
Unit 3: ICS Features and Principles

Objectives

At the end of this unit, the participants should be able to describe the basic features and principles of the Incident Command System (ICS).

Scope

- Unit Introduction
 - Unit Objective
 - ICS Features
 - Video: ICS Features
 - Standardization
 - Common Terminology – No Codes
 - Use of Plain English
 - Command
 - Command: Definition
 - Transfer of Command
 - Chain of Command
 - Unity of Command
 - Incident Management Roles
 - Activity: Command
 - Planning/Organizational Structure
 - Management by Objectives
 - ICS Organization
 - Modular Organization
 - Incident Action Planning (IAP)
 - Activity: IAP
 - Manageable Span of Control
 - Activity: Span of Control
 - Facilities and Resources
 - Video: Incident Facilities Virtual Tour
 - Incident Facility Map Symbols
 - Resources: Definition
 - Resource Management
 - Activity: Staging Area
 - Communications/Information Management
 - Integrated Communications
 - Information & Intelligence Management
 - Case Study: Incident Management
 - Professionalism
 - Accountability
 - Dispatch/Deployment
 - Activity: Deployment
 - Summary
-

Methodology

The instructors will begin by explaining that this unit provides an overview of the basic features and principles of the Incident Command System, or ICS. Instructors will display a visual that outlines the unit objectives.

After reviewing the unit objectives, the instructors will provide information on ICS features and principles, first by showing a video. Next, they will explain the importance of standardization by using common terminology and plain English during an incident response.

Next, the instructors will introduce establishment and transfer of command. They will define command and then describe the process for transferring command, or moving responsibility for incident command from one Incident Commander to another. The instructors will provide examples of situations where a transfer of command would be needed. They will ask participants to identify topics to include in a transfer of command briefing. The instructors will cover the concepts of chain of command and unity of command. The instructors will clarify the differences between the role of the Incident Commander and the role of the Executive Policy Group during an incident. The group will consider a scenario to segue into discussion of incident objectives, and the priorities followed in addressing objectives in campus incidents.

Next, the instructors will explain the differences between ICS organizational structure and day-to-day administrative organizational structure. The instructors will cover how objectives are established to manage the incident. They will describe the ICS flexible modular organization, including the fact that only functions or positions that are necessary will be filled.

The next ICS feature covered is the development of an Incident Action Plan, or IAP. The instructors will identify the four elements that every IAP must contain. The participants will then work in teams to identify four items to include in an IAP for the incident used in Unit 2.

The instructors will explain the importance of maintaining a manageable span of control: Per ICS guidelines, a supervisor optimally should not have more than 5 subordinates. The instructor will ask the participants what types of campus incident situations warrant a low span-of-control ratio. Students will consider a campus incident scenario, and determine whether the span of control is sufficient.

Next the group will view a video that presents a “virtual tour” of standard ICS facilities. The instructors will then briefly review predesignated incident facilities. The next ICS feature covered is resource management. Resources include personnel as well as equipment.

The instructors will then explain the importance of developing an integrated voice and data communications system, and ensuring that communications systems among various responders are interoperable. The instructors will lead a discussion of the importance of information and intelligence management. They will use an activity to ask the group for examples of information and intelligence that could be used to manage an incident.

The instructors will then explain the importance of professionalism, which includes applying principles of accountability and carrying out responsibilities involved in dispatch and deployment. The group will discuss complications that arise from self-deployment, and consider pros and cons of self-deployment in a campus scenario.

At the end of the unit, the participants will answer questions about the ICS features covered. The instructors will then summarize the key ICS features and principles, and transition to Unit 4.

Time Plan

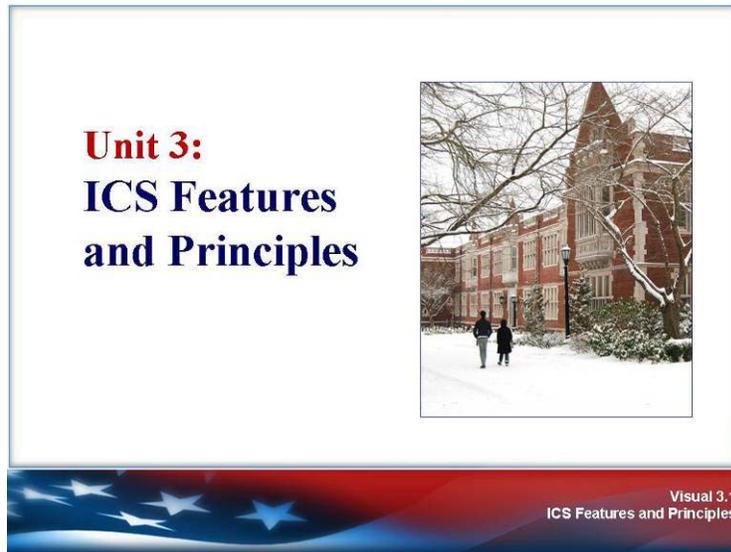
A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Introduction and Unit Objectives	5 minutes
ICS Features	10 minutes
Standardization	5 minutes
Command	12 minutes
Activity: Command	4 minutes
Planning/Organizational Structure	8 minutes
Activity: Incident Action Plan	10 minutes
Activity: Span of Control	3 minutes
Facilities and Resources	10 minutes
Activity: Staging Area	5 minutes
Communications/Information Management	10 minutes
Case Study: Incident Management	5 minutes
Professionalism	10 minutes
Activity: Deployment	3 minutes
Summary	5 minutes
Total Time	1 hour 45 minutes

This page intentionally left blank.



Visual 3.1



Visual Description: Unit Introduction

Instructor Notes

Tell the participants that this unit will provide an overview of the basic features and principles of the Incident Command System:

- ICS management principles
- ICS core system features



Visual 3.2

Unit Objective

Describe the basic features of the Incident Command System (ICS).



 **FEMA** 

Visual 3.2
ICS Features and Principles

Visual Description: Unit Objective

Instructor Notes

Tell the group that by the end of this unit they should be able to describe the basic features of the Incident Command System (ICS).



Visual 3.3

ICS Features: Overview

- Standardization
 - Common terminology
- Command
 - Establishment and transfer of command
 - Chain of command and unity of command
- Planning/Organizational Structure
 - Management by objectives
 - Incident Action Plan (IAP)
 - Modular organization
 - Manageable span of control
- Facilities and Resources
 - Comprehensive resource management
 - Incident locations and facilities
- Communications/Information Management
 - Integrated communications
 - Information and intelligence management
- Professionalism
 - Accountability
 - Dispatch/Deployment

 **FEMA** 

Visual 3.3
ICS Features and Principles

Visual Description: ICS Features: Overview

Instructor Notes

Review the features presented on the visual. Refer the participants to the next two pages in their Student Manuals, which provide more detail about each feature.

The essential ICS features are listed below:

Standardization:

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

Command:

- **Establishment and Transfer of Command:** The command function must be clearly established from the beginning of an incident. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations.
- **Chain of Command and Unity of Command:** Chain of command refers to the orderly line of authority within the ranks of the incident management organization. Unity of command means that every individual has a designated supervisor to whom he or she reports at the scene of the incident. These principles clarify reporting relationships and eliminate the confusion caused by multiple, conflicting directives. Incident managers at all levels must be able to control the actions of all personnel under their supervision.

Planning/Organizational Structure:

- **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.
- **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.
- **Incident Action Planning:** Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities.
- **Manageable Span of Control:** Span of control is key to effective and efficient incident management. Within ICS, the span of control of any individual with incident management supervisory responsibility should range from three to seven subordinates.

Facilities and Resources:

- **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, Bases, Camps, Staging Areas, Mass Casualty Triage Areas, and others as required.
- **Comprehensive 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.

Communications/Information Management:

- **Integrated Communications:** Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures.
- **Information and Intelligence Management:** The incident management organization must establish a process for gathering, sharing, and managing incident-related information and intelligence.

Professionalism:

- **Accountability:** Effective accountability at all jurisdictional levels and within individual functional areas during incident operations is essential. To that end, the following principles must be adhered to:
 - **Check-In:** All responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the Incident Commander.
 - **Incident Action Plan:** Response operations must be directed and coordinated as outlined in the IAP.
 - **Unity of Command:** Each individual involved in incident operations will be assigned to only one supervisor.
 - **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. (This topic is covered in a later unit.)
- **Dispatch/Deployment:** Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.



Visual 3.4



Visual Description: Video: ICS Features

Instructor Notes

Tell the participants that the following video will introduce this lesson on ICS features and principles.

Explain that the lesson covers each of these ICS features in detail.

Video Transcript:

[Narrator]

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 incorporates a wide range of management features, beginning with the use of common terminology and clear text.

[David Burns, Emergency Preparedness Manager, University of California Los Angeles]
Communication is probably one of the most essential elements of ICS. It's important that we know how to communicate.

[Narrator]

ICS uses a flexible, modular organizational structure.

(Continued on next page.)

Video Transcript: (Continued)

[Brendan McCluskey, Executive Director of Emergency Management, University of Medicine and Dentistry of New Jersey]

You can use it to manage the incident whether it's small or large, simple or complex or whatever type of nature. ICS really fits all of those different things because it's so flexible.

[Narrator]

ICS emphasizes effective planning, including management by objectives and reliance on an Incident Action Plan.

[George Nuñez, Supervising Emergency Management Associate, George Washington University]

One benefit of ICS is organization. It allows responders to come together regardless of their role or responsibilities and be able to organize and respond to the incident.

[Narrator]

The ICS features related to command structure include chain of command and unity of command.

[Toni Rinaldi, Director of Public Safety, Naugatuck Valley Community College]

Internally it defines everybody's role in incident management. It defines a standard set of rules that everyone is going to follow regardless of who is working on a given day, regardless of who happens to be in charge administratively that day and regardless of who's on your campus.

[Narrator]

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.,
- And ensuring integrated communications.

ICS supports responders and decisionmakers through effective information and intelligence management.

[James Hamrick, Assistant Chief of Police, University of Maryland]

ICS can help manage the large amount of information that is inherent in a large event, whether that's a critical incident or a large planned event.

[Narrator]

ICS counts on each of us taking personal accountability for our own actions.

[David Burns]

Accountability is basically a process where individuals know their responsibilities, they know their role, they know what process they contribute to.

(Continued on next page.)

Video Transcript: (Continued)

[Narrator]

The mobilization process helps ensure that incident objectives can be achieved while responders and students remain safe.

[Richard Lee]

ICS gives us a common language, a common background, and a common way of doing things so that we're all working on the best, on the same page, and can best provide for the safety and security of our campuses.

[Narrator]

This lesson presents the ICS features that promote effective, team-based incident response.

[end of transcript]



Visual 3.5

Common Terminology – No Codes!

Using common terminology helps to define:

- Organizational functions.
- Incident facilities.
- Resource descriptions.
- Position titles.

Common terminology allows campus personnel to integrate seamlessly with community responders.



FEMA

Visual 3.5
ICS Features and Principles

Visual Description: Common Terminology – No Codes!

Instructor Notes

The ability to communicate within the ICS is absolutely critical. An essential method for ensuring the ability to communicate is by using common terminology and clear text.

A critical part of an effective multiagency incident management system is for all communications to be in plain English. That is, use clear text. Do not use radio codes, departmental codes, or jargon.

ICS establishes common terminology allowing diverse incident management and support entities to work together. Common terminology helps to define:

- **Organizational Functions.** Major functions and functional units with domestic incident management responsibilities are named and defined. Terminology for the organizational elements involved is standard and consistent.
- **Incident Facilities.** Common terminology is used to designate the facilities in the vicinity of the incident area that will be used in the course of incident management activities.
- **Resource Descriptions.** Major resources—including personnel, facilities, and major equipment and supply items—used to support incident management activities 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.



Visual 3.6

Use of Plain English

- Communications should be in plain English or clear text.
- Do not use codes, institution-specific acronyms, or jargon.

Even if you use codes on a daily basis, why should you use plain English during an incident response?

 **FEMA** 

Visual 3.6
ICS Features and Principles

Visual Description: Use of Plain English

Instructor Notes

Ask the participants the following question:

Even if you use codes on a daily basis, why should you use plain English during an incident response?

Allow the participants time to respond.

If not mentioned by the group, tell the participants that it is important to use plain English during an incident response because often there is more than one organization involved in an incident. Ambiguous codes and acronyms have proven to be major obstacles in communications. Often organizations have a variety of codes and acronyms that they use routinely during normal operations. When these codes and acronyms are used on an incident, confusion is often the result. The National Incident Management Systems (NIMS) requires that all responders use “plain English,” referred to as “clear text,” and within the United States, English is the standard language.



Visual 3.7

Why Plain English?

EMT = Emergency Medical Treatment
EMT = Emergency Medical Technician
EMT = Emergency Management Team
EMT = Eastern Mediterranean Time (GMT+0200)
EMT = Effective Methods Team
EMT = Effects Management Tool
EMT = El Monte, CA (airport code)
EMT = Electron Microscope Tomography
EMT = Email Money Transfer



Visual Description: Why Plain English?

Instructor Notes

Refer the participants to the following examples of different meanings of a common acronym.

EMT = Emergency Medical Treatment
EMT = Emergency Medical Technician
EMT = Emergency Management Team
EMT = Eastern Mediterranean Time (GMT+0200)
EMT = Effective Methods Team
EMT = Effects Management Tool
EMT = El Monte, CA (airport code)
EMT = Electron Microscope Tomography
EMT = Email Money Transfer

Ask the participants for examples of other codes or jargon that could be misunderstood by responders from different agencies.



Visual 3.8

ICS Features: Overview

- Standardization
 - Common terminology
- Command**
 - Establishment and transfer of command
 - Chain of command and unity of command
- Planning/Organizational Structure
 - Management by objectives
 - Incident Action Plan (IAP)
 - Modular organization
 - Manageable span of control
- Facilities and Resources
 - Comprehensive resource management
 - Incident locations and facilities
- Communications/Information Management
 - Integrated communications
 - Information and intelligence management
- Professionalism
 - Accountability
 - Dispatch/Deployment

 **FEMA** 

Visual 3.8
ICS Features and Principles

Visual Description: ICS Features Overview: Command

Instructor Notes

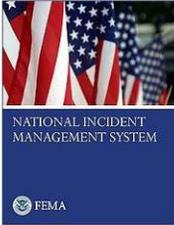
Tell the participants that the next part of this unit covers command, including:

- Establishment and transfer of command.
- Chain of command and unity of command.



Visual 3.9

Command: Definition



Command: The act of directing, ordering, or controlling, by virtue of **explicit** statutory, regulatory, or delegated authority.

At an incident scene, the Incident Commander has the authority to assume command!

 FEMA

Visual 3.9
ICS Features and Principles

Visual Description: Command: Definition

Instructor Notes

Explain that NIMS defines command as the act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

At an incident scene, the Incident Commander has the authority to assume command.

The Incident Commander should have the level of training, experience, and expertise to serve in this capacity. It is quite possible that the Incident Commander may not be the highest ranking official on scene.



Visual 3.10

Transfer of Command

- Moves the responsibility for incident command from one Incident Commander to another.
- Must include a transfer of command briefing (which may be oral, written, or both).



Visual 3.10
ICS Features and Principles

Visual Description: Transfer of Command

Instructor Notes

Tell the participants that the next ICS feature is transfer of command.

- The process of moving the responsibility for incident command from one Incident Commander to another is called transfer of command.
- The transfer of command process always includes a transfer of command briefing, which may be oral, written, or a combination of both.
- When a transfer of command takes place, it is important to announce the change to the rest of the incident staff.



Visual 3.11

When Command Is Transferred

Command is transferred when:

- A more qualified Incident Commander arrives.
- A jurisdiction or agency is legally required to take command.
- Incident complexity changes.
- The current Incident Commander needs to rest.



Visual 3.11
ICS Features and Principles



Visual Description: When Command Is Transferred

Instructor Notes

Explain that there are several possible reasons that command might be transferred. Transfer of command may take place when:

- A more qualified Incident Commander arrives and assumes command. For example, a faculty member might act as the initial incident commander for an explosion in a science lab, but would then relinquish command to a more qualified Incident Commander when firefighters arrive.
- A jurisdiction or agency is legally required to take command. For example, the Federal Bureau of Investigation (FBI) is legally required to take the lead for investigations of terrorist incidents.
- The incident changes in complexity. For example, an incident might start on campus, but spread into the surrounding community, affecting multiple jurisdictions, institutions, or agencies.
- The current Incident Commander needs to rest. On long or extended incidents, there is normally turnover of personnel to accommodate work/rest requirements.



Visual 3.12

Transfer of Command Briefing

The transfer of command process always includes a thorough transfer of command briefing, which may be oral, written, or a combination of both.

What would you include in a transfer of command briefing?

Visual 3.12
ICS Features and Principles

Visual Description: Transfer of Command Briefing

Instructor Notes

Explain that the transfer of command process always includes a thorough transfer of command briefing, which may be oral, written, or a combination of both.

It is also important to remember that the rest of the incident staff should be notified of the transfer of command.

What would you include in a transfer of command briefing?

→ **Hint: Refer to the additional information on the next page!**

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

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

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

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

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

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

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

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

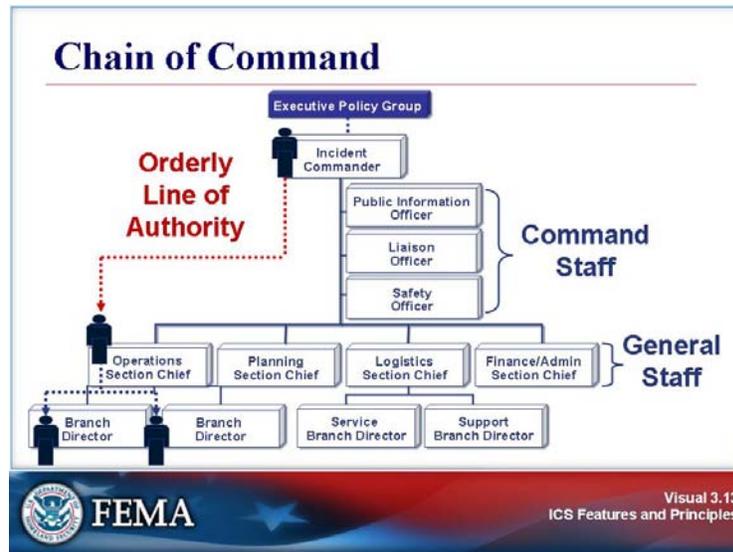
- Agency headquarters.
- General Staff members (if designated).
- Command Staff members (if designated).
- All incident personnel.

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

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



Visual 3.13



Visual Description: Chain of Command

Instructor Notes

Chain of command is an orderly line of authority within the ranks of the incident management organization. Chain of command:

- Allows incident managers to direct and control the actions of all personnel under their supervision.
- Avoids confusion by requiring that orders flow from supervisors.

Chain of command does not prevent personnel from directly communicating with each other to ask for or share information.

The features and principles used to manage an incident differ from day-to-day management approaches. Effective incident management relies on a tight command and control structure. Although information is exchanged freely through the ICS structure, strict adherence must be paid to top-down direction.

To make ICS work, each of us must commit to following this command and control approach.



Visual 3.14

Unity of Command

Under unity of command, personnel during an incident:

- Report to only one incident supervisor.
- Receive work assignments only from the assigned supervisor.



Visual 3.14
ICS Features and Principles



Visual Description: Unity of Command

Instructor Notes

Under unity of command, personnel:

- Report to only one ICS supervisor.
- Receive work assignments only from their ICS supervisors.



Visual 3.15

Incident Management Roles (1 of 2)

The Incident Commander's role is to:

- Manage the incident at the scene.
- Keep officials in the Executive Policy Group informed on all important matters pertaining to the incident.



 **FEMA**

Visual 3.15
ICS Features and Principles

Visual Description: Incident Management Roles – Incident Commander

Instructor Notes

The Incident Commander is the primary person in charge at the incident. In addition to managing the incident scene, he or she must keep officials in the Executive Policy Group informed and up to date on all important matters pertaining to the incident.

The ICS hierarchy of command must be maintained and not even executives and senior officials can bypass the system.



Visual 3.16

Incident Management Roles (2 of 2)

The Executive Policy Group provides the Incident Commander with:

- Policy and Mission Guidance
- Overall Direction
- Delegation of Authority



To maintain the unity of command and safety of responders, the chain of command must NOT be bypassed.

 FEMA Visual 3.16
ICS Features and Principles

Visual Description: Incident Management Roles – Executive Policy Group

Instructor Notes

The executives/senior officials (Provost, Chancellor, President, etc.) are accountable for the incident. Along with this responsibility, by virtue of their position, these individuals have the authority to make policy decisions, commit resources, obligate funds, and obtain the resources necessary to protect the students and facilities. They delegate authority to the Incident Commander.

Having the responsibility does not mean that the Executive Policy Group assumes a command role over the on-scene incident operation. Rather, the Executive Policy Group:

- Provides policy guidance on priorities and objectives based on situational needs and the Emergency Operations Plan.
- Oversees resource coordination and support to the on-scene command from an Operations Center.

Instructor Note: Explain that ICS permits the Public Information Officer (PIO) to remain accountable to the Executive Policy Group for ensuring consistent, coordinated communications. However, the PIO must take direction from the Incident Commander at the scene. For example, on an incident involving a criminal investigation, the Incident Commander needs the authority to direct the PIO to keep the media out of the crime scene.



Visual 3.17

Emergency Operations Center (EOC)



The EOC does not command the on-scene level of the incident.

A central location that supports Incident Command by:

- Making executive/policy decisions
- Coordinating interagency relations
- Dispatching and tracking requested resource
- Collecting, analyzing, and disseminating information



FEMA

Visual 3.17
 ICS Features and Principles

Visual Description: Emergency Operations Center (EOC)

Instructor Notes

Explain that Executive Policy Group may convene at the Emergency Operations Center (EOC).

Present the following key points:

An EOC is activated:

- To support the on-scene response during an escalating incident by relieving the burden of external coordination and securing additional resources.

An EOC is:

- A physical location.
- Staffed with personnel trained for and authorized to represent their agency/discipline.
- Equipped with mechanisms for communicating with the incident site and obtaining resources and potential resources.
- Managed through protocols.
- Applicable at different levels of government.

An EOC consists of:

- Personnel and equipment appropriate to the level of incident.

An EOC is used:

- In varying ways within all levels of government and the private sector.
- To provide coordination, direction, and support during emergencies.

An EOC does not:

- Command the on-scene level of the incident.



Visual 3.18

Voices of Experience

		
Paul H. Dean Deputy Chief of Police/ Director of Emergency Management University of New Hampshire	Toni J. Rinaldi Director of Public Safety Naugatuck Valley Community College	Frank Zebedis Chief of Police Winthrop University
		

Click icons to play audio.

 **FEMA** Visual 3.18
ICS Features and Principles

Visual Description: Voices of Experience

Instructor Notes

Tell the participants they will be hearing “voices of experience” from three campus personnel about the relationship between the Incident Commander and the Executive Policy Group.

Click on each icon to hear the “voice of experience.”

Audio Transcripts:

Paul H. Dean
Deputy Chief of Police/Director of Emergency Management
University of New Hampshire

When it comes to the scene there, the Incident Commander is in charge of his or her scene on the ground; however, we all have a reporting line to report to. The CEO, the policy group, the EOC all require information to do their job and any Incident Commander knows that they're there to support his or her operation on the ground. Providing them accurate, timely information allows them to get you the things that you need to do to be successful on the ground. A properly, well-trained organization of people will know what their roles are. The president will know that he is, in the end, ultimately responsible for the safety on his college campus but he also knows that it's his job to trust his Incident Commander on the street that's making those decisions and those relationships need to be done well before an incident takes place and training such as this is the train that needed to be in place so that confidence is built and that people have those good conversations well in advance.

Audio Transcripts: (Continued)

Toni J Rinaldi
Director of Public Safety
Naugatuck Valley Community College

The Incident Commander is the person who takes control and command of the incident as the incident unfolds and that is the person that's in charge of the incident at the scene. On a college campus we cannot neglect the fact that our college president or provost or chancellor is obviously in charge of the campus and will never be asked to give that up; however, he or she will be in charge of the impact of the incident on the campus versus the incident itself.

Frank Zebedis
Chief of Police
Winthrop University

Well, the Executive Policy Group, they're responsible for managing what goes on at the institution. They're looking at the outcome: How they're going to get classes back in session? How are they going to get the word out? The Operations Section in a command post or in ICS—they're responsible for resolving the scene, the incident as it unfolds. They're not worried about how the president or how the executive officers are going to, you know, notify parents, how they're going to bring classes back in sessions or if they're going to cancel classes. Their responsibility is making sure that the scene is contained, the scene is resolved, and minimize as much damages as possible and to mitigate as much life loss or property loss as possible.



Visual 3.19

Activity

Scenario: Several minutes ago, a tornado struck the campus without warning. You were not injured but are isolated in a damaged part of the building with students and no other faculty or staff. You have taken command of the response.

What is the first action you would take?

 Visual 3.19
ICS Features and Principles

Visual Description: Activity: What is the first action that you would take?

Instructor Notes

Review the following scenario on assuming command:

Scenario: Several minutes ago, a tornado struck the campus without warning. You were not injured but are isolated in a damaged part of the building with students and no other faculty or staff personnel. You have taken command of the response.

Question: What is the first action that you would take?

Instructor Note: Use this scenario to transition to a discussion of incident objectives and action planning. If not mentioned by the students, note that the first actions would include sizing up the situation and taking measures to ensure life safety.



Visual 3.20

ICS Features: Overview

- Standardization
 - Common terminology
- Command
 - Establishment and transfer of command
 - Chain of command and unity of command
- **Planning/Organizational Structure**
 - Management by objectives
 - Incident Action Plan (IAP)
 - Modular organization
 - Manageable span of control
- Facilities and Resources
 - Comprehensive resource management
 - Incident locations and facilities
- Communications/Information Management
 - Integrated communications
 - Information and intelligence management
- Professionalism
 - Accountability
 - Dispatch/Deployment

FEMA

Visual 3.20
ICS Features and Principles

Visual Description: ICS Features Overview: Planning/Organizational Structure

Instructor Notes

Tell the participants that the next part of this lesson covers planning and organizational structure, including:

- Management by objectives.
- Incident Action Plan (IAP).
- Modular organization.
- Manageable span of control.



Visual 3.21

Management by Objectives

Priorities for incident objectives are:

- #1: Life Safety
- #2: Incident Stabilization
- #3: Property/Environmental Preservation

What additional priorities are critical for managing campus incidents?

 **FEMA**  Visual 3.21
ICS Features and Principles

Visual Description: Management by Objectives

Instructor Notes

As educators, you understand the value of learning objectives. Incident objectives are used to ensure that everyone within the ICS organization has a clear understanding of what needs to be accomplished.

Priorities for incident objectives are:

- 1: Life Safety
- 2: Incident Stabilization
- 3: Property/Environmental Preservation

Ask the participants: What additional priorities are critical for managing campus incidents?

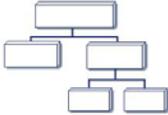


Visual 3.22

ICS Organization

Differs from day-to-day organizational structures and positions by:

- Using unique ICS position titles and organizational structures.
- Assigning personnel based on expertise, not rank. For example, a director may not hold that title when deployed under an ICS structure.



Visual 3.22
ICS Features and Principles



FEDERAL EMERGENCY MANAGEMENT AGENCY
FEMA

Visual Description: ICS Organization

Instructor Notes

The ICS organization is unique but easy to understand. There is no correlation between the ICS organization and the administrative structure of any single agency or jurisdiction. This is deliberate, because confusion over different position titles and organizational structures has been a significant stumbling block to effective incident management in the past.

For example, someone who serves as a director every day may not hold that title when deployed under an ICS structure.



Visual 3.23

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.

Visual 3.23
ICS Features and Principles

Visual Description: Modular Organization

Instructor Notes

The ICS 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. As incident complexity increases, the organization expands from the top down as functional responsibilities are delegated.

The ICS organizational structure is flexible. When needed, separate functional elements can be established and subdivided to enhance internal organizational management and external coordination. As the ICS organizational structure expands, the number of management positions also expands to adequately address the requirements of the incident.

In a later unit, we'll look at how the Operations Section expands and contracts based on span of control.



Visual 3.24

Incident Action Planning

Every incident must have an Incident Action Plan (IAP) that:

- Specifies the incident objectives.
- States the activities.
- Covers a specified timeframe, called an operational period.
- May be **oral or written**.

Incident Action Plan

FEMA

Visual 3.24
ICS Features and Principles

Visual Description: Incident Action Planning

Instructor Notes

Every response has a strategy—like a lesson plan—called an Incident Action Plan (IAP). The Incident Commander must ensure that the IAP:

- Specifies the incident objectives.
- States the activities to be completed.
- Covers a specified timeframe, called an operational period.
- May be **oral or written**—except for hazardous materials incidents, which require a written IAP.

Even the smallest of incidents are managed by incident objectives and plans. The plan can be as simple as the next steps the Incident Commander plans to do. The steps can be orally communicated to the rest of the ICS organization.



Visual 3.25

Elements of an Incident Action Plan

Every IAP must have four elements:

- What do we want to do?
- Who is responsible for doing it?
- How do we communicate with each other?
- What is the procedure if someone is injured?



 **FEMA** 

Visual 3.25
ICS Features and Principles

Visual Description: Elements of an Incident Action Plan

Instructor Notes

Explain that every IAP must answer the following four questions:

- What do we want to do?
- Who is responsible for doing it?
- How do we communicate with each other?
- What is the procedure if someone is injured?



Visual 3.26

Activity: Incident Action Plan

Instructions:

- Working as a team, identify four items you would include in an IAP for the computer worm scenario in Unit 2.
- Write these items on chart paper.
- Select a spokesperson. Be prepared to present in 5 minutes.

Scenario:

During freshman move-in, a dangerous worm has rapidly spread through the university computer system, consuming massive amounts of bandwidth, deleting files, and crippling the network.



Visual Description: Activity: Incident Action Plan

Instructor Notes

Purpose: The purpose of this activity is to illustrate how to develop an IAP.

Instructions: Follow the steps below to conduct this activity:

1. Assign the participants to groups of five or six.
2. Explain that the participants should identify four items they would include in an Incident Action Plan for the computer worm scenario from Unit 2.
3. Tell the groups that they should record the IAP elements on chart paper and select a spokesperson to report back to the group.
4. Inform the groups that they will have 5 minutes to complete this activity.

Scenario: During freshman move-in, a dangerous worm has spread rapidly through the university computer network. The worm, which is consuming massive amounts of bandwidth, also includes a “payload” code designed to delete files on affected computers. The effects have essentially crippled the university computer network, including systems for course registration and emergency notification. The network is also used when students swipe their identification cards to enter residence halls and fitness facilities, and to pay for meals at campus dining halls. It remains unclear whether the incident poses a threat to sensitive information, such as student and employee Social Security numbers.

Debrief: Monitor the time. When 5 minutes have passed, ask the spokesperson from each group to present the elements of their IAP. Their answers should include:

- What they want to do.
- Who is responsible for doing it.
- How they will communicate with one another.
- The procedures if someone is injured.



Visual 3.27

Manageable Span of Control

Span of control:

- Pertains to the number of individuals or resources that one supervisor can manage effectively during an incident.
- Is key to effective and efficient incident management.

```
graph TD; Supervisor[Supervisor] --- Resource1[Resource 1]; Supervisor --- Resource2[Resource 2]; Supervisor --- Resource3[Resource 3];
```

FEMA

Visual 3.27
ICS Features and Principles

Visual Description: Manageable Span of Control

Instructor Notes

Tell the participants that another basic ICS feature concerns the supervisory structure of the organization. Maintaining adequate span of control throughout the ICS organization is very important.

Span of control pertains to the number of individuals or resources that one supervisor can manage effectively during an incident.

Maintaining an effective span of control is important at incidents where safety and accountability are a top priority.

Emphasize that supervisors must be able to adequately supervise and control their subordinates, as well as communicate with and manage all resources under their supervision.



Visual 3.28

ICS Management: Span of Control

ICS span of control for any supervisor:

- Is between 3 and 7 subordinates.
- Optimally does not exceed 5 subordinates.

Visual 3.28
ICS Features and Principles

FEMA

Visual Description: ICS Management: Span of Control

Instructor Notes

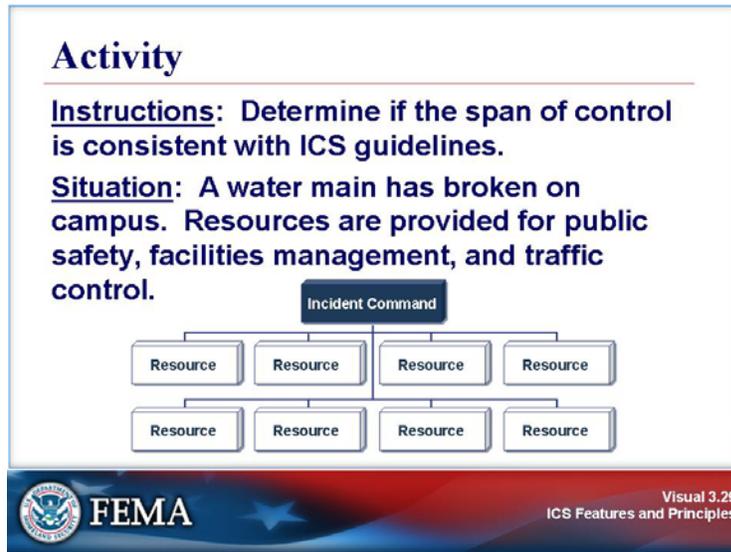
Review the following key points:

- Another basic ICS feature concerns the supervisory structure of the organization. Maintaining adequate span of control throughout the ICS organization is very important.
- Span of control pertains to the number of individuals or resources that one supervisor can manage effectively during an incident.
- The type of incident, nature of the task, hazards and safety factors, and distances between personnel and resources all influence span of control considerations. **Maintaining an effective span of control is particularly important on incidents where safety and accountability are a top priority.**
- Effective span of control on incidents may vary from three (3) to seven (7), and a ratio of one (1) supervisor to five (5) reporting elements is recommended.

Ask the participants: What types of incidents warrant a low span-of-control ratio?



Visual 3.29



Visual Description: Activity

Instructor Notes

Tell the participants to review the situation on the visual.

Situation: A water main has broken on campus. Resources are provided for public safety, facilities management, and traffic control.

Ask the participants to determine if the span of control is consistent with ICS guidelines.

Allow the participants time to respond.

If not mentioned, point out that the span of control is NOT consistent with ICS guidelines. Remind them that ICS span of control for any supervisor is between 3 and 7 subordinates and optimally does not exceed 5 subordinates.



Visual 3.30



Visual Description: ICS Features Overview: Facilities and Resources

Instructor Notes

Tell the participants that the next part of this unit covers facilities and resources, including:

- Comprehensive resource management.
- Incident locations and facilities.



Visual 3.31



Visual Description: Video: Incident Facilities Virtual Tour

Instructor Notes

Present the following key points:

- Incident activities may be accomplished from a variety of operational locations and support facilities.
- The Incident Commander identifies and establishes needed facilities depending on incident needs. Standardized names are used to identify types of facilities.
- In order to integrate with community responders, it is important to be familiar with the standard ICS facilities.
- Some or all of these facilities may be used in some campus incidents and in other incidents in the community.

Video Transcript:

This presentation introduces the ICS facilities. In less complex incidents you most likely will not need many of the standard ICS facilities. However, in large incidents, such as Hurricane Katrina, undamaged campuses are often converted into ICS facilities.

(Continued on next page.)

Video Transcript (Continued):

The Incident Command Post, or ICP, is the location from which the Incident Commander oversees all incident operations. There is generally only one ICP for each incident, but it may change locations during the event. Every incident must have some form of an Incident Command Post. The ICP may be located outside; in a vehicle, trailer, or tent; or within a building. The ICP will be positioned outside of the present and potential hazard zone but close enough to the incident to maintain command.

Staging Areas are temporary locations at an incident where personnel and equipment wait to be assigned. Staging Areas should be located close enough to the incident for a timely response, but far enough away to be out of the immediate impact zone. In large complex incidents, there may be more than one Staging Area at an incident. Staging Areas can be collocated with other ICS facilities.

A Base is the location from which primary logistics and administrative functions are coordinated and administered.

A Camp is the location where resources may be kept to support incident operations if a Base is not accessible to all resources. Camps are equipped and staffed to provide food, water, sleeping areas, and sanitary services. A gym or dining hall could be used as a Camp for a community-wide incident.

A Helibase is the location from which helicopter-centered air operations are conducted. Helibases are generally used on a more long-term basis and include such services as fueling and maintenance.

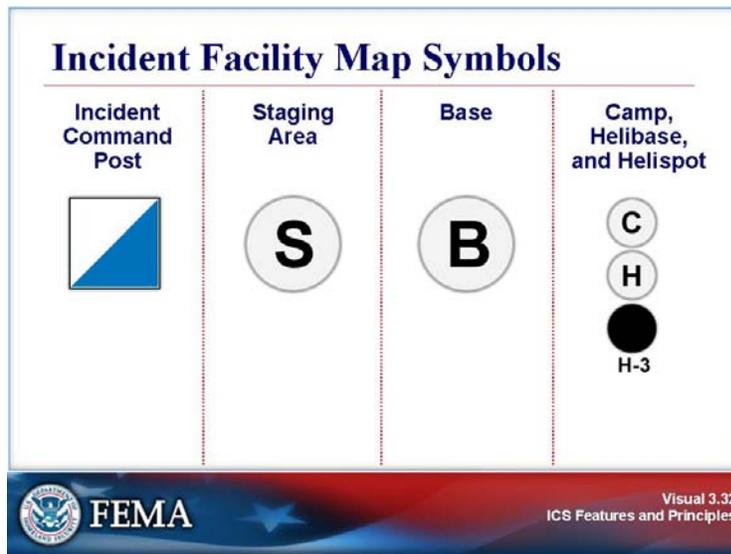
Helispots are more temporary locations at the incident, where helicopters can safely land and take off. Multiple Helispots may be used. Think about your campus. Could you use a parking lot or athletic field for a temporary Helispot?

Let's review the different ICS facilities covered in this video.

- The **Incident Command Post** is the location from which the Incident Commander oversees all incident operations.
- **Staging Areas** are where personnel and equipment are gathered while waiting to be assigned.
- A **Base** is the location from which primary logistics and administrative functions are coordinated and administered.
- A **Helibase** is the location from which helicopter-centered air operations are conducted.
- **Helispots** are more temporary locations at the incident, where helicopters can safely land and take off.



Visual 3.32



Visual Description: Incident Facility Map Symbols

Instructor Notes

Explain that in ICS, it is important to be able to identify the map symbols associated with the basic incident facilities.

The map symbols used to represent each of the six basic ICS facilities are shown in the illustration.

Ask the participants the following question:

Helicopters were taking off and landing at a football field after a tornado severely damaged the campus. What map symbol would indicate this ICS facility?

If not mentioned by the group, explain that the ICS facility could be a Helibase or Helispot and point out the symbols in the visual.

Have you pre-identified locations for incident facilities?



Visual 3.33

Incident Facilities: Summary

- A single Incident Command Post should be established on all incidents—even small ones!
- Campus incidents may require additional facilities (e.g., a student call center).
- Areas on campus may be predesignated incident facilities for the surrounding community (e.g., shelters, staging areas, helibases, medical centers).



Visual Description: ICS Facilities: Summary

Instructor Notes

Present the following points:

- A single Incident Command Post should be established on all incidents, even on a small incident.
- Campus incidents may require additional facilities beyond those that are standard ICS facilities.

Example: For example, if you need a Student-Parent Reunification Area, a Media Center, or a Call Center for students to use, add those sites to your incident facilities. It is preferable to add needed facilities rather than to use a standard ICS facility, such as a Staging Area, for a campus-unique function. A Staging Area is intended only for responders waiting for assignments, not parents waiting for their students.

Note that higher education institutions often play a support role in the community, and areas on campus might be predesignated as incident facilities for the surrounding area. This might include medical centers, shelters, helibases, staging areas, and storage for historic artifacts/archives.

Do you know if areas of your campus have been designated as incident facilities for the surrounding community?



Visual 3.34

Resources: Definition

Resources are personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained.



 **FEMA**

Visual 3.34
ICS Features and Principles

Visual Description: Resources: Definition

Instructor Notes

Explain that, in ICS, resources include personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained.



Visual 3.35

Resource Management

Resource management includes processes for:

- Categorizing resources.
- Ordering resources.
- Dispatching resources.
- Tracking resources.
- Recovering resources.
- Reimbursing other organizations, as appropriate.



 FEMA  Visual 3.35
ICS Features and Principles

Visual Description: Resource Management

Instructor Notes

Note that as mentioned in the previous unit, resources at an incident must be managed effectively. Maintaining an accurate and up-to-date picture of resource utilization is a critical component of incident management. Resource management includes processes for:

- Categorizing, credentialing, and pre-identifying resources.
- Ordering resources.
- Dispatching resources.
- Tracking resources.
- Recovering resources.

Point out that resource management also includes processes for reimbursement for resources, as appropriate.

Explain that **credentialing** is providing documentation that can authenticate and verify the certification and identity of designated incident managers and emergency responders.



Visual 3.36

Activity

Instructions: Review the following scenario and answer the questions that follow.

Scenario: During finals week, a fire burns down an academic building on campus. The cause of the fire is unknown, although arson is suspected.

Question: Where on your campus would you establish a staging area?



Visual Description: Activity

Instructor Notes

Tell the participants to review the scenario and answer the question that follows.

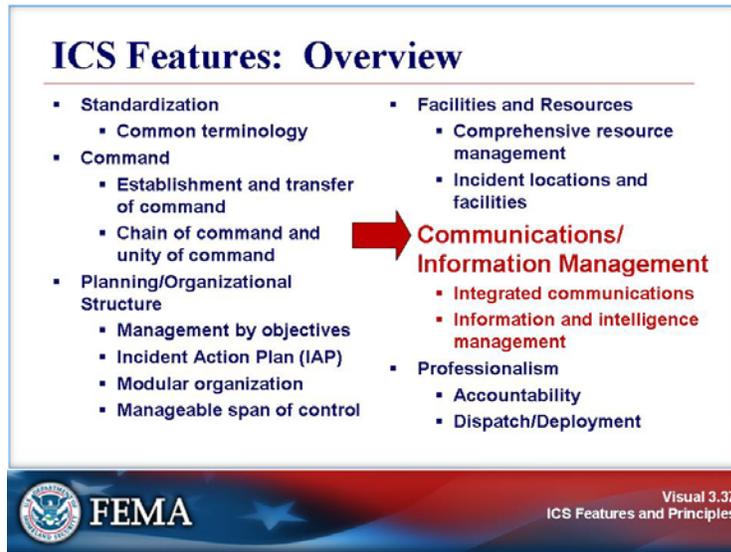
Scenario: During finals week, a fire burns down an academic building on campus. The cause of the fire is unknown, although arson is suspected.

Question: Where on your campus would you establish a Staging Area?

Instructor Note: Allow participants time to respond. There is no single correct response. If not mentioned by course participants, note that the location of the Staging Area should take into consideration factors such as access, site security, and communications.



Visual 3.37



Visual Description: ICS Features Overview: Communications/Information Management

Instructor Notes

Tell the participants that the next part of this unit covers communications and information management, including:

- Integrated communications.
- Information and intelligence management.



Visual 3.38

Integrated Communications

Incident communications are facilitated through:

- The development and use of a common communications plan.
- The interoperability of communication equipment, procedures, and systems.



Before an incident, it is critical to develop an integrated voice and data communications system (equipment, systems, and protocols).



Visual 3.38
ICS Features and Principles

Visual Description: Integrated Communications

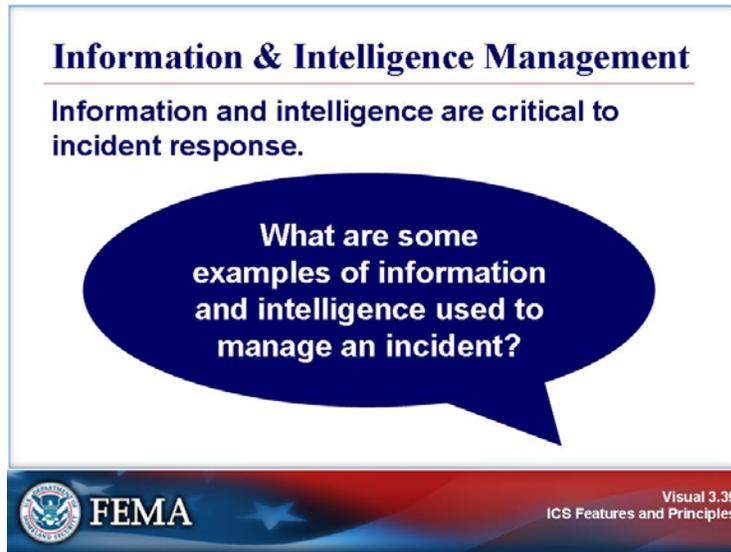
Instructor Notes

Present the following points:

- A common communications plan is essential for ensuring that responders can communicate with one another during an incident.
- The response to the Columbine school shooting incident was hampered by response agencies operating on radios set to different frequencies.
- Prior to an incident, higher education institutions must work with local responders to ensure that communications equipment, procedures, and systems can operate together during a response (interoperable).



Visual 3.39



Visual Description: Information & Intelligence Management: What are some examples of information and intelligence used to manage an incident?

Instructor Notes

Note that the analysis and sharing of information and intelligence is an important component of ICS. Incident management must establish a process for gathering, sharing, and managing incident-related information and intelligence.

Ask the participants the following question:

What are some examples of information and intelligence used to manage an incident?

If not mentioned by the participants, add the following items:

Intelligence includes other operational information that may come from a variety of different sources, such as:

- Weather forecasts.
- Upcoming student activities and planned events.
- Structural plans and vulnerabilities.
- Risk assessments.
- Threats including potential for campus violence.
- Surveillance of disease outbreak.



Visual 3.40

Case Study: Incident Management

Instructions:

1. Working individually, review the case study presented in your Student Manuals.
2. Identify the lessons learned from the incident that you would apply to managing incident information and intelligence.
3. Be prepared to discuss the lessons you identify with the class in 5 minutes.

FEMA

Visual 3.40
ICS Features and Principles

Visual Description: Case Study: Incident Management

Instructor Notes

Tell the participants to read the scenario below and identify lessons learned from the scenario that they would apply to managing incident information and intelligence. Note that although this scenario took place at a high school, the lessons learned are nonetheless important for all educational institutions.

Scenario: At the Columbine school shooting incident, police and emergency response crews arrived within minutes of 911 calls. One of the first functions of a SWAT incident is to acquire intelligence. The SWAT team commander found some students, who quickly sketched a layout of the school. As the situation evolved, officers received a lot of false information including: there were as many as eight gunmen, snipers were on the roof, and killers were hiding in ceilings or in heating ducts or trying to mingle with escaping students. The lack of reliable information hampered the operation.

If not mentioned by the group, present the sample answers shown below:

- Assign someone to serve as a point of contact with arriving responders to brief them on information about the campus layout and facilities.
- Prior to incidents, ensure that first responders have copies of maps, floor plans, and other critical information about the campus.
- Ensure that communications systems used by campus personnel and first responders are interoperable, so everyone can communicate with each other.
- Establish a single Incident Command Post so that you can work with first responders to jointly analyze and verify information.



Visual 3.41



Visual Description: ICS Features Overview: Professionalism

Instructor Notes

Tell the participants that the last part of this unit covers professionalism, including:

- Accountability.
- Dispatch/deployment.



Visual 3.42

Accountability (1 of 2)

The following principles must be adhered to:

- **Check-In.** All responders must report in to receive an assignment in accordance with the procedures established by the Incident Commander.
- **Incident Action Plan.** Response operations must be coordinated as outlined in the IAP.
- **Unity of Command.** Each individual will be assigned to only one supervisor.



 **FEMA**  Visual 3.42
ICS Features and Principles

Visual Description: Accountability (1 of 2)

Instructor Notes

Explain that effective accountability during incident operations is essential. Point out that individuals must abide by their institutional policies and guidelines and any applicable local, State, or Federal rules and regulations.

Explain that the following principles must be adhered to:

- **Check-In.** All responders must report in to receive an assignment in accordance with the procedures established by the Incident Commander.
- **Incident Action Plan.** Response operations must be coordinated as outlined in the IAP.
- **Unity of Command.** Each individual will be assigned to only one supervisor.

The next visual includes additional principles that must be adhered to.



Visual 3.43

Accountability (2 of 2)

- **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.



Visual 3.43
ICS Features and Principles



Visual Description: Accountability (2 of 2)

Instructor Notes

Continue by explaining that the following principles must be adhered to:

- **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.



Visual 3.44

Dispatch/Deployment

At any incident:

- The situation must be assessed and the response planned.
- Managing resources safely and effectively is the most important consideration.
- Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.



Visual 3.44
ICS Features and Principles



Visual Description: Dispatch/Deployment

Instructor Notes

Point out that another key feature of ICS is the importance of managing resources to adjust to changing conditions.

When an incident occurs, you must be dispatched or deployed to become part of the incident response. In other words, until you are deployed to the incident organization, you remain in your everyday role.

After being deployed, your **first task is to check in and receive an assignment.**

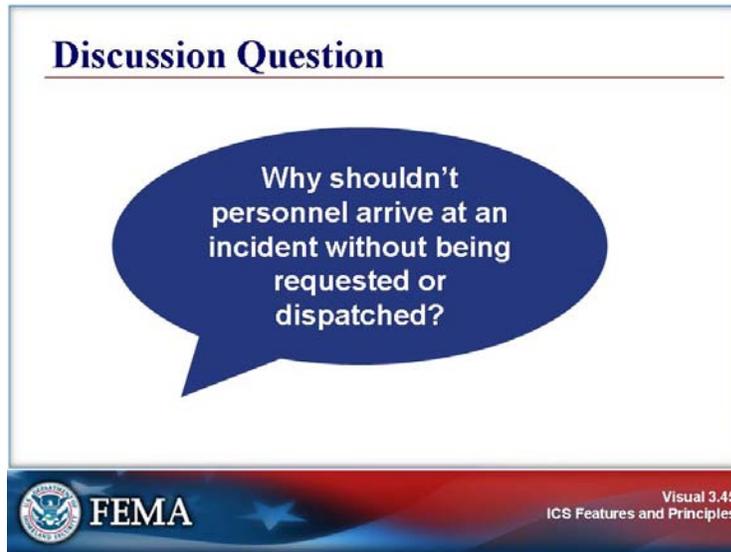
Emphasize that as campus personnel, you should be mobilized or activated to join the incident response. Unless you must take an immediate life-saving action, you should not start responding without being deployed. The deployment process improves safety and cuts down on chaos.

After check-in, you will locate your incident supervisor and obtain your initial briefing. The briefings you receive and give should include:

- Current assessment of the situation.
- Identification of your specific job responsibilities.
- Identification of coworkers.
- Location of work area.
- Identification of break areas, as appropriate.
- Procedural instructions for obtaining needed resources.
- Operational periods/work shifts.
- Required **safety procedures** and Personal Protective Equipment (PPE), as appropriate.



Visual 3.45



Visual Description: Discussion Question: Why shouldn't personnel arrive at an incident without being requested or dispatched?

Instructor Notes

Ask the participants the following discussion question:

Why shouldn't personnel arrive at an incident without being requested or dispatched?

If not mentioned by the participants, add the following points:

- Uncontrolled and uncoordinated arrival of resources at emergencies causes significant accountability issues.
- Self-dispatched or freelancing resources cause safety risks to responders, civilians, and others who are operating within the parameters of the Incident Action Plan.
- Chaos at the scene occurs, creating additional risks.
- Emergency access routes can be blocked, preventing trained responders from gaining access to the site or not allowing critically injured personnel to be transported from the scene.

In the World Trade Center 9/11 response, many responders self-dispatched, undermining command and control at the scene and clogging the streets so that other responders assigned to the WTC had difficulty getting through.

The bottom line is that when resources show up that have not been requested, the incident management system may fail.



Visual 3.46

Activity: Deployment

Situation: Rosa is near the athletics complex when she hears that the gymnasium roof has collapsed. Rosa has her advanced first-aid certification.

What should Rosa do?

 **FEMA**  Visual 3.46
ICS Features and Principles

Visual Description: Activity: Deployment

Instructor Notes

Review the following situation: Rosa is near the athletics complex when she hears that the gymnasium roof has collapsed. Rosa has her advanced first-aid certification.

Ask the participants: What should Rosa do?

Elicit input from the participants. If not mentioned by the participants, explain that Rosa should report her whereabouts to the incident management team and wait for deployment to the scene. Rosa should not immediately rush to the scene.



Visual 3.47

Summary (1 of 2)

ICS:

- Utilizes management features including the use of common terminology and a modular organizational structure.
- Emphasizes effective planning through the use of management by objectives and Incident Action Plans.
- Supports responders by providing data they need through effective information and intelligence management.

 **FEMA**  Visual 3.47
ICS Features and Principles

Visual Description: Summary (1 of 2)

Instructor Notes

Review the key points on the visual.

ICS:

- Utilizes management features including the use of common terminology and a modular organizational structure.
- Emphasizes effective planning through the use of management by objectives and Incident Action Plans.
- Supports responders by providing data they need through effective information and intelligence management.



Visual 3.48

Summary (2 of 2)

ICS:

- Utilizes the principles of chain of command, unity of command, and transfer of command.
- Ensures full utilization of incident resources by maintaining a manageable span of control, establishing predesignated incident facilities, implementing resource management practices, and ensuring integrated communications.

 **FEMA**  Visual 3.48
ICS Features and Principles

Visual Description: Summary (2 of 2)

Instructor Notes

Review the key points on the visual.

ICS:

- Utilizes the principles of chain of command, unity of command, and transfer of command.
- Ensures full utilization of incident resources by maintaining a manageable span of control, establishing predesignated incident facilities, implementing resource management practices, and ensuring integrated communications.

Ask if anyone has any questions about content covered in this unit.

Transition to the next unit by explaining that Unit 4 will cover the Incident Commander and Command Staff functions.

Your Notes:

