAREDNESS PLANS AND AGREEMENTS

Visual 3.25

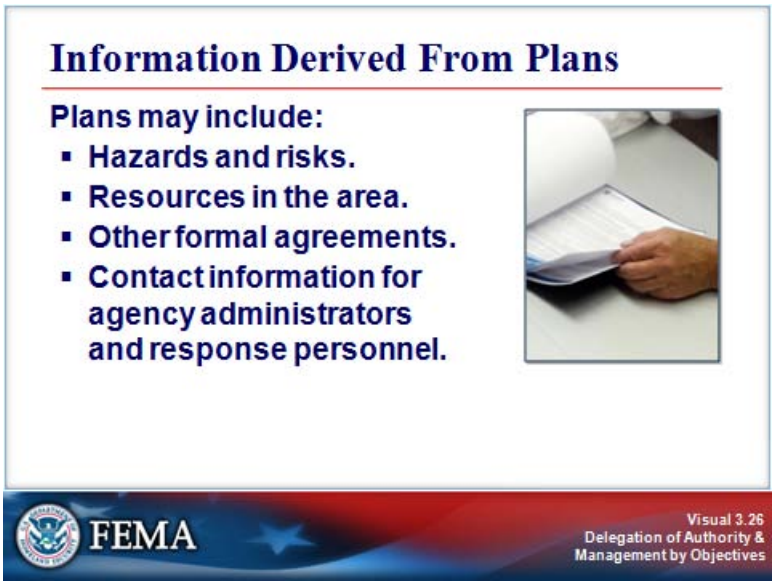
Instructor Notes: Present the following key points.

Mutual aid agreements and assistance agreements are used at all levels of government:

- Local jurisdictions participate in mutual aid through agreements with neighboring jurisdictions.
- States can participate in mutual aid through the Emergency Management Assistance Compact (EMAC).
- Federal agencies offer mutual aid to each other and to States, tribes, and territories under the National Response Framework (NRF).

PREPAREDNESS PLANS AND AGREEMENTS

Visual 3.26



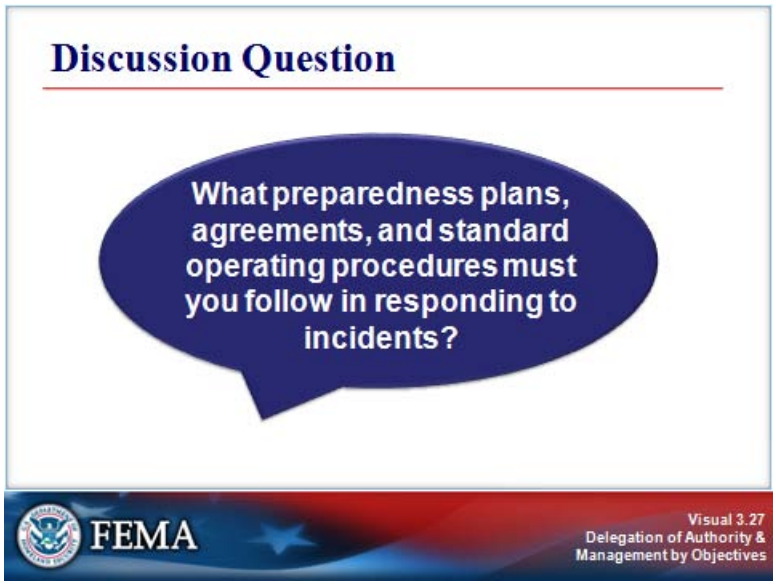
Instructor Notes: Present the following key points.

Plans may include information about:

- Hazards and risks in the area.
- Resources in the area.
- Other formal agreements and plans.
- Contact information for agency administrators and response personnel.
- Other pertinent information.

PREPAREDNESS PLANS AND AGREEMENTS

Visual 3.27



Instructor Notes: Present the following key points.

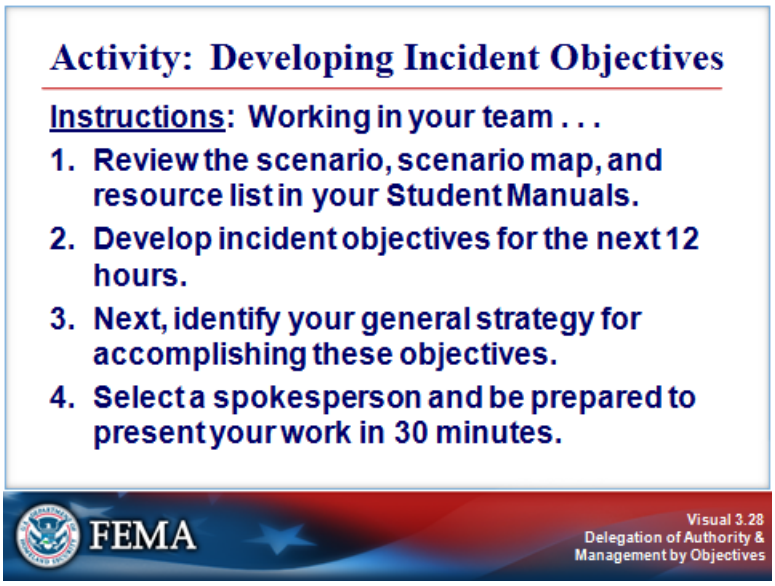
Ask the participants:

What preparedness plans, agreements, and standard operating procedures must you follow in responding to incidents?

Acknowledge the participants' responses. Point out that they should make sure to know which preparedness plans, agreements, and standard operating procedures they must follow.

ACTIVITY: DEVELOPING INCIDENT OBJECTIVES

Visual 3.28



Instructor Notes: Present the following key points.

Activity Purpose: To give the students practice in working with a team to develop incident objectives for a scenario.

Time: 60 minutes

Instructions: Working in your team:

1. Review the scenario, scenario map, and resource list in your Student Manuals.
2. Develop incident objectives for the next 12 hours.
3. Next, identify your general strategy for accomplishing these objectives.
4. Select a spokesperson and be prepared to present your work in 30 minutes.

Debrief Instructions:

1. Monitor the time. After 30 minutes, call time.
2. Ask each spokesperson to present the team's incident objectives and strategies.
3. Compare the different teams' incident objectives and strategies. Emphasize that there is NO one correct solution. Point out the similarities and differences. Where there are different solutions, ask the team spokesperson to present the reasons why the team chose different incident objectives and strategies.
4. Summarize the main learning points from this activity.

ACTIVITY: DEVELOPING INCIDENT OBJECTIVES

Visual 3.28 (Continued)

Emerald City Flood

Situation:

Your Incident Management Team has been asked to assist Emerald City in its preparations for a response to a possible flood situation in the northwest quadrant of the city. National Weather Service (NWS) reports indicate that it has been raining heavily for the past 7 days, averaging 1.3 inches of rain each 24-hour period.

The Rapid River, which runs north and south through Emerald City, is experiencing slow-rise flooding. The flooding is being aggravated by debris catching on the low bridge downstream from lower Lake Emerald. The bridge is located on 10th St., just west of Main St.

Located upstream from the bridge is the Lake Emerald Independent Living Complex, which includes independent living apartments to the south, two buildings of assisted living units, and one skilled nursing facility. These are located to the east of the bridge. To the west are the Gordon Elementary School and the water treatment plant. Just to the north and east of Lake Emerald is the Industrial Park.

It is 1200 hours, and the NWS has just informed the County Emergency Management Office that the flooding is expected to crest at 1800 today. It is expected that this flood crest will cause flooding as indicated on the projected floodplain map.

Residents in the area north of the 10th St. bridge from Main St. on the east to Avenue AA on the west are being asked to evacuate their homes in anticipation that the rising floodwaters may cut off access to and egress from their homes. Basement flooding at least to the first-floor level is anticipated. This evacuation area extends north to 19th St. County Emergency Management is in contact with business owners in the Industrial Park to determine if any of their stored chemicals will be affected by the flooding, causing possible contamination downstream.

In addition, the County Emergency Management Office has been receiving calls from residents in the rural area to the northwest of the city with concerns about the floodwaters approaching their wells.

Weather:

Current pattern continues through midnight, then partial clearing. Highs in the mid 40s, lows in the high 30s. Chance of precipitation 60% through midnight, reducing to 40% after midnight. Expected precipitation next 24 hours is 0.75 inches. Winds from the west 10-15 mph.

ACTIVITY: DEVELOPING INCIDENT OBJECTIVES

Visual 3.28 (Continued)

Emerald City Flood

Resources:

- County Emergency Management:
  - County Director
  - Deputy Director
  - Program Assistant
- County Health Department:
  - Public Health Director
  - 4 Public Health Nurses
  - 2 administrative staff
  - Mutual aid and assistance agreements in place with 6 neighboring counties could allow for an additional 14 public health staff.
- American Red Cross (ARC):
  - 3 full-time staff
  - Approximately 45 trained volunteers
  - 1 Emergency Response Vehicle
- Mutual Aid:
  - State ARC resources
  - Salvation Army
  - Mennonites
- Shelters:
  - Lawrence Senior High School
  - Lafayette Middle School
  - Gordon Elementary School
- Fire and EMS: The following resources are within close proximity and available for response:
  - 3 engine companies (4 personnel each)
  - 1 truck company (4 personnel each)
  - 3 basic life support ambulances (2 EMTs)
  - 1 advanced life support ambulance (2 paramedics)
  - 1 Mobile Command Vehicle
- Law Enforcement:
  - Units within close proximity: 1 sergeant, 3 officers
  - Other responding units: 1 captain, 2 lieutenants, 3 sergeants, 8 officers, mobile command post (6 officers remain in service elsewhere in the city)
  - County Sheriff's Office: 1 lieutenant, 2 sergeants, 6 deputies
  - State Troopers: 2 sergeants, 8 troopers
  - 1 Tactical Mobile Command Vehicle

ACTIVITY: DEVELOPING INCIDENT OBJECTIVES

Visual 3.28 (Continued)

Emerald City Flood

Resources:

- Department of Public Works:
  - Emerald City
    - 6 dump trucks
    - 2 road graders
    - 4 front loaders
    - 2 backhoes
    - 6 pickup trucks
  - Available mutual aid
    - 20 dump trucks
    - 6 road graders
    - 6 front loaders
    - 8 backhoes
    - 22 pickup trucks

OTHER AGENCIES THAT MAY OR WILL RESPOND

- Emerald City Memorial Hospital
- Edison Electric
- Commonwealth Gas Company
- City Water Authority
- City Transit Authority
- County School District (buses available)

Media:

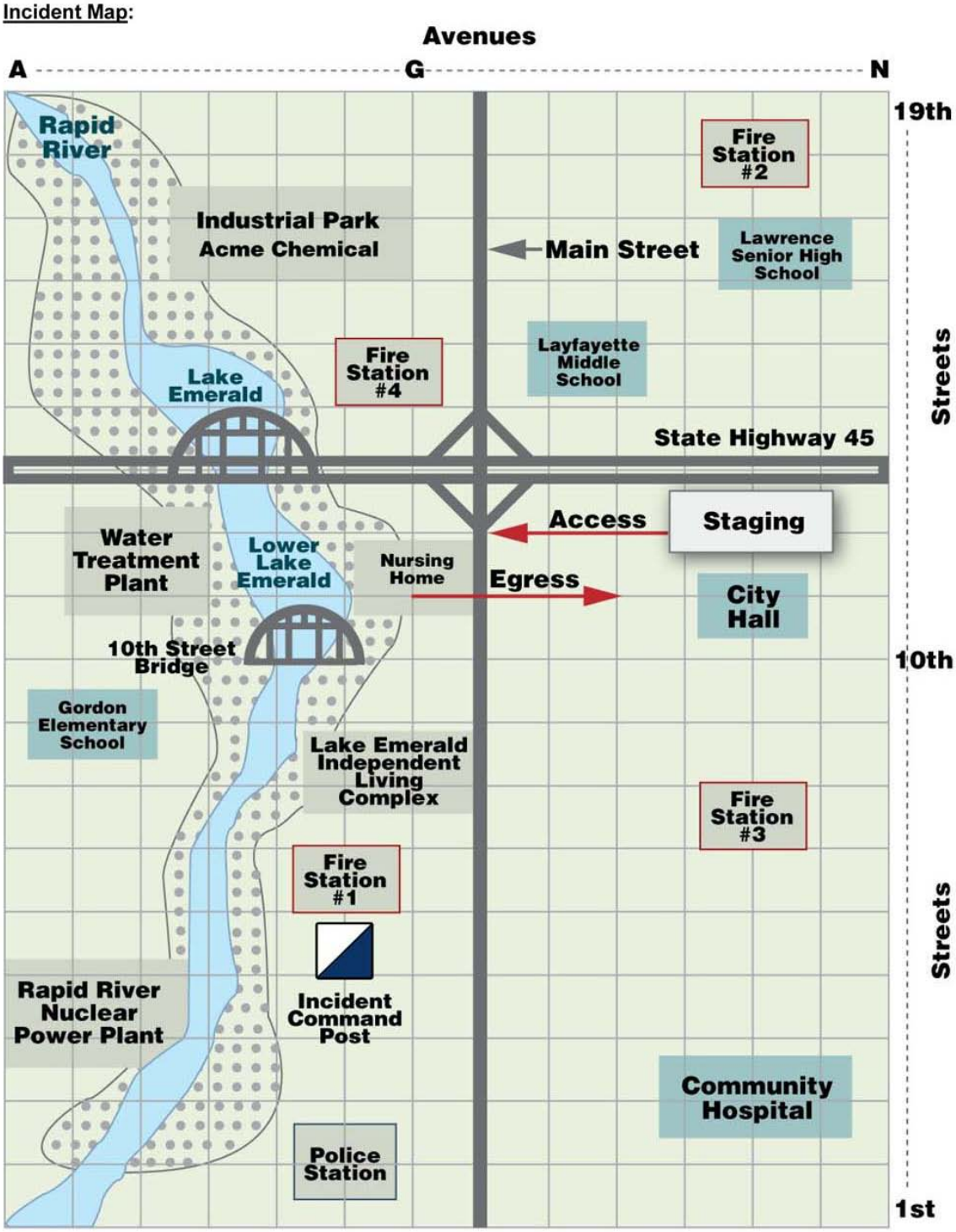
- 3 (local) newspaper reporters
- 2 network reporters and crews
- 5 radio station news staff members
- 3 TV reporters and crews (WLOX, WEMI, WCSU)
- 1 TV helicopter (WEMI)

ACTIVITY: DEVELOPING INCIDENT OBJECTIVES

Visual 3.28 (Continued)

Emerald City Flood

Incident Map:



SUMMARY

Visual 3.29

Instructor Notes: Present the following key points.

Are you now able to:

- Describe the delegation of authority process?
- Describe scope of authority?
- Define management by objectives?
- Explain the importance of preparedness plans and agreements?

Next, ask the participants if they have any questions about the content presented in this unit.

Answer any questions. The next unit presents information about the functional areas and positions.

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