



FEMA Incident Action Planning Guide

January 2012



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MEMORANDUM FOR: All FEMA Employees

FROM: William L. Carwile, III *William L. Carwile, III*
Associate Administrator for Response and Recovery

SUBJECT: FEMA Incident Action Planning Guide

Forwarded for your immediate use is the *FEMA Incident Action Planning (IAP) Guide* incorporating incident management methodologies, and best practices.

The IAP Guide explains how to plan and execute operations during any incident. This document, based on the Incident Management Handbook (IMH), explains the Incident Command System (ICS) incident action planning process, describes how to use it during FEMA incidents, defines the specific roles and responsibilities of the various participants, and establishes standards for incident action planning during FEMA incidents. Accurate, consistent, and complete application of the guidance outlined in this document is essential to successful incident operations.

All FEMA staff, as emergency managers, should review the IAP Guide and provide full support to its implementation.

If you have any questions regarding this publication, please contact the Training, Exercise and Doctrine Office at FEMA-TED@fema.gov.

Attachments: *FEMA Incident Action Planning Guide*

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CHAPTER 1: INTRODUCTION

The Federal Emergency Management Agency's (FEMA) primary mission is to reduce the loss of life and property and protect the Nation from all hazards. When FEMA becomes involved in an incident, it is because the scope and scale of the incident necessitates Federal assistance. When FEMA is engaged, officials from the State and local government are also involved along with nongovernmental organizations (NGOs), elements of the private sector, and—more than likely—other Federal departments and agencies. Ensuring that the efforts of all players are coordinated and synchronized to achieve the best results is the job of incident management. It is also the reason that the National Incident Management System and the Incident Command System (ICS) exist.

Incident

The National Incident Management System Glossary defines incident as “an occurrence, natural or manmade, that requires a response to protect life or property.” For the purposes of this guide, the term, incident, is used to refer to incidents in which FEMA is involved, generally in support of and in partnership with State, territorial, tribal, and local governments.

The incident action planning process provides a tool to synchronize operations at the incident level and ensures that incident operations are conducted in support of incident objectives. The iterative incident action planning process provides FEMA and all interagency partners involved in incident management operations the primary tool for managing incidents. A disciplined system of planning phases and collaboration sessions fosters partnerships and clearly focuses incident operations.

Over many years of managing all types and sizes of incidents, ICS practitioners have developed and refined the incident action planning process as a way to plan and execute operations on any incident. This means that incident action planning is more than producing an incident action plan (IAP). It is a set of activities, repeated each operational period, that provides a consistent rhythm and structure to incident management.

The organizations that originated ICS and use the system have, after many years of trial and error, developed a set of forms that assist incident personnel in completing this integrated process. Incident leaders must ensure that the plan being developed meets the needs of the incident. Such leaders must also ensure that the forms—while valuable for moving along the path—do not become the primary focus of the planning process. The completion of these forms assists the integrated and rational planning process. FEMA has slightly modified these standard ICS forms to address the implementation of assistance programs and the requirements for assigning resources. Incident action planning is an operational activity and must either direct or support operations.

Because ICS is the basis for managing incident activities, all incidents to which FEMA responds require the use of the ICS incident action planning process. All members of the Unified Coordination Group and the command and general staff play specific and essential parts in the process. This includes not just FEMA staff, but also our State and Federal interagency partners who are engaged in incident management. When each member plays his/her part correctly, the process is a tool that can bring order to the often chaotic world of managing complex incidents and enables incident management personnel to address problems that seem insurmountable.

Because incidents in which FEMA is engaged are complex and intergovernmental and interagency, applying the incident action planning process accurately, consistently, and completely is essential to the success of incident operations. Disciplined application of the incident action planning process produces positive effects on incidents of all size and scope and maintains the otherwise perishable planning skills of FEMA personnel.

While the process described in this guide outlines how FEMA as a part of the whole community executes incident action planning, those involved in a FEMA response and recovery must recognize that it will, in all probability, not be the only incident action planning process being executed (as illustrated in Figure 1 below). For example, local and municipal organizations may develop IAPs to guide the actions of first responders. For a catastrophic incident there may be hundreds of concurrent incident action planning efforts taking place simultaneously. The joint IAP that State and Federal incident management personnel develop must support all local IAPs and synchronize those at the State and Federal level.

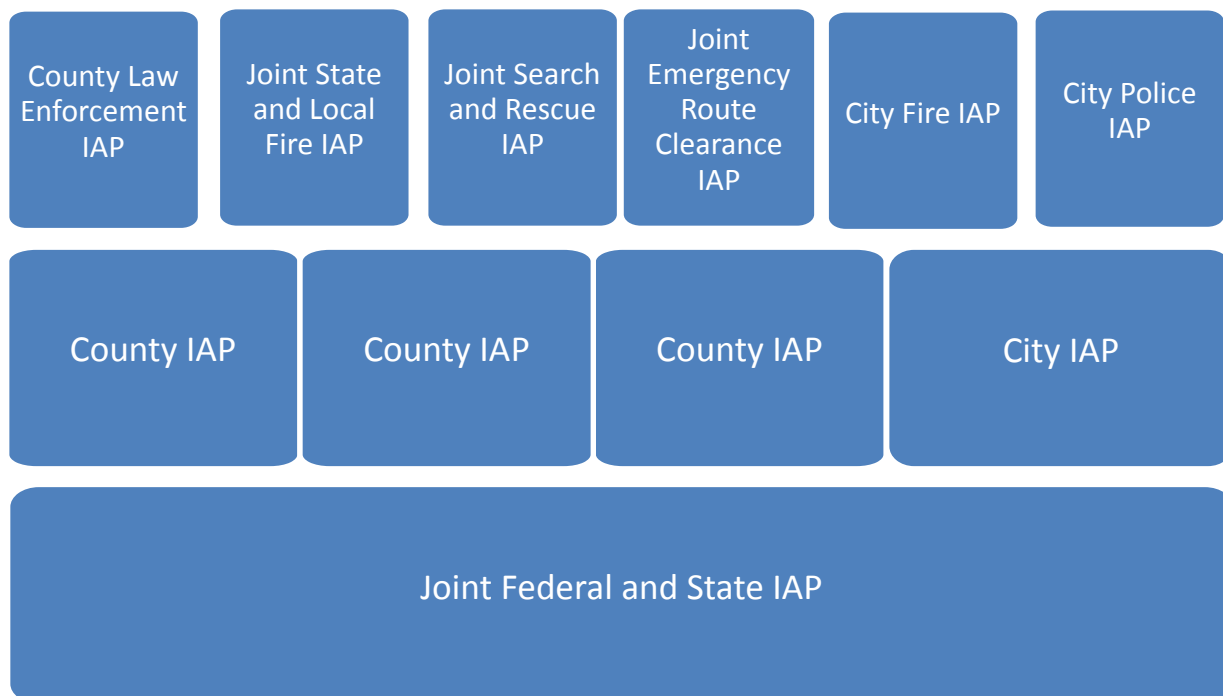


Figure 1: IAPs Developed Across All Echelons of an Incident

PURPOSE

This guide is intended to promote the effectiveness of FEMA incident operations by standardizing the incident action planning process. The guide explains the ICS incident action planning process, describes how FEMA applies it on all FEMA incidents, defines the specific roles and responsibilities of the various players, and establishes standards for incident action planning on FEMA incidents. This guide also communicates to FEMA's partners the details of how the agency conducts the incident action planning process.

This guide is also intended to serve as a reference for incident personnel and to provide the basis for FEMA incident action planning staffing and exercising. Finally, this guide informs the required training, position task books, and development of courses for the positions of the FEMA Qualification System.

APPLICABILITY AND SCOPE

The guidance contained in this *Incident Action Planning Guide* applies to all FEMA incidents, including those involving Presidential declarations under the Stafford Act, as well as incidents requiring a coordinated Federal response where the Stafford Act does not apply. **Compliance with this guidance is mandatory for all FEMA personnel.**

This guide is also intended to promote cooperation and interoperability among all levels of government, NGOs, and the private sector by communicating FEMA's commitment to incident action planning to our partners and sharing the details of how FEMA implements the process.

AUTHORITIES AND FOUNDATIONAL DOCUMENTS

A number of foundational documents provide statutory, regulatory, and executive guidance for FEMA disaster response. Some key foundational documents are as follows:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288, as amended, 42 U.S.C. 5121-5207)
- Title 44 of the Code of Federal Regulations, Emergency Management and Assistance
- Homeland Security Act (Public Law 107-296, as amended, 6 U.S.C. §§ 101 et seq.)
- Homeland Security Presidential Directive 5, 2003
- Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295), October 4, 2006
- National Response Framework, January 2008
- National Disaster Recovery Framework, September 2011
- National Incident Management System, December 2008
- *The Federal Emergency Management Agency Publication 1*, November 2010
- Incident Management and Support Keystone, January 2011
- *Comprehensive Preparedness Guide 101—Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans*, January 2009

- *Presidential Policy Directive 8: National Preparedness*, March 2011.
- *National Preparedness Goal*, September 2011
- *FEMA Incident Management Handbook* (FEMA B-761/Interim Change 1), expires January 1, 2013

CHAPTER 2: THE INCIDENT ACTION PLANNING PROCESS

INCIDENT ACTION PLANNING

Incident management personnel involved in an operation that the Federal Emergency Management Agency (FEMA) is coordinating use the Incident Command System's (ICS) incident action planning process to develop incident action plans (IAPs). All partners involved in the incident (Emergency Support Functions [ESFs], nongovernmental organizations [NGOs], and State) achieve unity of effort through its disciplined process. Additionally, the IAP is the vehicle by which the senior leaders of an incident; the governor of an affected state, through the State Coordinating Officer (SCO); and the President, through the Federal Coordinating Officer (FCO), communicate their expectations and provide clear guidance to those managing an incident. The incident action planning process requires collaboration and participation among all incident management leaders and their staffs from across the whole community.

The incident action planning process is built on the following phases:

1. Understand the situation
2. Establish incident objectives
3. Develop the plan
4. Prepare and disseminate the plan
5. Execute, evaluate, and revise the plan

The product of this process, a well-conceived, complete IAP facilitates successful incident operations and provides a basis for evaluating performance in achieving incident objectives. The IAP identifies incident objectives and provides essential information regarding incident organization, resource allocation, work assignments, safety, and weather.

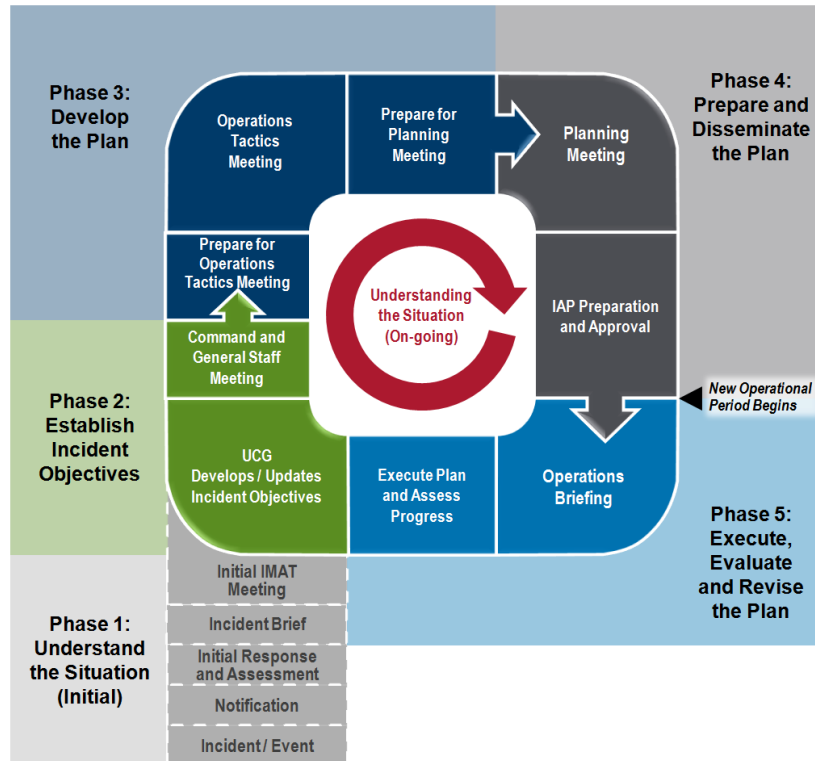


Figure 2: The Planning “P”: The Incident Action Planning Process

ICS and the incident action planning process are used on all incidents in which FEMA is engaged—both Stafford Act and non-Stafford Act incidents. For Stafford Act incidents, an FCO is appointed by the President based on the recommendation of the Regional Administrator (RA) to manage Federal resources and support activities. For non-Stafford Act incidents, the Department of Homeland Security designates a Federal Resource Coordinator (FRC) to perform essentially the same functions that the FCO performs, but without the specific Stafford Act authorities. Both the FCO and the FRC lead an Incident Management Assistance Team (IMAT). In this guide, the term, FCO refers to both FCO and FRC, and all IAP guidance applies equally to Stafford Act and non-Stafford Act incidents.

The Planning “P” and the Operations “O”

The Planning “P” (Figure 2) depicts the stages in the incident action planning process. The leg of the “P” includes the initial steps to gain awareness of the situation and establish the organization for incident management. Although maintaining situational awareness is essential throughout the life cycle of the incident, the steps in Phase 1 are done only one time. Once they are accomplished, incident management shifts into a cycle that of planning and operations, informed by ongoing situational awareness, that continues and is repeated each operational period. This cycle, which is depicted in the barrel of the “P”, becomes the Operations “O,” (Figure 3).

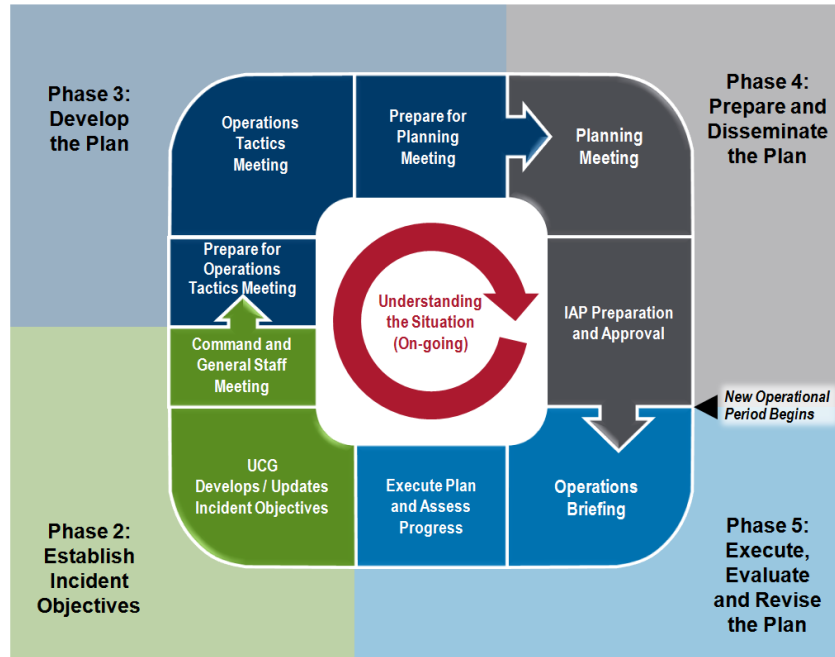


Figure 3: The Operations "O": The Operational Period Cycle of the Incident Action Planning Process

What is the IAP?

The IAP is a written plan that defines the incident objectives and reflects the tactics necessary to manage an incident during an operational period. There is only one FEMA IAP for each incident, and that IAP is developed at the incident level. The IAP is developed through the incident action planning process.

The IAP is a directive, "downward-looking" tool that is operational at its core; it is not primarily an assessment tool, feedback mechanism, or report. However, a well-crafted IAP helps senior leadership understand incident objectives and issues.

The following sections describe the phases in the incident action planning process.

The Operational Period

An operational period is the period of time scheduled for executing a given set of operational actions as specified in the IAP. The length of the operational period, typically 12 to 24 hours at the beginning of incident requiring extensive response efforts, is established during Phase 1 and subsequently reviewed and adjusted throughout the life cycle of the incident as operations require. When operations are focused primarily on recovery programs, operational periods are typically a week or longer.

PHASE 1: UNDERSTAND THE SITUATION

Effective actions during Phase 1 may mean the difference between a successfully managed incident and one in which effective incident management is achieved slowly or not at all. Phase 1 focuses on actions that take place prior to the first operational period.

While many important things are accomplished during this initial period, efforts focus on gaining an understanding of the situation and establishing initial incident priorities. Gaining an understanding of the situation includes gathering, recording, analyzing, and displaying information regarding the scale, scope, complexity, and potential incident impacts. Comprehensive situational awareness is essential to developing and implementing an effective IAP.

Initial incident priorities are generally established by higher level authorities such as the Governor of the affected State and the FEMA Regional Administrator (RA).

SAVER2

FEMA's geospatial viewer is called the Situational Awareness Viewer for Emergency Response & Recovery (SAVER2). This viewer displays data from emergency management partners to provide an integrated operational approach during response to disasters. SAVER2 is a two-way information sharing system that collects, processes, and displays real-time data from governmental and non-governmental partners.

Gaining Initial Situational Awareness

Obtaining accurate, reliable situational awareness during the initial hours of an incident is often challenging. Situational awareness is further complicated by the urgency of collecting, analyzing, and disseminating situational information.

Initial situational awareness involves the gathering of information from as many sources as possible, as quickly as possible, to ensure that decision makers have the knowledge they need to make the best possible decisions.

Collection

Information collection is based on established essential elements of information (EElS) and critical information requirements (CIRs).

- **EElS** are important and standard information items that incident managers need in order to make timely and informed decisions. EElS also provide context and contribute to analysis. EElS are included in situation reports.
- **CIRs** are particular elements of information specifically requested by incident leaders. These items are of such importance that leaders are notified immediately when the Planning Section receives updates on a CIR item.

Analysis

Analysis breaks down problems and issues into manageable smaller elements. In this way, complex problems that appear to be daunting may have achievable fixes. Analysis also

allows for the identification of sub-issues and problem areas that can be solved through effective decision making and planning.

Information analysis during Phase 1 consists of correlating, comparing, and filtering the available information to determine the critical issues and the potential for changes in the situation. This analysis allows leaders not just to understand what is going on, but what the effects of those impacts are.

Dissemination

Information should be disseminated in a timely manner and provided in a readable format that the audience can easily understand. Doing this effectively during Phase 1, and throughout the incident, minimizes confusion, reduces duplication of effort, and facilitates effective and efficient management of incident resources. If dissemination is not effective, all efforts to gain situational awareness will fail.

Using a Deliberate Plan

Pertinent deliberate plans may serve as a guide to form incident objectives and tactics.

On-going Assessment / Situational Awareness

Accurate situational awareness is essential throughout the life cycle of an incident. After the initial efforts to gain situational awareness, the iterative information collection process continues to inform all aspects of incident action planning. This process includes the collection, analysis, and dissemination of information to assist operations and support functions in planning for providing support and resources to disaster survivors during each operational period.

Appendix E *Maintaining Situational Awareness Throughout the Life Cycle of the Incident* provides details on this continuous assessment process.

Establishing Initial Incident Priorities

When senior officials establish priorities for the incident, a recommended approach is to articulate priorities based on the core capabilities described in the National Preparedness Goal (see Table 1). The core capabilities provide a standard list of the essential activities for preventing, protecting, mitigating, responding, and recovering. Framing incident priorities in terms of the core capabilities improves understanding through consistent titles, ensures that all the mission areas are considered, and helps to keep priorities focused strategically on desired outcomes.

Federal, State, tribal, and local deliberate plans may identify or suggest incident response priorities.

Clear initial priorities are important to establishing unity of effort early in the incident response process. When the members of the team clearly understand the intent behind instructions, they are equipped to act decisively and make better decisions. While many things vie for attention, especially in the immediate aftermath of a disaster, not everything

can be a priority. The axiom that if everything is a priority, then nothing is a priority clearly applies to incident management.

Table 1: Core Capabilities by Mission Area (from *National Preparedness Goal*, October 2011)

| Prevention | Protection | Mitigation | Response | Recovery |
|--|---|---|---|--|
| Planning | | | | |
| Public Information and Warning | | | | |
| Operational Coordination | | | | |
| Forensics and Attribution Intelligence and Information Sharing Interdiction and Disruption Screening, Search, and Detection | Access Control and Identity Verification Cybersecurity Intelligence and Information Sharing Interdiction and Disruption Physical Protective Measures Risk Management for Protection Programs and Activities Screening, Search, and Detection Supply Chain Integrity and Security | Community Resilience Long-term Vulnerability Reduction Risk and Disaster Resilience Assessment Threats and Hazard Identification | Critical Transportation Environmental Response/Health and Safety Fatality Management Services Infrastructure Systems Mass Care Services Mass Search and Rescue Operations On-scene Security and Protection Operational Communications Public and Private Services and Resources Public Health and Medical Services Situational Assessment | Economic Recovery Health and Social Services Housing Infrastructure Systems Natural and Cultural Resources |

Developing the Action Planning Team

Incident action planning requires a collaborative effort by all members of the FEMA IMAT and State partners. This collaboration must also include other key Federal, tribal, local, NGOs, and private sector partners. The incident action planning process fosters teamwork by promoting communication, cooperation, and coordination. All team members support and participate in team development, and the UCG provides the leadership to ensure success.

Initiating Incident Action Planning

The following sections describe actions for initiating a successful incident action planning process. A successful incident action planning process involves specific actions based on situational awareness and operational needs. Figure 3 depicts the steps for initial actions during an incident.

Conducting Incident Action Planning Meetings and Briefings

Group process is key to incident action planning, and it is important that the meetings and briefings are conducted effectively and efficiently. Guidance for conducting these meetings and briefings is provided in the FEMA Incident Management Handbook (IMH).

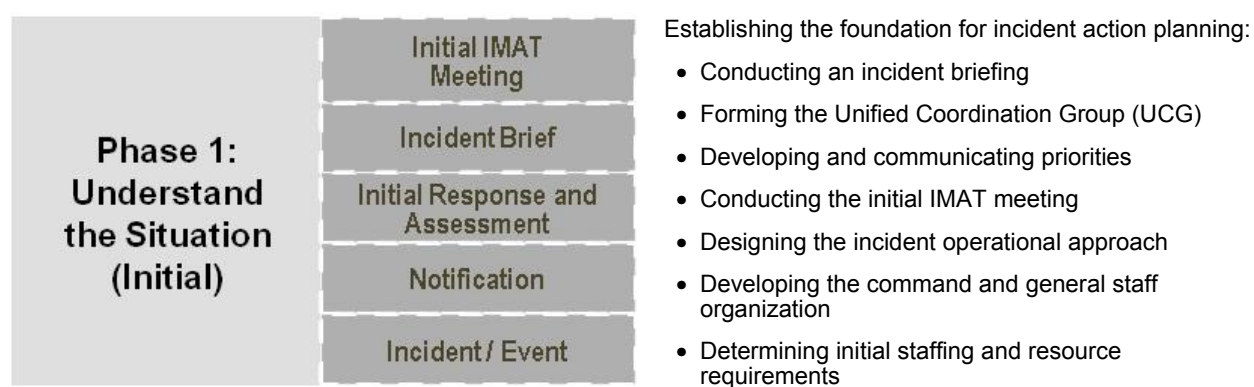


Figure 4: Phase 1 of the Incident Action Planning Process

Initial Incident Briefing

The RA (or designee) is responsible for providing the initial incident briefing to the FCO and the C&GS to prepare them for assuming control of the incident. An Incident Briefing (FEMA-ICS Form 201) can be used to present the information for this brief. The head of the Regional Response Coordination Staff (RRCS) is typically responsible for assisting the RA by collecting and presenting situational information to the FCO and C&GS, including the following:

- The situation
 - Boundaries and scope of the incident
 - Number of displaced survivors
 - Sheltering information
 - Critical infrastructure damage assessment, locations, and types
 - Status of communications and other utilities
 - Incident facilities, types, and location
 - Resources on hand, en route, and on order
 - State emergency management organization and facilities
 - Location of the initial operating facility (IOF)
 - Health-related concerns, including fatalities and injuries
 - Life-saving operations

- Arrangements for use of military resources (i.e., joint force command, etc.)
- The documentation
 - Stafford Act declaration (indicates counties/jurisdictions declared, categories of assistance authorized, and cost share), or interagency memorandum of understanding for non-Stafford Act incidents
 - Pertinent deliberate plans
 - Maps of the incident area
 - Preliminary damage assessment
 - Geospatial information systems (GIS) products and satellite imagery
 - Telephone numbers and e-mail addresses for RRCS, State officials, and State emergency operations center and other incident facilities

The work product from this briefing is the RA delegating the authority for incident management and the control of assigned Federal resources to the FCO in writing. The delegation of authority document includes detailed instructions (leader's intent) for the conduct of the incident management and the RA's priorities.

The initial incident briefing also results in the FCO and C&GS having the requisite situational information to make informed decisions, including information regarding constraints and limitations.

Forming the UCG

Following the initial incident briefing, the FCO typically begins efforts to establish the UCG, including contacting the SCO and jointly determining other UCG members. Once the UCG is formed, members discuss:

- Issues and concerns
- The integration of Federal, state other stakeholders in a single incident organization
- Joint incident action planning
- Logistical processes and resource ordering
- Joint information center requirements
- Roles and authorities

NOTE: see Chapter 3 of the IMH for guidance on this meeting.

Developing and Communicating Priorities

In forming the UCG, members jointly establish initial incident priorities based on priorities of the Governor, the RA, and other authorities as appropriate. Incident priorities inform the C&GS's actions and serve as focus items in the initial IMAT meeting. When communicating incident priorities to the staff, the UCG must give the necessary guidance to ensure that the staff understands the intent and context of the priorities.

As indicated above, incident priorities are developed based on the National Preparedness Goal core capabilities. These priorities help to establish the order of importance for incident objectives developed during Phase 2 of the incident action planning process.

Initial IMAT meeting

The purpose of the initial IMAT meeting is to ensure that incident management personnel understand UCG expectations. In this meeting, the C&GS leaders represent the rest of the IMAT.

The Planning Section Chief (PSC) facilitates the initial IMAT meeting; however, as the leader of Federal response efforts, the FCO is the primary presenter, explaining the UCG's intent and articulating expectations regarding team interaction, information sharing, and team processes for planning, decision making, coordination, and communication. The FCO describes the composition of the UCG and his/her plans for integrating other UCG members into the IMAT. The FCO outlines assumptions that the team will use if actual information is not available, as well as direction regarding the development of the organizational structure for the incident. The FCO also reiterates FEMA's commitment to use the ICS (per the National Incident Management System and the *Incident Management Handbook*). Furthermore, the FCO reiterates the expectation for communication and collaboration with Federal, State, tribal, and local government partners as well as NGOs and the private sector.

Next, the FCO, Operations Section Chief (OSC), or PSC describes the initial strategies proposed to address the initial priorities and how the initial strategies are to be accomplished. The PSC or FCO then announces the start time, duration of, and incident action planning meeting schedule for the first operational period.

The results from the initial IMAT meeting are as follows: (1) all IMAT members understand UCG expectations, guidance, and direction (leader's intent) for the incident and initial strategies; (2) C&GS has a clear understanding of direction and guidance to begin developing the organization; and (3) agreement is reached regarding the time and duration of the initial operational period and the incident action planning meeting schedule.

The work products from the initial IMAT meeting are as follows:

- A list of UCG priorities and strategies (for distribution to the C&GS and to be displayed in the IMAT meeting room).
- The incident planning cycle schedule (to be displayed in the IOF/Joint Field Office [JFO]).
- The Meeting Schedule (FEMA-ICS Form 230) for the first operational period or initial incident action planning cycle (typically published and displayed in the IOF or the JFO).

Establishing the Organization

Before an organization can be implemented, the incident area must be considered and a decision made as to whether to establish a functional or geographic organization for FEMA/State incident activities. That decision dictates the operational approach to the incident and the FEMA and State OSCs work together to decide on it.

The OSCs' goal is to design an ICS-compliant organization that meets leader's intent, the agency's mission, and the incident's needs. This decision has a significant effect on operational outcomes and the achievability of IAPs. It also impacts the Logistics Section, Planning Section, Finance/Administration Section, External Affairs–Community Relations, and Safety. The OSCs design the incident carefully, because once the organization is established it is difficult to change.

Organization Guidance

Level I and II incidents should be organized geographically, because the scale and complexity of a Level I or II incident would be difficult to encompass functionally. Level III incidents are typically organized functionally; however, they could be organized geographically if it occurs across a large enough geographic area. Level III incidents do not have branch director positions in the Operations Section unless required to maintain an appropriate span of control.

Geographic Organization Overview

On large, complex incidents that include many counties and jurisdictions, a *geographic* organization is most appropriate. This provides Federal, State, tribal, and local officials with a single point of contact for all incident operations in defined and manageable geographic areas (divisions). This permits the assignment of incident resources to these divisions so they can be coordinated with local officials and managed by a single division supervisor. A geographic organization may also provide a greater span of flexibility in control of an incident than a functional organization can provide. Geographic organizations actually include a combination of geographic branches/divisions, functional branches/groups, and operational branches/groups. Geographic branches/divisions include Operations branch directors and division supervisors. Functional branches/groups may include Individual Assistance (IA), Infrastructure/Public Assistance (PA), Long-Term Community Recovery (LTCR), and Hazard Mitigation (HM), and. Operational branches/groups may include emergency services, air operations, staging areas, and disaster emergency communications.

OSCs use a map of the State emergency management organization (showing the State's regions, districts, etc.) to determine branch and division boundaries. Geographic branches and divisions are most effective when they align with existing state and local jurisdictions and boundaries. This allows emergency managers at all levels of the incident to properly align their activities with one another.

Geographic and Functional Organizations

In a **geographic organization**, responsibility for managing the incident is divided into geographic units called divisions and, depending on the number of divisions, geographic branches.

- Geographic organizations are headed by division supervisors and geographic branch directors.
- Geographically organized incidents also include functional groups (XXGS) and/or branches (XXBD) for functions such as IA, PA, LTCR, and HM. These functional groups are essential for planning and managing programs and assigning resources to specific divisions and/or branches and operational branches/groups such as Air Operations and Staging Areas.
- Geographic elements plan and manage operational activities in their area but do not perform all incident management functions, do not replicated the ICS C&GS structure, and do not function as mini- or sub-JFOs.

Because a geographic organizational configuration also includes functional groups, it is actually a hybrid, geographic-functional organization, but is referred to as a geographic organization for simplicity.

In a **functional organization**, responsibility for incident management organized strictly by function without the establishment of geographical units. For FEMA, function generally refers to FEMA programs, e.g., IA, PA, LTCR, and HM.

A geographic organization structure refers to how resources are assigned to accomplish work assignments. Functional branches and/or groups are essential for planning and managing their programs and assigning resources to specific divisions and/or branches. The primary difference is that when resources are assigned to divisions or branches, they report to the division supervisor or branch director to whom they are assigned.

Divisions are determined first. Then branches are established based on the number required to maintain the recommended span of control of five branches per division. In determining the size of divisions, OSCs consider damage, complexity, transportation and communication issues, and the assistance requirements of a particular jurisdiction. This helps to frame whether a dedicated division supervisor is necessary for each jurisdiction or whether one division supervisor can coordinate multiple jurisdictions. The OSC presents his findings and recommendations to the FCO and SCO for approval.

Functional Organization Overview

Functional organizations are generally the most appropriate structure for Level III incidents. Incident functional resources are assigned to appropriate groups that are coordinated with

State and local officials and managed by a single group supervisor. Groups are typically organized by functional area, such as PA, IA, LTRC, and HM.

Develop C&GS Organizations

The C&GS and their State counterparts jointly develop their organizations based on leader's intent, the situation, and the needs of the incident.

To do this, they validate current situational information and analyze it regarding current conditions, damage assessment, scale of the incident, and resource status (i.e., availability of personnel, equipment supplies, and facilities). They also review any pertinent deliberate plans.

The C&GS and their State counterparts then coordinate closely with the OSCs to determine whether the proposed geographic or functional incident design will affect how other organizational elements are structured.

Ultimately, the OSC determines what facilities (disaster recovery centers, staging areas, operations field offices, aviation facilities, camps, fueling stations, etc.) are required to meet incident needs. The OSC then discusses findings and recommendations with the FCO and SCO, or designee, for approval.

Once approved, information regarding C&GS organizations is provided to the Planning Section for the GIS Unit to build the initial incident map and to the Resource Unit to develop the initial Incident Organization Chart (FEMA-ICS Form 207).

Develop Staffing and Resources Requirements

After developing incident design and organizational structures, the C&GS identify the resources needed to staff and support their organization and meet UCG priorities.

To determine resource requirements the C&GS and State counterparts consult with the Planning Section Resources Unit to identify resources currently assigned. The consultation also yields such details as the kind and type of each resource, current location and status, identifier if assigned, and supervisor's contact information. If a required resource is not currently available, the C&GS/State counterpart contacts the Logistics Section Ordering Unit to determine what resources have been ordered. Finally, if a required resource is neither currently available nor on order, the appropriate C&GS/State counterpart orders them through the established ordering processes. More detailed information on the resource ordering process can be found in Phase 3.

Importance of Providing Clear Guidance

Providing clear operational guidance is an essential element of command at all levels within the incident organization. It provides subordinates with information that defines, refines and/or places into context assignments or directives. It addresses constraints and limitations, establishes parameters, and assists in better identifying an expected outcome.

PHASE 2: ESTABLISH INCIDENT OBJECTIVES

During Phase 2 the UCG establishes incident objectives and provides the guidance necessary to achieve these objectives.

Incident objectives drive the incident organization as it conducts response, recovery, and mitigation activities. The UCG establishes these objectives based on incident priorities, informed by situational awareness, leader's intent, and delegations of authority.

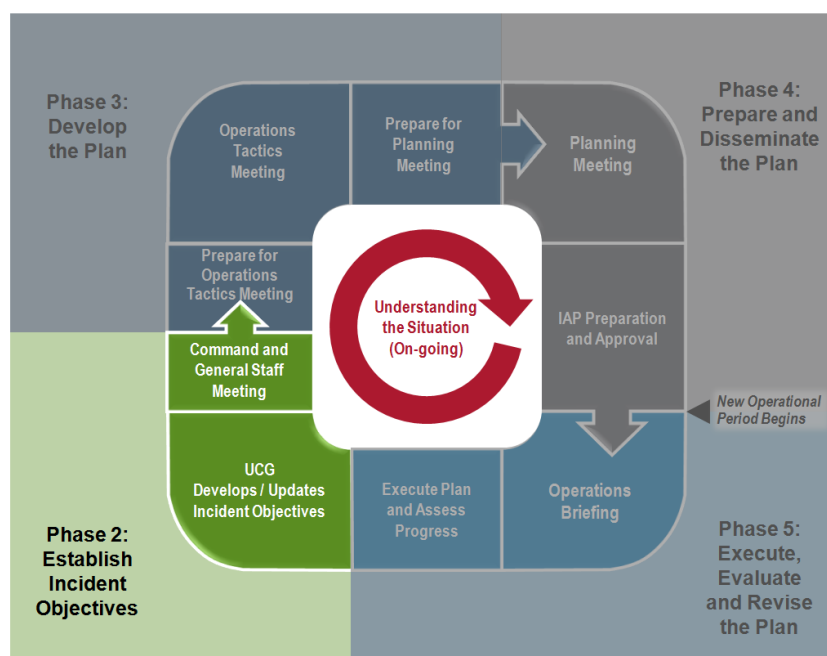


Figure 5: Phase 2 of the Incident Action Planning Process

Responsibilities

The UCG develops incident objectives and provides the guidance necessary for developing, resourcing, implementing, and evaluating the results of incident objectives. As the leader of Federal response efforts, the FCO is personally responsible for the development of incident objectives for FEMA. The C&GS often provide input to the UCG/FCO regarding incident status and operational requirements to support the development of incident objectives and the guidance to achieve them. **Planning Section** staff document the incident objectives on IAP Incident Objectives form (FEMA-ICS Form 202).

Priorities

Incident priorities initially established by leadership during Phase 1 are reviewed and modified as required during each operational period and help to clarify the order of importance of incident objectives. While incident objectives are based on requirements, priorities guide the allocation of resources to objectives. Although priorities help determine incident objectives, they are not listed on the IAP Incident Objectives (FEMA-ICS Form 202).

Senior leaders sometimes include non-operational priorities in their guidance. When this happens, these non-operational priorities are generally not addressed in the incident action planning process.

Incident Objectives

Management by objective is a key characteristic of NIMS and one which FEMA follows. Incident objectives, per NIMS are 'statements of guidance and direction necessary for the selection of appropriate strategies and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed'.

Good Incident Objectives:

- Are concise and stated in the form of a command
- Begin with an action verb (but not "continue" or "maintain")
- Provide "actionable guidance" for the Operations Section
- Address incident operations not administrative and internal support activities

Incident objectives must be flexible enough to allow for strategic and tactical alternatives. Incident objectives set guidance and strategic direction, but do not specify tactics. Incident objectives drive response and recovery activities. Simply stated, incident objectives answer the question of what must be accomplished. For example,

Install 200 temporary housing units in Wallace Borough by April 22, 2009.

In the initial stages of an incident response, objectives will often be quite general. For example,

Restore electrical service in Baldwin County.

is an acceptable incident objective in the immediate aftermath of a storm. As response work progresses, situational awareness improves, and resources status becomes clearer, objectives can become more specific, e.g.,

Clear emergency ingress and egress routes to Wright Beach¹ by October 1, 2011.

Incident objectives can be distinguished from tasks or work assignments by the fact that objectives do not answer the question who. Tasks/work assignments identify specific resources, specific locations, and must be accomplished within the operational period. Incident objectives, on the other hand, do not specify who will accomplish the action and are not necessarily to be achieved in the current operational period.

¹ Incident objectives often also answer the question of where the desired activity must be accomplished.

The UCG formulates incident objectives based on several factors: incident priorities and other direction from a higher authority, the situation, and members' professional judgment and experience. Incident objectives should be clear, measurable, achievable, and flexible. They include sufficient detail to ensure understanding, but are not be so prescriptive as to preclude innovation.

TABLE 2. PRIORITIES—OBJECTIVES—STRATEGIES—TACTICS, TASKS, WORK ASSIGNMENTS

| Guidance Element | Description | Developer | Examples |
|---------------------------|---|--|--|
| Priorities | Define the intent of leaders, in general terms, with regard to the most important things that must be accomplished. They are generally expressed in terms of the core capabilities defined in the National Preparedness Goal. | Initially established by the competent authorities, e.g., Governor, FEMA Administrator, FEMA Regional Administrator; subsequently reviewed and adjusted throughout the life cycle of an incident by the Unified Coordination Group | Mass Search and Rescue |
| Objectives | Define what must be accomplished to achieve the priorities and based on best knowledge of the current situation and the resources available | Unified Coordination Group | Locate any remaining trapped survivors in affected areas in Memphis by October 1. |
| Strategies | Carefully devised plans of action to achieve one or more objectives. Strategies describe what actions and resources are required in working to achieve the specific objective. | Operations Section Chief | Deploy FEMA USAR teams, EMAC search and rescue assets from Kentucky and Indiana, and Canadian search and rescue teams to work in a unified operation under the tactical control of Memphis Fire Services. |
| Tactics/ Tasks | Define how specific actions will be performed to achieve a planned outcome. Tactics specify who, what, where, and when in describing the deployment and direction of resources for implementing strategies to achieve incident objectives. Tactics/tasks/ work assignments are initially recorded on Operational Planning Worksheet (FEMA-ICSForm 215) and subsequently reflected on the Assignment Lists (FEMA-ICS Form 204) and included in the IAP for the given operational period. | Operations Section Chief | California Task Force-3 will report to Memphis Fire Station 19 at the corner of Chelsea and Boxwood Street at 0600 [of the operational period] with all equipment and support personnel to deploy and operate under the direction of Memphis Fire Services until 1800. Specific direction for the team will be provided by Memphis Fire Service officials. |

The following guidelines have been established ensure that incident objectives are handled consistently:

- Incident objectives are displayed on the Incident Objectives (FEMA-ICS Form 202). They are numbered sequentially from the beginning of the incident to its conclusion and are not renumbered for each operational period.

- Once achieved, incident objectives are not included on the Incident Objectives (FEMA-ICS Form 202) for subsequent IAPs.
- Incident objectives can be modified and maintain the same tracking number as long as the intent of the objective does not change.
- If an objective is modified, it is assigned a new sub-letter under the same objective number, and the old objective is retired. For example, if objective 2 is modified, it becomes 2a, and objective 2 is retired. If this objective is modified again, it becomes 2b, and 2a is retired.
- Incident objectives are prioritized by the UCG as operational period requirements dictate. Incident objectives are listed on the Incident Objectives (FEMA-ICS 202) in order of priority, regardless of their tracking number. The first listed objective is therefore the highest priority. The last listed objective is the lowest priority.

UCG Develops and Update Objectives

The UCG may meet before the C&GS meeting to review and, if necessary, revise incident priorities and determine the incident objectives for the next operational period. This meeting is often conducted informally and frequently includes the OSC and PSC.

The expected results of this meeting are:

- A common understanding among the UCG of the incident's issues and the key requirements of the response and recovery,
- Agreement regarding incident priorities and objectives for the next operational period,
- Recognition of constraints and limitations affecting accomplishment of incident objectives, and
- Operational guidance (for accomplishing incident objectives) that accounts for and mitigates identified limitations.

The work product from this meeting is a documented list of incident objectives.

The C&GS Meeting

The C&GS meeting is the opportunity for the UCG to meet with the staff to gather input or to provide immediate direction. It is also the opportunity for the UCG to articulate and approve incident objectives for the next operational period and to share important information regarding incident management.

The PSC facilitates this meeting. See Table 3 below for the meeting agenda. The UCG presents the priorities and incident objectives and articulates guidance on how incident operations should proceed. The participants review the incident objectives and discuss strategies for accomplishing the objectives.

Table 3: Agenda for the C&GS meeting

| Agenda Topic | Briefed By |
|--|------------------------------|
| Roll call and introduction of new participants and guests | PSC |
| Opening remarks | UCG |
| Present incident objectives for the upcoming operational period | PSC |
| Describe/update current situation | Situation Unit Leader (SITL) |
| Open discussion, including the following: <ul style="list-style-type: none"> • Current status and issues • Constraints, limitations, and shortfalls • Input needed to finalize the incident objectives and strategies | OSC Others – as needed |
| Establish precedence of incident objectives based on incident priorities | PSC |
| Outline of guidance to achieve objectives | UCG |
| Open discussion (optional) | PSC |
| Closing remarks | UCG |

PHASE 3: DEVELOP THE PLAN

Operational planning is a continuous process, but time-specific operational planning begins immediately following the C&GS meeting. The Operations Section develops strategies to meet incident objectives and tactics to accomplish the strategies. Operations Section staff match the work required to execute the tactics to resources to create work assignments which are documented on the Operational Planning Worksheets (FEMA-ICS 215). As work assignments are developed, the Safety Officer, Logistics Section Chief, Security Manager and others review the work assignments and provide input.

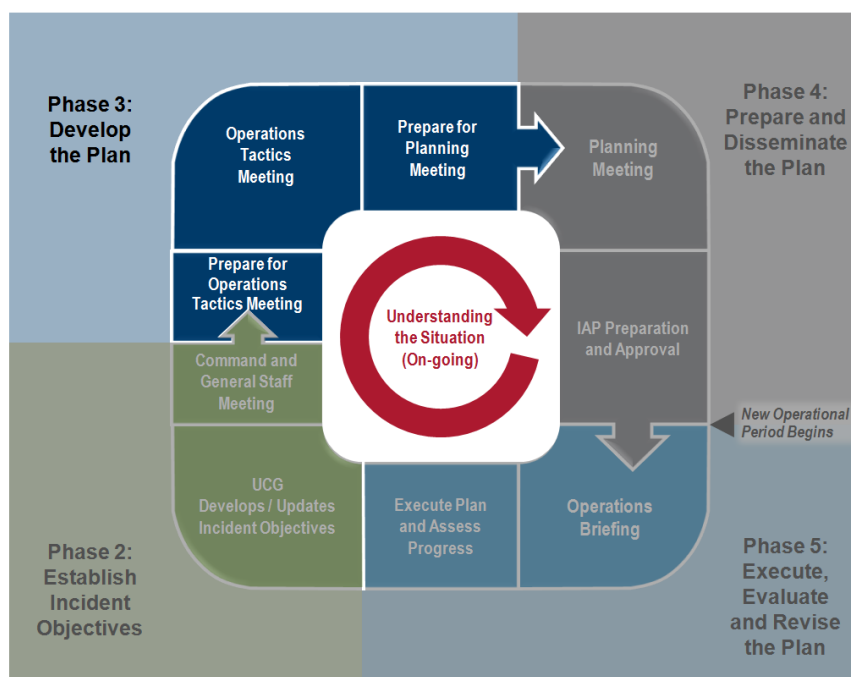


Figure 6: Phase 3 of the Incident Action Planning Process

Responsibilities for Operations Planning

The OSC has overall responsibility for operations planning. The OSC frequently delegates planning responsibilities to his/her primary staff based on the size, scope, complexity of the incident, and the particular FEMA programmatic expertise required. Responsibility for operations planning, however, should not be delegated to junior staff members who lack the standing or experience to make the required decisions or answer the questions that frequently arise. Primary responsibility for operations planning in FEMA incidents is not delegated to staff below the level of the following:

Table 4: Responsibilities for Operations Planning

| Responsibilities for Operations Planning | Incident Level | | |
|---|----------------|----|-----|
| | I | II | III |
| Deputy OSC with planning responsibilities | X | X | X |
| Assistant OSC with planning responsibilities | X | X | X |
| Deputy Branch Directors or Assistant Branch Director-Planning | X | X | |
| Functional Group Supervisors | | | X |
| Deputy External Affairs Officer-Community Relations Deputy with planning responsibilities | X | X | X |
| Assistant External Affairs Officer-Community Relations, Planning | X | X | X |

Strategies

Strategies are ways to achieve incident objectives. Strategies may be developed during all phases of an operation and by all elements involved in the operation and are not restricted to specific, short or long-term operational periods. Strategies describe what actions and resources are required to achieve specific objectives and are distinct from tactics, which address the conduct of specific operations. A strategy describes how things work; tactics describe what must be done. For example:

- **Strategy:** *Establish a mix of fixed and mobile disaster recovery centers (DRC) to provide easy access to FEMA programs for survivors at the following locations: [list of locations follow]*
- **Tactics:** *Identify when, where, and the type of DRC to be established.*

Determining Strategies

The process of developing strategies does not occur during a formal meeting. It is accomplished in the period between the C&GS meeting and the operations tactics meeting.

The Operations Section staff begins the process of developing strategies immediately when they receive the incident objectives for an operational period. The OSC develops strategies collaboratively with section staff and in consultation with others such as Logistics, Safety and Security personnel to ensure that the strategies are fully supportable. All strategies must be weighed against available resources, time and the probability of achieving the desired outcomes.

Strategy Development Tips

OSCs often hold an informal meeting with Operations Section staff members, who have operations planning responsibilities, to develop the operations strategies and to:

- Solicit broad input
- Ensure that staff understand and agree on the strategies developed
- Adjust strategies in consultation with branch directors and group supervisors

Good strategies:

- Are feasible, practical, suitable, and likely to achieve the desired outcome
- Meet acceptable safety norms
- Are cost effective
- Reflect sound environmental practices
- Consider political implications
- Address core capabilities

Strategies Inform the Development of Sound Tactics

Strategies are developed to accomplish the UCG's incident objectives and frame the development of tactics. Strategies must be complementary and able to be integrated into a single coordinated course of action. Effective strategies restrict the pool of possible tactics and help to ensure that tactical decisions do not conflict. Sound strategic planning takes into account dynamic situations, as well as constraints and limitations, in incidents.

Determining Tactics

Tactics define specific actions to be performed to achieve a planned outcome. Tactics specify who, what, where, and when for implementing strategies to achieve incident objectives. Tactics describe the deployment and direction of resources, based on the strategy to accomplish the incident objectives. Once the strategies have been developed, the operational planners identified in Table 4 are generally responsible for developing the tactics to implement the strategies taking into account constraints, limitations, and other considerations. Examples of considerations for determining resource requirements include what resources are available for the next operational period and whether any road closures or hazardous conditions may affect tactical implementation. Once the kind, type, and qualification of available resources are known and any constraints or limitations are identified, the tactical plan can be developed.

The following activities are used to develop the tactical plan:

1. Determine what has to be done to implement a strategy and what method(s) are likely to achieve success.
2. Develop a list of resources (personnel, teams, equipment, supplies, facilities) that are required.
3. Provide a list of resources available (this is done by the Resource Unit).
4. Compare the resources *required* with resources *available* and discuss the findings with the OSC prior to the operations tactics meeting.
5. Draft the tactical plan based on this analysis.

Additional personnel, supplies, services, and equipment required to implement the tactical plan are requested. This is done with the understanding that resources will usually not arrive in time to be applied in the next operational period.

Once that tactical plan has been developed and the requisite resources identified, Operations Section personnel select specific resources to perform specific work assignments. They then write work assignments for each resource and identify reporting locations.

Assigning Resources and Describing Work Assignments

Work assignments for resources that are not engaged in actual field operations are not included in the tactical plan unless the OSC determines that there is a compelling reason to do so. Operations Section personnel assigned to the incident, whose primary responsibility is

support rather than operations, are not included. Planning, administration, data entry, and report writing are examples of such resources and activities not included in the IAP.

Work assignments for the following operations leaders are not typically included: OSCs, geographic and functional branch directors, division and group supervisors.

Assign Resources to Operations Organizations According to Geographic Area or Functional Group

On FEMA incidents, functional operations resources and ESFs are initially assigned to a specific functional branch/group (IA, PA, LTCR, HM, ESF). Operations Section personnel consider requirements for each task and select the best resource. Representatives from the functional branches/groups and the primary agencies of the ESFs control their assigned resources when the incident is organized functionally.

On Level I and II incidents that are organized geographically, functional branches/groups assign their resources to geographical branches/divisions where the resources will be employed during the operational period. While assigned to a geographical branch/division these resources are under the supervision of the geographic branch director/division supervisor. Resources that are not so assigned remain under the supervision of the appropriate functional branch/group.

Those resources assigned to a geographic branch/division are under the supervision of the assigned branch director/division supervisor. That supervisor ensures that the work assignments prepared by the functional branches, groups, and ESFs are carried out as prescribed in the work assignment. Functional branches, groups, and ESFs may modify work assignments in coordination with the appropriate geographic branch director/division supervisor. Conversely, if changes are needed to meet State and local officials' concerns that affect functional resources assigned and their work assignments, the division supervisor consults with the geographic branch director, the appropriate functional branch director, the group supervisor, and the ESF lead.

If a resource will be assigned to more than one branch or division during a single operational period, a work assignment is prepared for each. If a particular resource will be doing multiple tasks in a single division, Operations Section personnel combine the work assignments on a single line on the Operational Planning Worksheet (FEMA ICS Form 215) and the appropriate Assignment List (FEMA ICS Form 204).

Also, when determining a reporting location, Operations Section personnel in a geographical organization refer to the incident map to determine to which branch and division the resource will be assigned. The incident map depicts the geographical boundaries of branches and divisions—boundaries that remain in effect throughout the life cycle of the incident. Branches and divisions can be combined when appropriate as work load diminishes. Combining branches and divisions means that multiple branches may be

assigned under a single branch director or multiple divisions are assigned under a single division supervisor. The branch/division boundaries and designators remain the same. For example, combining divisions A, B, and C under a single division supervisor would look the same on the map, but would identify the division as Division A, B, and C on the assignment list (FEMA ICS Form 204).

Write a Specific Work Assignment for Each Assigned Resource

The supervisor or person responsible for the implementation and completion of the work assignment should receive a sufficient amount of information for the implementation and completion of the assignment. This information should be clear and concise and include the following:

- Task to be accomplished
- Reporting time and location
- Level of effort required to accomplish the task
- Any special equipment required
- Logistical support needs
- Any contact information
- Any constraints or limitations

Identify the Reporting Location

The reporting location is where the assigned resource reports at the beginning of the operational period. This is not the branch, division, group, or ESF but the physical location to which the resource must report. Examples of reporting locations are:

- Address of the disaster recovery center
- Address or number of points of distribution for the delivery of commodities
- Location within a geographic and/or jurisdictional area for community relations (CR) activities
- Address and time for the PA applicants briefing
- Street address by the National Grid Reference System
- Rallying point

Sometimes a specific time for arrival may also be necessary as part of the work location. This could be a direction to *not* arrive before or after a certain time or a time frame in which the work assignment needs to be initiated. This information should be included with the reporting location when relevant.

Determine Logistical Support Needs to Complete the Assignment

Work assignments often require specific logistical support—requirements that the functional branches and groups are responsible for identifying. The Logistics Section receives these requirements and acts to meet them. Examples of such requirements are as follows:

- Needs for Individual Assistance mobile disaster recovery center #3:
 - Shade tent approximately 10x10 feet
 - Water for 200 people
 - 25 folding chairs
- Needs for Hazard Mitigation Community, Education, and Outreach Crew #1:
 - 1 folding table, 6 feet long
 - 5 folding chairs
- Needs for points of distribution #15:
 - 5 truckloads of water
 - 1 truckload of tarps
 - 2 truckloads of meals-ready-to-eat

Using the Operational Planning Worksheet (FEMA-ICS Form 215)

Developing the Operational Planning Worksheets (FEMA-ICS Form 215) is an essential part of the incident action planning process. The worksheets are particularly important to the success of response and recovery operations on larger incidents. The Operational Planning Worksheet (FEMA-ICS Form 215) aids Operations personnel in capturing their tactics and in identifying resource assignments prior to the operations tactics meeting. Reviewing these worksheets during the operations tactics meeting facilitates discussion and focuses on the review of tactics and resource assignments.

Functional operations branches/groups, ESFs, External Affairs (EA)–CR and geographic branches/divisions use the Operational Planning Worksheets (FEMA-ICS Form 215) to document the assignment of resources and supporting information as determined above. The worksheet is designed to capture work assignment information and to aid in both the operations review process and preparation of the IAP's Assignment Lists (FEMA-ICS Form 204). The figure below shows an Operational Planning Worksheet (FEMA-ICS Form 215). Instructions for completing the form follow.

| | | | | | | | | | |
|---|--------------------------|---------------------------|-------------------------------|---|---------------|---|--|--|--|
| FEMA-ICS Form 215 OPERATIONAL PLANNING WORKSHEET | | | | 1. Incident Name | | 2. Date Prepared Time Prepared | | 3. Operational Period (Date/Time) | |
| 4. Branch | 5. Division/Group | 6. Functional Area | 7. Resource Identifier | 8. Contact Name & Phone Number | 9. Qty | 10. Work Assignment | | 11. Reporting Location/ Date/Time | |
| | | | | | | | | | |
| | | | | | | | | | |
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| | | | | | | | | | |
| | | | | | | | | | |

Figure 7: Example of Operational Planning Worksheet (FEMA-ICS Form 215)

For each assigned resource, the following information is entered on the Operational Planning Worksheet (FEMA-ICS Form 215):

1. Include only resources that are either on-hand or that the Ordering Unit verifies have been ordered and will be on-hand for the assignment.
2. Enter the incident name in block 1.
3. Enter the date and time the form was prepared in block 2.
4. Enter the date and time for the operational period in block 3.
5. Enter the branch number in block 4.
 - If the resource is being assigned to a functional group, leave blank.
6. Enter division or group in block 5.
 - For a division, this will be a letter.
 - For a group, this will be an abbreviation or term such as IA, PA, HM, CR, Staging, or specific ESF.
7. Indicate a geographic or functional operations organization assignment in block 6, citing the following according to the level of the incident:
 - For Level I and II incidents involving a geographic branch, show the branch number (I, II, III, etc.) and division letter (A, B, C, etc.).
 - For Level I and II incidents involving a functional branch, cite the branch (IA, PA, HM, LTCR, etc.) and any operational branches/groups such as air operations, staging, and disaster emergency communications.
 - For Level III incidents, cite the functional group (IA, PA, LTCR, HM, etc.) and any operational groups such as air operations, staging, and disaster emergency communications.
8. Enter the resource identifier for the assigned resource in block 7.
 - Consult with the Planning Section's Resource Unit for resource identification information.

- When there are multiple resources of the same kind and type, ensure each resource has an individual resource identifier assigned (i.e. MDRC #3, CR Crew #3, etc.)
9. Enter the contact name and phone number for the resource in block 8.
 - Consult with the Planning Section's Resource Unit to identify the resource contact name and number.
 10. Enter the number of people or the quantity of the resource in block 9.
 - The number of people assigned to the resource (i.e. Crews, Task Force, etc.) or
 - The quantity of the resource (liters of water, number of meals ready to eat, number of tarps, etc.).
 11. Enter the work assignment in block 10.
 12. Enter the reporting location, time (as needed), and logistical needs in block 11.
 - For operational periods longer than one day, the date should be added if needed.

Once the draft worksheet is completed, it is transmitted electronically to the Resources Unit prior to the operations tactics meeting. The PSC and OSC negotiate the actual deadline, and the OSC is responsible for ensuring that the deadline is met.

The Resource Unit captures all Operational Planning Worksheets (FEMA-ICS Form 215) and prepares them for display, review, and editing at the operations tactics meeting.

The Operations Tactics Meeting

The purpose of this meeting is to review and finalize the draft Operational Planning Worksheets (FEMA-ICS Form 215). To accomplish this, the OSC leads participants in reviewing the work assignment drafts to determine whether they are complete and whether they support the incident objectives and strategies. Participants also identify gaps and duplication in work assignments and resolve any conflicts or coordination issues. Participants should also ensure that resources are identified correctly (resource identifier) and when there are multiple resources of the same kind and type, there is an individual identifier assigned. Participants also consider resource and logistical issues; and identify shortfalls, excesses, safety issues, and the accuracy of the incident map.

Participants in the operations tactics meeting include functional branch directors (or designee for branch planning); functional group supervisors (when no branch director is assigned); ESF leads; the CR lead or designee for CR Operations Planning; the geographic branch director (operations branch directors) and division supervisors (if requested by the OSC); the Resource Unit Leader (RESL); the Logistics Section Chief (LSC); and the Safety Officer (SOFR) and Liaison Officer (LOFR). The following may also attend: the Security Manager, the Finance/Administration Section Chief; the EA Officer; the PSC; and the Situation Unit Leader.

Informational items available at the operations tactics meeting, supplied by the Planning Section, include the list of current incident objectives, a large incident map, a list of

operational resources (including the unassigned resources available for assignment), and displays of any other information pertinent to the meeting.

Table 5: Agenda for the Operations Tactics Meeting

| Agenda Topic | Briefed By |
|--|-------------------------------|
| Review established incident objectives | OSC |
| Review, discuss, and concur on draft work assignments (Operational Planning Worksheets (FEMA-ICS 215)) | OSC |
| Ensure Resources Identifiers are correctly assigned | OSC |
| Identify resource shortfalls and excesses | Resources Unit Leader |
| Identify the logistical needs of the work assignments | Logistics Section Chief |
| Discuss and address the safety issues of the work assignments | Safety Officer |
| Consider the limitations and needs of ESF support | Liaison Officer |
| Approve the Operational Planning Worksheets (FEMA ICS-215) | OSC |
| Update the incident map | OSC & Logistics Section Chief |
| Discuss other topics as needed | OSC |

At the conclusion of the meeting, the Resources Unit collects copies of the approved Operational Planning Worksheets (FEMA-ICS 215). Copies of the approved FEMA-ICS Form 215s are submitted to the Planning Section Documentation Unit.

PHASE 4: PREPARE AND DISSEMINATE THE PLAN

Phase 4 begins when the Planning Section receives the approved Operational Planning Worksheets (FEMA-ICS Form 215) from the Operations Section at the conclusion of the operations tactics meeting. It ends with the IAP being approved at the planning meeting and signed by the UCG. The Planning Section (Planning Support Unit Leader) is responsible for completing the appropriate IAP forms and assembling the IAP. Other sections contribute key information and supporting documents.

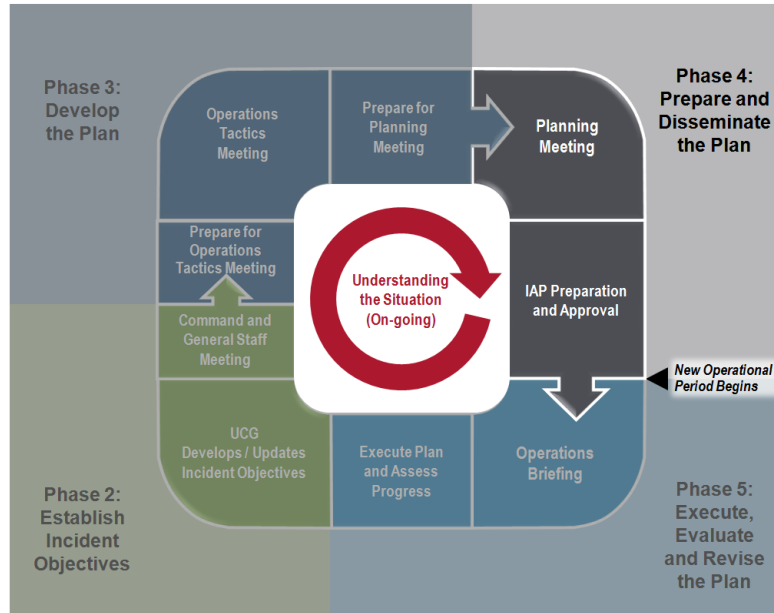


Figure 8: Phase 4 of the Incident Action Planning Process

At the end of this phase, a draft IAP has been approved by the UCG. The items that comprise the IAP are listed in Table 6, below, along with pertinent information on each item.

Table 6: IAP Components and Sequence of Assembly

| Order | Form (FEMA-ICS Form) | Title | Required | Prepared by |
|-------|----------------------------|--|--------------------------------------|------------------------------|
| 1 | 200 | Cover Sheet | Always | Planning Support Unit Leader |
| 2 | 202 | Incident Objectives | Always | SITL |
| 3 | 205 | Incident Radio Communications Plan | As the incident requires – Radio Use | Communications Unit Leader |
| 4 | 205A | Incident Telephone Communications Plan | Always | Resource Unit Leader |
| 5 | 207 | Incident Organization Chart | Always | Resource Unit Leader |
| 6 | | Incident Map | Always | SITL/GIS Unit Leader |
| 7 | 204 | Assignment List | Always | Resource Unit Leader |
| 8 | 220 | Air Operations Summary | As the incident requires - Air Ops | OSC/Air Operations Branch |
| 9 | 206 | Medical Plan | Always | Safety Officer |
| 10 | 230 | Meeting Schedule | Always | SITL |
| 11 | 213 | General Message | Optional | Any Message Originator |
| 12 | Other components as needed | | Optional | Planning Support |

Planning Section Responsibilities

This section is responsible for collecting the various components of the IAP and compiling them during the time between the operations tactics meeting and the planning meeting.

Planning Section Chief

The PSC is responsible for producing the draft IAP. He/she will also track any changes made to the draft IAP during the final review and approval process.

- ***Overseeing the IAP's Preparation*** - The PSC oversees the preparation and assembling of the draft IAP to ensure that it is completed in time to be presented at the planning meeting. The PSC ensures the quality and completeness of the IAP which includes coordinating with other sections and functions. The PSC adjudicates requests to add items to the IAP.
- ***Reviewing the Assembled Draft*** - The PSC schedules time with the OSC to review the IAP prior to the planning meeting.
- ***Facilitating the Planning Meeting*** - The PSC is responsible for scheduling, managing, and facilitating the planning meeting. (See the planning meeting section below.)
- ***Ensuring the IAP is Approved*** - While all players in the incident action planning process contribute to the success of the plan, the PSC is responsible for obtaining the UCG's approval for the IAP.

Resources Unit

The Resources Unit is responsible for preparing a number of forms that are key to the IAP. Those forms include the following:

Assignment List (FEMA-ICS Form 204)

The Planning Section prepares the Assignment Lists (FEMA-ICS 204) using data the Operations Section provided on the Operational Planning Worksheets (FEMA-ICS Form 215). It is the heart of the IAP and must be organized in a way that enables staff to clearly understand their work assignments. The Assignment List is prepared in accordance with the following guidance:

TABLE 7 ASSIGNMENT LISTS DOS AND DON'TS

| DO's | Don'ts |
|--|--|
| <ul style="list-style-type: none"> Sequence the Assignment Lists (FEMA-ICS Form 204) according to the organization chart for the Operations Section (e.g., Branch I and Divisions A through G, followed by Branch II and Divisions H through N, followed by IA Branch and Groups, PA Branch and Groups, HM Branch and Groups, etc.) If the incident is organized geographically, organize the Assignment Lists (FEMA-ICS 204) geographically; if the incident is organized functionally, organize the Assignment Lists (FEMA-ICS 204) functionally. List all resources working in a particular division on that division's Assignment List (FEMA-ICS Form 204). Specify exactly which resource (individual, task force, team, crew, or squad with a designation number or other specific nomenclature) is responsible for each work assignment. Ensure that names, contact numbers, and resource identifiers are correct. | <ul style="list-style-type: none"> Do not modify the form or use a modified form. Do not include work assignments for positions that are not engaged in field operations. Do not include work assignments for OSCs, geographic and functional program branch directors, division supervisors, and managers assigned in the JFO on the Assignment List (FEMA-ICS Form 204). Do not include objective numbers on the work assignment. Do not include more than one work assignment line for an individual, task force, team or crew on the Assignment List (FEMA-ICS Form 204) for any particular division. A particular individual, task force, team, or crew may, however, be assigned to more than one division Assignment List (FEMA-ICS Form 204) when assigned to work locations in other divisions. Combine multiple work assignments and display them on one assignment line. Do not leave blocks blank. Where information for a block is not available, use placeholders ("TBD," "N/A," or "UNK") to indicate that the topic of the block has been addressed. |

Incident Telephone Communications Plan (FEMA-ICS Form 205A)

The Incident Telephone Communications Plan (FEMA-ICS 205a) is a telephone contact list of key staff and staff agencies (FEMA, State, other Federal agencies, etc.). The Resource Unit prepares and maintains this plan.

Important considerations when preparing the Incident Telephone Communications Plan (FEMA-ICS Form 205A) are as follows:

- For Level I and II incidents, include only positions at (i.e., personnel assigned to) the division/group supervisor and unit leaders levels and above.
- Ensure that the information on the plan is consistent with the information on the Incident Organization Chart (FEMA-ICS Form 207).
- Ensure that contact numbers listed for FCO, SCO, and other key staff are desk phone numbers for their administrative assistants. Do not list personal cell phone numbers for any staff members.

Incident Organization Chart (FEMA-ICS Form 207)

Organization charts are important to inform staff not only how the staff is organized, but also what positions are filled, and who is assigned to key positions. On Level I and II incidents, the Incident Organization Charts (FEMA-ICS Form 207) include positions/personnel assigned as unit leaders, group/division supervisors, managers (where appropriate), and above. The *Incident Management Handbook* (IMH) provides guidance for displaying appropriate incident organizations. The Incident Organization Chart (FEMA-ICS Form 207) should accurately reflect the organization.

The Planning Section prepares and maintains the Incident Organization Chart (FEMA-ICS Form 207), using the following important considerations:

- Include geographic branch director(s) and divisions on incidents that are organized geographically. Use program branches (IA, PA, LTCR, and HM), Air Operations Branch, Long Term Community Recovery Branch, etc. when applicable. (See IMH, Chapter 5, Operations Section).
- Include the major components of the C&GS organization on the organization chart. Also include FEMA program areas when they are assigned, which are typically organized and displayed as branches but may be displayed as groups on smaller incidents.
- Display the organization on the organization chart according to the general incident organization structure in the IMH.
- Show deputy positions box in the same box as the primary position. Deputies do not have separate organizations under them. If there is a need for additional positions to accommodate span of control, assign assistants.
- Ensure that position titles and names on the organization chart are consistent with the position titles and names on the Incident Telephone Communications Plan (FEMA-ICS Form 205a) and throughout the IAP.
- On Level I and II incidents, include only division/group supervisor and unit leader positions and above on general staff organization charts. Include only managers/advisors and above on command staff organization charts.
- For Level I and II incidents, include no more than two organization charts in the IAP (typically one for C&GS organization and one for the Operations Section).
- For Level III incidents, include all the positions/names of the whole organization on the organization chart.

Situation Unit

The Situation Unit is responsible for the preparing the Incident Objectives (FEMA-ICS Form 202), Meeting Schedule (FEMA-ICS Form 230), and coordinating the development of the Incident Map with the GIS Unit. The Situation Unit Leader (SITL) also delivers the situation briefings at the C&GS meeting, the planning meeting and may brief at the operations briefing. The SITL also develops and maintains other key information items, including maps and situational displays that are typically posted in the planning meeting room.

Incident Objectives (FEMA-ICS Form 202)

The first page of the IAP (after the cover sheet) is the Incident Objectives (FEMA-ICS Form 202). In addition to the objectives, this page also provides weather and safety information.

Important considerations when preparing the Incident Objectives (FEMA-ICS Form 202) form include the following:

- Include only incident objectives in Block 5.
- Number objectives sequentially from the beginning of the incident; do not renumber objectives for each operational period.
- List the incident objectives in order of priority regardless of their tracking number.
- Cross out or remove incident objectives that have been achieved.
- Do not include items of guidance labeled “goals,” “priorities” or “incident priorities.”
- Focus the weather message on weather predicted for the operational period that may affect operations.
- Focus the safety message on information that is relevant and actionable for field personnel.

Meeting Schedule (FEMA-ICS Form 230)

The Meeting Schedule (FEMA-ICS Form 230) describes the important incident meetings that will take place during the operational period and indicates where and when they will be held. The schedule also describes the purpose of the meetings. There is some discretion with regard to what meeting are listed on the schedule, incident action planning meetings and briefings are always included. The meeting schedule helps to ensure that other meetings do not conflict with incident action planning meetings.

Important considerations when preparing the Meeting Schedule (FEMA-ICS Form 230) include the following:

- List and conduct the following for each operational period: C&GS meeting, operations tactics meeting, planning meeting, and operations briefing.
- Use common terminology, as identified in the *Incident Management Handbook*, to describe all meetings and briefings. (Refer to IMH Chapter 9 for further guidance.)
- Do not include items on the schedule that are not meetings or briefings.

Incident Map

The incident map is an essential IAP component that identifies key incident facilities and operational boundaries. The Situation Unit provides information and coordinates with the GIS Unit to produce the map. The OSC is responsible for ensuring that map content is current and appropriate.

Important considerations when preparing the incident map include the following:

- Include the following on the incident map:
 - Scale
 - True north
 - Date and time
 - Legend
 - Incident organization boundaries (branches and/or divisions, etc.)
 - Key facilities
 - Camps
- Use naming conventions and map symbols as shown in Appendix B.
- Produce the map in black and white to facilitate reproduction.
- Additional, special purpose maps may also be attached to the IAP (e.g., DRC map)

IAP Cover Sheet

The IAP cover sheet provides specific information about the IAP and the incident IAP cover sheets must be consistent with and reflect FEMA standards. Logos may be used on cover sheets for FEMA, the State, and other UCG member organizations, and must be produced in black and white. IAP cover sheets must contain the following information:

- Title (e.g., Joint Incident Action Plan)
- Plan number (the first IAP completed is 01; subsequent IAPs are numbered sequentially.)
- Incident name that identifies the nature of the disaster (e.g., severe storms)
- Declaration numbers for Stafford Act incidents and for any State or other UCG organization declarations
- JFO/IOF address with U.S. National Grid coordinates
- Operational period (date and time)
- Signature blocks for the SCO, FCO, and any other UCG members

Safety Officer Responsibilities

The Safety Officer is responsible for developing the general safety message on FEMA-ICS 202, Safety Analysis (FEMA-ICS Form 215A), and the Medical Plan (FEMA-ICS Form 206).

General Safety Message on FEMA-ICS Form 202

The Safety Officer prepares the general safety message to be included on the Incident Objectives page (FEMA-ICS Form 202) for each IAP. The message focuses on information that is relevant and actionable to field personnel for operations during the operational period. The message may be changed for each operational period based on conditions.

Medical Plan (FEMA-ICS Form 206)

The Medical Plan (FEMA-ICS Form 206) is key to the welfare of incident personnel and is included in all IAPs. The Medical Plan (FEMA-ICS Form 206) provides important information

on medical emergency procedures and the locations and phone numbers of medical aid facilities, emergency medical transportation, and hospitals in the incident area.

Important considerations when preparing the Medical Plan (FEMA-ICS Form 206) are as follows:

- List urgent care and hospital emergency rooms as well as incident aid stations established at the JFO and incident camps in block 5, “Incident Medical Aid Stations.”
- Indicate the emergency phone number in block 6, “Transportation.”
- If an ambulance is assigned to the incident, include the location and phone number in block 6.
- List in block 7, “Hospitals,” not only the facility that normally services the main JFO but also the hospitals located throughout the incident area. (Typically those selected have emergency room capability.)
- Include sufficient information in block 8, “Emergency Medical Procedures,” to enable incident employees to know what to do and whom to notify in the case of a medical emergency.

Safety Analysis (FEMA-ICS Form 215a)

The Safety Officer reviews the Operational Planning Worksheets (FEMA-ICS 215) and develops the Safety Analysis (FEMA-ICS 215a) in coordination with Operations Section staff as they develop the worksheets. The Safety Analysis (FEMA-ICS 215a) contains the results of a systematic analysis of risks associated with each work assignment. This analysis assists Operations Section personnel in altering tactics, if necessary, to promote the safety of the field personnel. If this alters the work assignments or the resources required, the Safety Officer confers with the OSC and the PSC so that the Assignment List (FEMA-ICS 204) can be adjusted.

Planning Support Unit

The Planning Support Unit compiles the completed ICS forms for the IAP, prepares the IAP cover sheet, and performs a quality control check on the IAP.

General Staff

The Logistics Section and the Operations Section’s Air Operation Branch are responsible for preparing and maintaining certain components of the IAP.

Logistics Section

On incidents where radio communications are used, this section is responsible for preparing the Incident Radio Communications Plan (FEMA-ICS 205) and the traffic plan.

Incident Radio Communications Plan (FEMA-ICS Form 205)

The Communications Unit in the Logistics Section prepares the Incident Radio Communications Plan (FEMA-ICS Form 205) when radios are a significant part of operational

communications to provide specific incident radio frequency assignments for the operational period. The Plan should identify all assigned radio frequencies, trunked radio systems, and talk group assignments for the operation elements identified on the Incident Organization Chart (FEMA-ICS Form 207) and the Incident Organization Assignment List (FEMA-ICS 203).

Traffic Plan

The traffic plan is included in the IAP, when required, but does not have an ICS Form number. The Ground Support Unit prepares the traffic plan when incident personnel must be informed of special traffic requirements, including required routes of travel, missing directional signage on incident transportation routes, and special driving conditions.

Air Operations Branch (Operations Section)

Air Operations Summary (FEMA-ICS Form 220)

When the Air Operations Branch is activated, it prepares the Air Operations Summary (FEMA-ICS Form 220) to be included in the IAP.

Additional Items to the IAP

Additional items may be attached to the IAP on a case-by-case basis with the concurrence of the OSC and PSC.

The Planning Meeting

The Planning Meeting is facilitated by the PSC. The purpose of the meeting is to approve the IAP for the next operational period. The meeting provides the opportunity for the C&GS, as well as other incident management personnel, agency officials, and cooperating/assisting agencies and organizations to discuss and resolve any outstanding issues before assembling the IAP. After the review has been completed and updates have been made, C&GS affirm their commitment to support the plan.

Table 8: Agenda Items for the Planning Meeting

| Agenda Topic | Briefed By |
|---|------------|
| Review agenda | PSC |
| Provide opening remarks | UCG |
| Provide briefing on current situation and national implications | SITL |
| Review incident objectives | PSC |
| Present and review the draft Assignment Lists (FEMA-ICS Form 204) | OSC |
| Ensure that the draft operational plan meets incident objectives | PSC |
| Review any open actions/tasks | PSC |
| Solicit feedback from the C&GS | PSC |
| Obtain commitment from the C&GS to support the plan | PSC |
| Obtain the UCG's approval of the IAP | PSC |
| Final comments and direction | UCG |

In the planning meeting, the OSC elaborates, as necessary, on the strategy and tactics to be employed during the operational period.

Situational Briefing at the Planning Meeting

The Situation Unit Leader (SITL) is responsible for preparing and presenting the situational briefing at the planning meeting. The situational briefing is a concise presentation that updates the UCG and C&GS on the current situation. The PSC and the SITL consult with the OSC in preparing this briefing.

After the Planning Meeting

The PSC is responsible for making changes to the IAP that were agreed upon during the planning meeting. The PSC does this by directing the Planning Support Unit to make all necessary changes. The PSC also ensures that the final IAP is signed by the appropriate members of the UCG.

Printing and Distributing the IAP

Once the IAP has been approved by the UCG, it is ready to be printed and distributed. This is the responsibility of the PSC. The Planning Support Unit reproduces the IAP and distributes it in several ways. The unit typically provides the IAP in hard copy to the UCG and members of the C&GS. The Documentation Unit also distributes the IAP electronically by attaching it to e-mails and posting it to portals such as the Homeland Security Information Network, the JFO common drive, and the FEMA (Electronic) Bulletin Board.

The target audience for the IAP is branch directors, division and group supervisors, task force leaders, team leaders, crew bosses, squad leaders, and incident support staff. Field supervisors are responsible for distributing the IAP to their staff.

PHASE 5: EXECUTE, EVALUATE, AND REVISE THE PLAN

Phase 5 begins with the operations briefing and continues as the the IAP is executed, evaluated in preparation for it to be revised during the next operational period.

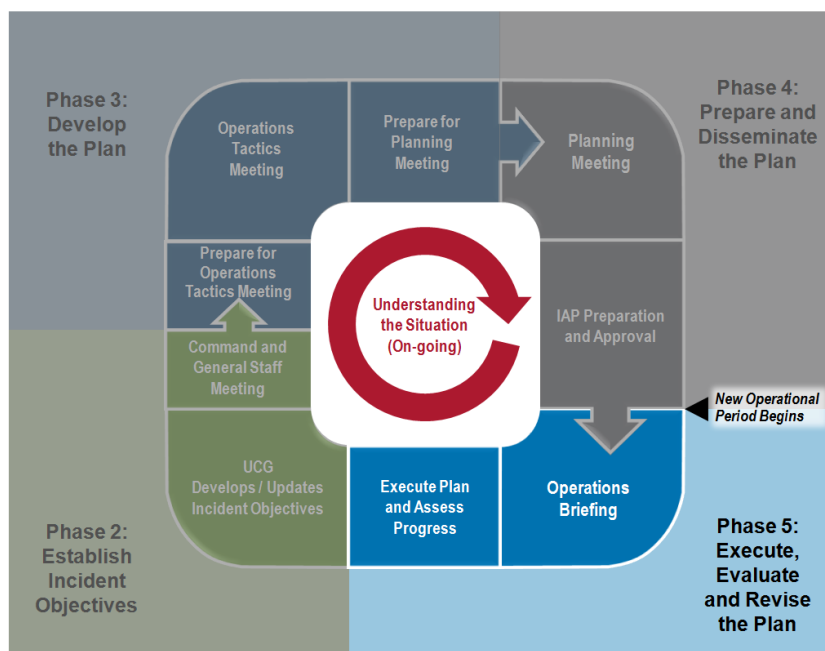


Figure 9: Phase 5 in the Incident Action Planning Process

Operations Briefing

The OSC conducts the operations briefing before each operational period begins, ensuring that those who need the information have access. The purpose is to roll out the IAP for the upcoming operational period. The OSC may adjust work assignments or resource allocations during the briefing.

Table 8: Template Agenda for Operations Briefing

| Agenda Topic | Briefed By |
|--|----------------------------|
| Review incident objectives | OSC |
| Review weather conditions and forecast | SITL |
| Present the current situation | OSC/SITL |
| Brief operations field personnel | OSC |
| Communications | Communications Unit Leader |
| Logistics | Logistics Section Chief |
| Safety | Safety Officer |
| Finance | Finance Section Chief |
| Other items | Technical Specialists |

C&GS members receive the briefing if they are supporting field personnel identified in the IAP. Attendees also include branch directors, division/group supervisors, and others as needed.

Once the IAP has been distributed and the operations briefing has been held, the IAP is executed. As field personnel perform their work assignments, supervisors assess the progress and the effectiveness of the work. This assessment often requires field visits to observe progress. Individuals, crews, and task forces inform their supervisors of the status of assignments. The Operations Section personnel, in turn, keep the Planning Situation Unit apprised.

Changes are often required to reassign resources or modify work assignments during the operational period. These changes must be communicated to the OSC through the branch directors, division supervisors, and group supervisors. The OSC, in turn, communicates the changes to the Planning Section.

Why is an IAP useful to incident personnel?

- It gives staff the clear objectives of State and Federal leaders. Staff validate that their actions are in support of those objectives and tailor their efforts to support them.
- It shows how individual fit in the organization.
- It provides an roadmap of all operations during an operational period to help individuals understand how their efforts affect the success of the operation.
- It clearly identifies work assignments to be accomplished.
- It provides a tool to communicate what *your* organization is doing to ensure that it is properly supported
- It provides a tool for staff so they can best synchronize and deconflict their efforts by showing what the entire operation is doing
- It provides a schedule of the key events during operational periods.
- It provides key information about safety, provides phone numbers of key staff, and graphically represents the incident area.

Assess Progress and Effectiveness

During supervisory visits, field personnel also provide their own assessments of their effectiveness during the operational period. Such personnel provide these assessments through their supervisors to Operations, who pass updated information to the Planning Section Situation Unit. If field personnel do not do this during each operational period—and the Situation Unit does not provide a method to gather field input—then the effectiveness of the next IAP may be compromised. Accurate assessment of what was accomplished during the operational period is required to inform situation reporting and planning for the next operational period.

ENDING INCIDENT ACTION PLANNING

As an incident progresses and a steady operational tempo is achieved, the UCG should consider ending incident action planning. No set rules exist on when to stop developing IAPs. This decision lies with the FCO and the UCG. The following criteria may be helpful.

Consider halting incident action planning when:

- Response activities have ended
- There is no remaining threat to life or property
- The work occurring in the JFO is primarily programmatic.
- The preponderance of effort in the Planning Section is focused on *reporting* rather than *planning*.
- All ESF resources except staff have been demobilized.
- Operations are being conducted under a Recovery Support Function (RSF) organization.
- The operational period is longer than six days.
- Most Planning Section efforts are focused on reporting rather than planning
- A Recovery Support Strategy is in place and being executed.
- The transition from a JFO and a standard ICS structure to a National Disaster Recovery Framework structure is underway or complete.

APPENDIX A: HOW TO DEVELOP INCIDENT OBJECTIVES

Incident objectives are the focal point for conducting all response and recovery activities. They represent the Unified Coordination Group's (UCG) intent for the conduct of the incident. Writing good incident objectives can be as challenging as it is important. The following basic rules may be helpful.

Good incident objectives are formulated based on the following:

- I. Incident priorities
 - a. What are the most important things that need to be done?
 - b. What core capabilities are involved?
- II. Direction from a higher authority (leaders' intent):
 - a. Memo, letter, or verbal direction from a competent State or Federal authority
 - i. Governor's guidance for Stafford Act incidents
 - ii. Delegation of authority (from the Regional Administrator to the FCO, for example)
 1. Limitations and restrictions
 2. Political considerations
 3. Specific instructions or requirements
 - iii. Agency administrator briefing
- III. An understanding of the situation, including the following:
 - a. Incident level, location, complexity and scope
 - b. Incident requirements
 - c. Kind, type, number of available resources
 - d. Constraints and limitations
 - e. Environmental conditions
 - f. Complexity analysis
 - g. Disaster declaration
 - h. Preparedness (deliberate) plans
 - i. Existing agency agreements
- IV. Professional judgment and experience of the participants

Incident Objectives should be developed and written with the following characteristics:

- I. They should reflect the consensus of the UCG.
- II. They should provide actionable guidance for operations and operational support activities.
- III. They should give enough detail—clear, measureable, achievable, and flexible—to ensure understanding, but do not micromanage.

- a. Clear – The wording is precise and unambiguous and ensures that the objective is distinct from the other objectives and complete in its description.
 - b. Measurable – The design and statement make it possible to conduct a final accounting as to whether the objective has been achieved.
 - c. Achievable – An objective must be able to be completed. If an objective cannot be completed within a reasonable time frame with resources available, then it is not a viable objective. Also, objectives must be achievable with available resources.
 - d. Flexible – The objective must be broad enough to allow for field improvisation as required by actual conditions.
- IV. Incident objectives will often be quite general in the initial stages of an incident response, and will increase in specificity as situational awareness and resource status knowledge increases.
- V. Objectives are consistent in how they are identified, displayed and numbered.
 - a. Display only incident objectives—no priorities or strategies—on the Incident Objectives (FEMA-ICS Form 202).
 - b. Number objectives sequentially from the beginning of the incident to its conclusion.
 - c. Do not renumber objectives. The objective will retain that specific number until the objective is accomplished, when that number and objective is retired and archived.
 - d. Either cross out or remove from the Incident Objectives (FEMA-ICS Form 202) numbered incident objectives that have been achieved for the current IAP.
 - e. Modify incident objectives slightly, if need be, if they can maintain the same intent. A slightly modified objective will retain its original tracking number. If an objective is heavily modified, it is assigned a new sub-letter under the same objective number, and the old objective is retired. For example, if objective 2 is modified, it becomes 2a, and objective 2 is retired. If it is modified again, the objective becomes 2b, and 2a is retired.
- VI. They should be prioritized by urgency, operational period requirements and specific direction from the UCG.
 - a. List the incident objectives in order of priority, regardless of their tracking number on the Incident Objectives (FEMA-ICS Form 202). The first listed objective is the highest priority. The last listed objective is the lowest priority.
 - b. Let priorities guide the address of objectives. “While objectives must be based on requirements,” the Incident Management and Support Keystone states, “the status in which they must be addressed is guided by priorities.”
- VII. They are not so tightly written that they become tasks/work assignments.
 - a. Objectives should clearly identify what needs to be done and generally where it needs to be done.
 - b. Objectives should not describe methods or resources for achieving the required result (strategies), nor the specifics of how each strategy should be accomplished (tactics).

The first step in developing good incident objectives is to understand incident priorities

- I. Priorities define overarching requirements; what to accomplish in order of importance.
- II. Objectives must be based on incident priorities.
- III. The priorities guide the precedence by which objectives are addressed.
- IV. Initial priorities may be driven in part by the delegations of authority.
- V. Every incident always has its priorities. Priorities should be built based on the whole community core capabilities.

The next step is to develop the incident objectives

- I. Frame the problem; what are the essential elements of the issue to be addressed.
- II. Use the objective to describe what is to be accomplished.
 - a. What and where, if possible; but not how or by whom
- III. Provide enough detail to make the objective meaningful.
- IV. Allow the necessary flexibility
 - a. Do not “go tactical...”
 - b. Ensure that the objective and its results can be used as a metric.
- V. Ask, “Is the objective attainable?”
 - a. Determine whether the objective can be met with available resources
- VI. Ask, finally, “What is the objective’s priority when compared to other identified issues?”
 - a. Order the objectives based on the order of priority/urgency

What are some good verbs to use when writing incident objectives?

- | | | |
|-------------|-------------|--------------|
| • Augment | • Implement | • Dispose of |
| • Determine | • Complete | • Provide |
| • Finalize | • Devise | • Deliver |
| • Carry out | • Pre-stage | • Execute |
| • Develop | • Conduct | |

What verbs should be avoided?

- | | | |
|-----------|-------------|-------------------|
| • Assess | • Continue | • Coordinate with |
| • Monitor | • Work with | |

What functional areas should incident objectives focus on?

- | | | |
|--------------------|---------------------|------------------------------|
| • Communications | • Search and rescue | • Public safety and health |
| • Fuel resupply | • Decontamination | • Emergency medical services |
| • Mortuary affairs | • Law enforcement | • Mass Care |
| • Public messaging | • Planning support | |

- Power
- Registration assistance
- Temporary housing
- Evacuation and re-entry
- Mitigation support
- Public assistance support
- Route clearance
- Transportation
- Infrastructure
- Debris removal

Incident priorities should reflect a core capability as defined in the National Preparedness Goal. Incident objectives should contribute to accomplishment of the incident priorities. Well-crafted incident objectives provide the basis for operational guidance, strategies, tactics, and work assignments. Below are sample priorities and incident objectives.

Example Priorities:












- Mass search and rescue operations
- Public health and medical services
- On-scene security and protection
- Mass care services
- Access control and identity verification
- Economic recovery

Example Objectives:

- Establish two fixed site disaster recovery centers in McKean County by 31 October.
- Evacuate the two area hospitals, three convalescent homes and four nursing facilities located within the potential flood zone in Lee and Charlotte counties to alternate care facilities NLT 9 September.
- Determine sites for installation of 500 temporary housing units in or near Springfield by 15 May.
- Re-open the Port of Tampa and the Tampa International Airport by 4 March.
- Remove 10,000 cubic yards of debris from Warsaw County by 25 September.
- Distribute rations to provide 10,000 people with 2,000 calories of food and 3 liters of water each.
- Provide shelter, food, and hydration for approximately 30,00 survivors in the impacted area.
- Clear all emergency routes to ensure access to medical treatment facilities and open all critical transportation corridors throughout the impacted area.
- Conduct agriculture, food, and water testing in the impacted area.

| | Based On | Answers... | | | | Listed in IAP |
|---|---|------------|------|-------|------|---------------|
| | | Who | What | Where | When | |
| Incident Priorities | Governor, RA guidance, UCG | | ● | | | |
| Incident Objectives | Incident priorities, situation, resources | | ● | ○ | ○ | ● |
| Tasks/Work Assignments | Incident objectives | ● | ● | ● | ● | ● |
| Note: A black dot means <i>always</i> ; open circle means <i>sometimes</i> ; blank means <i>never</i> . | | | | | | |

APPENDIX B: INCIDENT COMMAND SYSTEM MAP SYMBOLS

| Area being Identified | Symbol |
|--|---|
| Joint Field Office |  |
| Area Field Office (identify by name) |  |
| Camp (identify by name) |  |
| Helispot (identifier) |  |
| Helibase (include name if more than one) |  |
| Fixed Wing Base (include name if more than one) |  |
| Branches (use Roman numerals) |  |
| Divisions (use upper case alphabetical characters) |  |
| Incident Support Base (identify by name) |  |
| Staging Areas (identify by name) |  |
| Disaster Recovery Center (use identifier) |  |

APPENDIX C: JOB AIDS FOR STAFF PREPARING FEMA ICS FORMS FOR THE IAP

Using these job aid checklists will enhance the consistency of and provide standardization among all Incident Action Plans (IAPs), with the goal of improving the execution of incident-level operations. Standardized IAPs are necessary for FEMA employees and all interagency, State, tribal, local, and private sector partners—to have a common expectation about how IAPs will be developed, formatted, and compiled. IAPs are critical to incident field personnel in facilitating their situational awareness and understanding of work assignments. The individual checklists below can be provided to the staff members responsible for assembling each piece of the IAP.

| Cover Sheet | |
|---|-------------------------------------|
| Information displayed on IAP cover sheets should be consistent. IAPs are not strictly FEMA documents, and their cover sheets will typically reflect Unified Coordination Group (UCG) members' participation. IAPs are also national-level documents that must have a professional appearance fitting for audiences at the FEMA Headquarters, Department of Homeland Security, and the White House levels. | |
| The cover sheet will include the following: | Planning Support Unit Leader |
| Title: Joint Incident Action Plan | <input type="checkbox"/> |
| Plan number (the first IAP developed is #1: subsequent IAPs are numbered sequentially) | <input type="checkbox"/> |
| Incident name that describes the nature of the disaster (severe storms, tornadoes, flooding, etc.) | <input type="checkbox"/> |
| FEMA Declaration Number (e.g. FEMA-XXXX-XX (EM/DR)-XX(State)) | <input type="checkbox"/> |
| State and other participating UCG members' declaration numbers | <input type="checkbox"/> |
| Joint Field Office (or initial operating facility) address and USNGS | <input type="checkbox"/> |
| Operational period date and time | <input type="checkbox"/> |
| IAP approval signature blocks for the SCO, FCO, and any other UCG member(s). | <input type="checkbox"/> |
| Logos (black and white only) may be used for FEMA, the State, and any other UCG member organizations | <input type="checkbox"/> |
| IAP approval signature blocks for the SCO, FCO and any other UCG member | <input type="checkbox"/> |

| Incident Objectives (FEMA-ICS Form 202) | |
|--|--------------------------|
| The Incident Objectives (FEMA-ICS Form 202) is the first page of the IAP. This form not only describes the UCG's incident objectives but also provides weather and safety considerations for use during the next operational period. | |
| Incident Objectives (FEMA-ICS 202) will include the following: | Situation Unit Leader |
| In Block 5 only incident objectives will be displayed. | <input type="checkbox"/> |
| Number the incident objectives: | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Sequentially from the beginning of the incident to its conclusion. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Do not renumber them for each operational period. | <input type="checkbox"/> |
| List the incident objectives in order of priority, regardless of their tracking number. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> The objective listed first is the highest priority. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> The objective listed last is the lowest priority. | <input type="checkbox"/> |
| Remove numbered incident objectives that have been achieved. Note: Archive completed Incident Objectives (FEMA-ICS Form 202) for future reference. | <input type="checkbox"/> |
| Modify an incident objective if necessary and maintain the same tracking number as long as the original intent of the objective does not change. | <input type="checkbox"/> |
| Write out the incident objectives so that they provide actionable guidance for Operations. | <input type="checkbox"/> |
| Do not focus incident objectives so tightly that they become essentially similar to work assignments. | <input type="checkbox"/> |
| Do not list priorities" or "incident priorities" on the Incident Objectives (FEMA-ICS Form 202). | <input type="checkbox"/> |
| In Block 6, focus the weather message on weather that incident personnel can expect for the operational period. | <input type="checkbox"/> |
| In Block 7, focus the safety message on information that is relevant and actionable to field personnel. | <input type="checkbox"/> |

| Incident Telephone Communication Plans (FEMA-ICS 205a) | |
|---|--------------------------|
| <p>The purpose of this form is to inform incident personnel regarding which radio communications channels are in use and which specific purpose each has been assigned. It is acceptable for Planning Sections to replace the Incident Radio Communications Plan (FEMA-ICS Form 205) in the IAP, where appropriate, with a modified version, entitled the Incident Telephone Communications Plan (FEMA-ICS Form 205A). The plan is a combined Organization Assignment List (FEMA-ICS Form 203) and Incident Radio Communications Plan (FEMA-ICS Form 205) that includes contact telephone or cell phone numbers for each person listed. It also identifies if they are FEMA, State, or from other federal agencies. The inclusion of both the Organization Assignment List (FEMA-ICS Form 203) and Incident Telephone Communications Plan (FEMA-ICS Form 205A) in the IAP is unnecessarily duplicative and therefore confusing—adding to the length of the IAP without providing additional needed information.</p> | |
| The Incident Telephone Communication Plan (FEMA-ICS Form 205A) will include the following: | Resource Unit Leader |
| Only those positions and personnel assigned to division/group supervisors, unit leaders and above. <i>Note: The exception to this is a Level III, event and the Incident Telephone Communications Plan (FEMA-ICS Form 205A) is no longer than one page in the IAP.</i> | <input type="checkbox"/> |
| Ensure that this plan does not become the incident phone directory. | <input type="checkbox"/> |
| Ensure that this plan corresponds with the incident organization chart with correct names assigned to specific positions. | <input type="checkbox"/> |
| Contact numbers listed for FCO/SCO and other key staff are the desk numbers for their administrative assistants. | <input type="checkbox"/> |
| Do not show personal cell phones numbers for any incident staff. | <input type="checkbox"/> |
| Do not include e-mail addresses. | <input type="checkbox"/> |

| Incident Organization Chart (FEMA-ICS Form 207) | |
|---|-----------------------------|
| Incident Organization Charts (FEMA-ICS 207) are important for incident personnel to understand how the incident is organized, what positions are filled, what the reporting structures are, and who is filling these positions. On Level I and II incidents, the organization charts include unit leaders, group/division supervisors positions, and above. Organizations will be configured according to incident needs and current accepted program structure. These charts should accurately reflect the organization. | |
| Incident Organization Chart (FEMA-ICS Form 207) will include the following: | Resource Unit Leader |
| Chart displayed in way that is consistent with examples provided in the <i>Incident Management Handbook</i> . | <input type="checkbox"/> |
| Position naming conventions which conform to the position names in the IMH. | <input type="checkbox"/> |
| Deputy positions shown in the same box as the primary position. | |
| <ul style="list-style-type: none"> Deputies will not be shown with separate organization structures. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> If there is a need for another position to manage the span of control then the use of assistants is appropriate. | <input type="checkbox"/> |
| The names on the chart are consistent with the names on the Incident Telephone Communications Plan (FEMA-ICS Form 205a). | <input type="checkbox"/> |
| Ensure that on Level I and II incidents, the following occurs: | |
| <ul style="list-style-type: none"> Command staff includes only managers/advisors and above. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> The organization charts include unit leaders/group and division supervisors positions and above only | <input type="checkbox"/> |
| <ul style="list-style-type: none"> The organizations are configured according to incident needs. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> The Operations Section organization is organized geographically, unless there is a compelling reason to organize functionally. | <input type="checkbox"/> |
| For a Level III incident, the following occurs: | |
| <ul style="list-style-type: none"> The organization is arranged functionally. (In rare situations it can also be organized geographically.) | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Include, as necessary, all the positions/names of the whole organization on the chart. | <input type="checkbox"/> |
| On incidents that are organized geographically, the organization chart will include the following: | |
| <ul style="list-style-type: none"> Geographic branch director(s) and division supervisors | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Program branch directors, group supervisors, task force leaders, managers, and crew leaders (Individual Assistance, Public Assistance, and Hazard Mitigation) | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Air Operations Branch | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Long-Term Community Recovery Branch | <input type="checkbox"/> |

| Incident Map | |
|---|------------------------------|
| <p>The incident map is an important IAP component for incident field personnel, which enables them to locate critical incident facilities and operational geographic boundaries, and other critical information such as declared counties. On Level I and II incidents, the incident map is extremely important for those doing incident action planning. FEMA program branches in Operations and others (e.g., ESFs) need to know where the geographic branches and divisions boundaries are located within the incident area so they can assign their resources to the correct branch and division on the Operational Planning Worksheet (FEMA-ICS Form 215). The incident map is the responsibility of the Planning Section's Situation Unit, however, the updating and viability is the responsibility of the Operations Section Chief. Incident maps should be produced in black and white using standardized fill patterns (i.e., vertical horizontal, and diagonal) to indicate IA, PA, and IA/PA.</p> | |
| The incident map will include the following: | Situation Unit Leader |
| Incident geographic branches and division boundaries | <input type="checkbox"/> |
| Critical operational facilities such as the following: | |
| • Staging Areas, both Federal and State | <input type="checkbox"/> |
| • Operations field offices | <input type="checkbox"/> |
| • Helibases, fixed wing bases | <input type="checkbox"/> |
| • Disaster Recovery Centers | <input type="checkbox"/> |
| • Incident camps or other support facilities | <input type="checkbox"/> |
| • Designated counties | <input type="checkbox"/> |
| Ensure that the naming and identification map symbols, are all in accordance with IMH Chapters 9 through 30 and appendix C of this document. | <input type="checkbox"/> |
| Ensure that incident map legends use black and white patterns, not color. | <input type="checkbox"/> |

| Assignment List (FEMA-ICS 204) | |
|--|--------------------------|
| <p>Assignment Lists (FEMA-ICS Form 204) are critical for informing field staff about their assignments, duties, responsibilities, and key personnel contact information for an operational period. As a result, Assignment Lists (FEMA-ICS Form 204) should be complete, accurate, and organized in a manner that facilitates staff's understanding of operational work assignment details. Using the Operational Planning Worksheets (FEMA-ICS Form 215), the Operations Section develops the Assignment Lists (FEMA-ICS Form 204). Once Operations approves them, the Operational Planning Worksheets (FEMA-ICS Form 215) are given to the Planning Section to prepare the Assignment Lists (FEMA-ICS Form 204). Once the UCG's members affirm that the general staff can support the plan at the Planning Meeting, and the UCG then approves the operational plan, the Assignment Lists (FEMA-ICS Form 204) are included in the IAP for duplication and distribution.</p> | |
| The Assignment List (FEMA-ICS Form 204) will include the following: | Resource Unit Leader |
| Do not use a modified Assignment List (FEMA-ICS Form 204). | <input type="checkbox"/> |
| Do not include work assignments for positions that are not engaged in field operations. | <input type="checkbox"/> |
| Do not include for work assignments OSCs, geographic and program branch directors, division supervisors, and managers assigned in the JFO. | <input type="checkbox"/> |
| Sequence the list according to the Incident Organization Chart (FEMA-ICS Form 207) for Operations. <i>Example: Branch I and Divisions A through G, Branch II and Divisions H through N, IA Branch and Groups, PA Branch and Groups, HM Branch and Groups etc.</i> | <input type="checkbox"/> |
| Complete the list in a way that is clear, provides information for field staff to understand their task, reporting location, reporting time, and key personnel contact information. | <input type="checkbox"/> |
| Do not include objective numbers on the work assignment. <i>Note: It is the responsibility of the Operations Section Chief to ensure work assignments are consistent with the Incident Objectives (FEMA-ICS Form 202) during the Objectives Strategies Meeting.</i> | <input type="checkbox"/> |
| Ensure that all resources are listed on the appropriate FEMA-ICS Form 204. | <input type="checkbox"/> |
| Ensure that division or functional forms include no more than one work assignment line for an individual, crew, or task force. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> A particular individual, crew, or task force may be assigned to more than one division form when assigned to work locations in other divisions. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Multiple work assignments are combined and displayed on one assignment line. | <input type="checkbox"/> |
| No blank blocks on the list. <i>Note: Where information for a block is not available, use placeholders whenever possible to indicate that the topic of the block has been addressed (TBD, N/A, UNK, etc.).</i> | <input type="checkbox"/> |
| The following are detailed appropriately: | |
| <ul style="list-style-type: none"> Logistical needs | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Safety considerations | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Coordination requirements | <input type="checkbox"/> |
| <ul style="list-style-type: none"> Critical support information | <input type="checkbox"/> |
| In Block 11, any special communication requirements—if different than those identified in the Incident Telephone Communications Plan (FEMA-ICS Form 205A), are fully described | <input type="checkbox"/> |

| Medical Plan (FEMA-ICS 206) | |
|--|--------------------------|
| The Medical Plan (FEMA-ICS Form 206) is critical for the safety of incident personnel when a medical emergency occurs. Medical Plans (FEMA-ICS Form 206) provide important information to incident personnel such as the following: medical emergency procedures, the locations of medical aid facilities within the incident area, emergency medical transportation locations with contact numbers—including those of hospitals located in or near the incident area. The responsibility for the development of the Medical Plan (FEMA-ICS Form 206) is the Safety Officer. | |
| Medical Plan (FEMA-ICS 206) will include the following: | Safety Officer |
| The form being used is the official Medical Plan (FEMA-ICS Form 206) and has not been modified. | <input type="checkbox"/> |
| Include in Block 3 (incident medical aid stations), both urgent care and hospital emergency rooms located within the incident area, and incident aid stations that may be established at the JFO and incident camps. | <input type="checkbox"/> |
| Include in Block 4, whether 911 is the contact number for all emergency transportation needs in all affected areas of the incident. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • If 911 is <i>not</i> the contact for all emergency transportation needs, then the IAP must reflect the information for each municipality. | <input type="checkbox"/> |
| <ul style="list-style-type: none"> • If an ambulance is assigned to the incident then the correct location and contact numbers must be included. | <input type="checkbox"/> |
| Include in Block 7, (hospitals) not only the hospital that would service the JFO, but also selected hospitals with emergency room capability located throughout the incident area. | <input type="checkbox"/> |
| Fill Block 6, correctly and with enough information so an incident employee will know what to do and who to notify in the case of an accident or other medical emergency. | <input type="checkbox"/> |

| Daily Meeting Schedule (FEMA-ICS Form 230) | |
|--|--------------------------|
| The Daily Meeting Schedule (FEMA-ICS Form 230) provides incident staff with the information regarding what, where and when critical incident meetings will take place during the operational cycle. The schedule also lays out the purpose of the meetings. Incident action planning meetings and briefings will always be included in this schedule. The meeting schedule also ensures that other meetings do not conflict with incident action planning meetings (i.e., Command and General Staff Meeting, Objectives Strategies Meeting, Planning Meeting, and the Operations Briefing). The meeting schedule should reflect the incident action planning cycle for the operational period, and include other critical incident meetings as needed. | |
| The Daily Meeting Schedule (FEMA-ICS Form 230) will include the following: | SITL |
| A C&GS meeting consisting of the UCG (FCO/SCO and any other UCG Coordinator) and staff will be conducted and listed on the meeting schedule for each operational period. | <input type="checkbox"/> |
| The Objective Strategies Meeting will be conducted and listed on the meeting schedule for each operational period. | <input type="checkbox"/> |
| The Operations Briefing will be held every operational period and listed on the meetings schedule for each operational period. | <input type="checkbox"/> |
| Planning Meeting will be conducted and listed on the meeting schedule for each operational period. | <input type="checkbox"/> |
| All incident action planning meetings and briefings will have IMH compliant names | <input type="checkbox"/> |
| Items that are not <i>meetings</i> are not included. | <input type="checkbox"/> |

APPENDIX D: FINAL QUALITY ASSURANCE

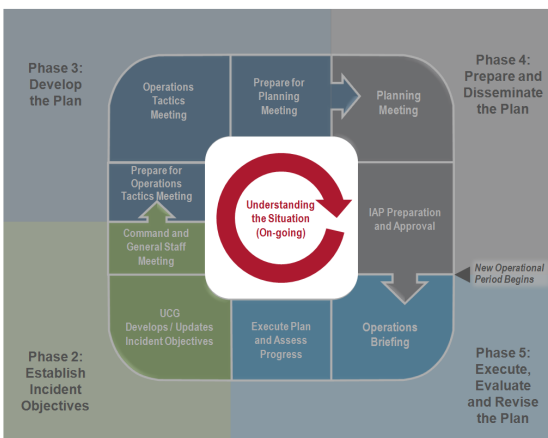
CHECKLIST

The checklist below is intended to serve as a tool that the Planning Section Chief uses before granting final approval to the IAP.

- € Do the tasks listed on the Assignment List(s) (FEMA-ICS Form 204) support the Incident Objectives (FEMA-ICS Form 202)?
- € Does the incident map reflect the operation elements identified on the Incident Organization Chart (FEMA-ICS Form 207) or the Assignment List (FEMA-ICS Form 204)?
- € Does the Incident Telephone Communications Plan (FEMA-ICS Form 205A) provide information on the operation elements identified on the Incident Organization Chart (FEMA-ICS Form 207) or the Assignment List (FEMA-ICS Form 204)?
- € Are all assigned radio frequencies, trunked radio systems and talk group assignments identified on the Incident Radio Communications Plan (FEMA-ICS Form 205) and does the information reflect the operation elements identified on the Incident Organization Chart (FEMA-ICS Form 207) or the Assignment List (FEMA-ICS Form 204)?
- € Does information on the Medical Plan (FEMA-ICS Form 206) identify the closest medical facility to each operation element identified on the incident map, the Incident Organization Chart (FEMA-ICS Form 207) or the Assignment List (FEMA-ICS Form 204)? Does it identify what should be done if someone is injured or is seriously ill?
- € Does the IAP use common Incident Command System terminology throughout the document?
- € Does the Meeting Schedule (FEMA-ICS Form 230) contain at a minimum, the following?
 - Appropriate incident action planning meetings
 - Strategy meetings
 - Team meetings
 - Public meetings

APPENDIX E: MAINTAINING SITUATIONAL AWARENESS THROUGHOUT THE LIFE CYCLE OF THE INCIDENT

After the initial efforts to gain situational awareness (Phase 1), the iterative information collection process begins during Phase 2 and continues to inform all aspects of incident action planning throughout the life cycle of the incident. This process includes the collection, analysis, and dissemination of information to assist operations and support functions in planning for providing support and resources to disaster survivors during each operational period.



Good situational awareness must be available to incident management personnel throughout the life cycle of an incident to support timely and effective decision making. The quality of decisions is directly related to the accuracy and completeness of the information on which decisions are based. Situational awareness is gained from many sources. Site inspections, official reports, media broadcasts, maps, and formal and informal assessments all contribute to the base of knowledge about the incident.

Developing situational awareness requires continual monitoring, verifying, integrating, and analyzing relevant elements of information and developing hazards. At its best, situational awareness provides up-to-date information on the status of people, critical facilities, infrastructure, resources, and the environment.

Information Collection Plan

A well-designed information collection plan (ICP) is an important tool for incident management. The ICP is a matrix of information requirements that is keyed to the incident. This plan also lists sources, units of measure, and schedules for collecting various items. Information gathered based on an ICP can aid in the development of incident objectives.

Situational Awareness Products

There are many products and reports that provide situational awareness to incident personnel. Several are key to assessing the progress of incident operations and the effectiveness of the incident action planning process. Below are some examples of products that, while not part of the IAP, inform staff on environment and effectiveness of operations.

Situation Reports

The Planning Section produces situation reports which are the primary summary of information during an incident at a given time. Situation reports address EEs as well as other pertinent information for the last reporting period. Situation reports are not tied directly to IAPs, but the reports generally reflect the results of IAP work assignments.

Spot Reports

Information for spot reports may be generated by any element at the incident level. These reports provide information on occurrences and/or conditions that may have an immediate and significant effect on current operations. Spot reports can provide information that is important to incident objectives and tactics (e.g., severe weather or hazmat spills). Spot reports often add value to incident action planning efforts by providing timely information on significant aspects of the incident.

Situation Update Briefing

This briefing—based on the content of the situation report—updates leadership on the current situation. The Situation Unit provides situation updates during the C&GS, tactics, and planning meetings.

Gathering Information

Gathering and reporting situational awareness is accomplished using a wide variety of methods, including:

- Providing information specialist(s) to the State Planning Section to monitor state reporting systems (WebEOC, etc.) and to create/disseminate spot reports from that information
- Reading State and local situation reports
- Developing or using a good information collection plan
- Maintaining direct communications with the Planning Sections of the RRCS and the National Response Coordination Staff
- Deploying or using technical specialists such as National Weather Service representatives
- Deploying and receiving reports from field observers
- Embedding information specialist (liaisons) in the Operations, Logistics, and Finance/Administration Sections
- Deploying information specialists to other facilities and operation field offices
- Analyzing and disseminating relevant geospatial products

Responsibilities

The **Command Staff** and the **Operations, Logistics, and Finance and Administration Sections** are responsible for regularly providing the Planning Section with clear, timely, and accurate information.

The **Planning Section** is responsible for providing the Operations Section with information products needed for effective decision making. Two units within the Planning Section are

principally responsible for providing these information products: the *Situation* and *Resource* units.

The **Situation Unit** processes requests for information; develops reports, briefings, and presentations; collects and analyzes information; and integrates geospatial and technical information for situational awareness. This unit is the primary organization responsible for maintaining situational awareness within the incident organization. The unit works with the GIS Unit to prepare and maintain incident maps.

The **Resources Unit** develops and maintains the Incident Organization Chart (FEMA-ICS Form 207) depicting the C&GS, as well as an organizational chart depicting only the Operations Section. The unit also develops the Incident Telephone Communications Plan (FEMA-ICS Form 205A) for each operational period detailing key staff and their contact information.

Summary

Applying accurate and timely situational awareness in each operational period includes:

- Reviewing and analyzing information that may affect incident-level operations;
- Reexamining the actual or potential effects of the incident;
- Providing important real-time information to the Operations Section that could modify one or more incident objectives;
- Assessing the effectiveness of efforts undertaken during the previous operational period; and
- Assessing measures of effectiveness (i.e., performance metrics).

Managing More Than One Incident

An IMAT will sometimes begin managing one incident and be required to take on another disaster in the same geographic area—which will likely increase the size and complexity of the incident management organization. The PSC will include all incidents assigned to the IMAT in a single IAP. The Planning Cycle and operational periods for all of the disasters will be the same, allowing for efficient and effective use of the IMAT's time. The UCG will be developing priorities for each disaster as they develop the incident objectives in coordination with the OSC.

Effective situational awareness is supported by situation reports, spot reports, and briefings, which in turn, support the development of incident objectives, tactics, and work assignments.

ANNEX 1: ACRONYMS

| | |
|------|-------------------------------------|
| C&GS | Command and General Staff |
| CIR | Critical Information Requirement |
| CR | Community Relations |
| DRC | Disaster Recovery Center |
| EA | External Affairs |
| EI | Essential Element of Information |
| ESF | Emergency Support Function |
| FCO | Federal Coordinating Officer |
| FEMA | Federal Emergency Management Agency |
| FRC | Federal Resource Coordinator |
| GIS | Geospatial Information Systems |
| HM | Hazard Mitigation |
| IA | Individual Assistance |
| IAP | Incident Action Plan |
| ICP | Information Collection Plan |
| ICS | Incident Command System |
| IMAT | Incident Management Assistance Team |
| IMH | Incident Management Handbook |
| IOF | Initial Operating Facility |
| JFO | Joint Field Office |
| NGO | Nongovernmental Organization |
| OSC | Operations Section Chief |
| PA | Public Assistance |
| PSC | Planning Section Chief |

| | |
|------|--------------------------------------|
| RA | Regional Administrator |
| RRCS | Regional Response Coordination Staff |
| SCO | State Coordinating Officer |
| SITL | Situation Unit Leader |
| UCG | Unified Coordination Group |

ANNEX 2: GLOSSARY

Assistant – The title indicates a level of technical capability, qualifications, and responsibility subordinate to the primary positions. Assistants except for subordinates of principal Command Staff positions (External Affairs, Safety, Chief of Staff, and Liaison Officers) are not FEMA Qualification System positions and will not have position task books. Assistants must be qualified at the next lower level to the principal position. Assistants may be used to alleviate span of control issues or assigned technical responsibilities.

Branch – The organizational level having functional or geographical responsibility for major aspects of incident operations. A branch is organizationally situated between the section chief and the division or group in the Operations Section, and between the section and units in the Logistics Section. Branches are identified either by the use of Roman numerals or by functional area.

Chain of Command – The orderly line of authority within the ranks of the incident management organization.

Critical Information Requirement (CIR) – Particular elements of information specifically requested by incident leaders. These items are of such importance that leaders are notified immediately when the Planning Section receives updates on a CIR item.

Constraint – Requirement that dictates or prohibits an action, thus restricting freedom of action.

Deliberate Planning – Planning accomplished under nonemergency conditions and that involves developing general procedures for responding to future threats or scenarios.

Deputy – A fully-qualified individual who, in the absence of a superior, can be delegated the authority to manage a functional operation or to perform a specific task. In some cases a deputy can act as relief for a superior, and therefore must be fully qualified in the position. Deputies must be fully qualified in the position for which they are assigned. Deputies are used to share position responsibilities and serve as acting during the absence of the primary superior. Deputies are not used to alleviate span of control issues. An FCO can assign a deputy to perform specific tasks.

Division – The organizational level responsible for operations within a defined geographic area. Divisions are established when the number of resources exceeds the manageable span of control of the Section Chief. See *Group*.

Essential Element of Information (EEI) – Important and standard information items that incident managers need in order to make timely and informed decisions. EEIs also provide context and contribute to analysis. EEIs are also included in situation reports.

Functional Planning – Planning conducted, as required, to address particular operational issues, such as interim housing, power restoration, demobilization, and continuity of operations.

Group – An organizational subdivision established to divide the incident management structure into functional areas of operation. Groups are composed of resources assembled to perform a special function not necessarily within a single geographic division. See *Division*.

Incident Objective – Statement of guidance and direction needed to select the appropriate strategy (or strategies) and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed. Incident objectives must be clear, achievable and measurable, yet flexible enough to allow strategic and tactical alternatives.

Incident Planning – Planning associated with an actual or potential incident, likely under emergency conditions, that involves developing procedures for responding to actual or projected effects.

Joint Field Office (JFO) – A temporary Federal facility established to provide a central point for Federal, State, tribal, and local governments and private sector and nongovernmental organizations with responsibility for incident oversight, direction, and/or assistance to effectively coordinate and direct prevention, preparedness, response, and recovery actions. Typically, the JFO is located at or near the incident area of operations. The JFO may be co-located with the State emergency operations center.

Limitation – A factor or condition that, either temporarily or permanently, impedes mission accomplishment.

Operational Period – An operational period is the time scheduled for executing a given set of operation actions as specified in the IAP. Operational periods can be of various lengths although usually they last 12 to 24 hours.

Priority – Priorities facilitate the development of incident objectives and establish their order of importance. Developed by the UCG, priorities also guide the employment and allocation of resources.

Span of Control – The number of resources for which a supervisor is responsible, usually expressed as the ratio of supervisors to individuals. (Under the National Incident Management System, an appropriate span of control is between 1:3 and 1:7, with optimal being 1:5, or between 1:8 and 1:10 for many large-scale law enforcement operations.)

Strategy – As they relate to the incident action planning process, strategies are concepts—ideas on how to accomplish incident objectives. They are the bridge between incident

objectives and work assignments, providing direction and guidance on what should be done and how it should be done.

Tactic – The deployment and directing of resources on an incident to accomplish the objectives designated by a strategy.

Task Force – Any combination (number and mixture) of resources assembled to support a specific mission or operational need. All resource elements within a task force must have common communications and a designated leader. A task force may be pre-established and sent to an incident, or formed at an incident.

Unified Coordination Group (UCG) - The structure that executes unified command and leads incident activities at the field level in order to achieve unity of effort. Its purpose is to establish and achieve shared objectives. The UCG is comprised of senior leaders representing State and Federal interests and in certain circumstances tribal governments, local jurisdictions, or the private sector. The FCO is responsible for establishing the UCG.

Work Assignments – An assignment to be accomplished which leads to meeting an incident objective(s). A tactical action supporting an incident objective(s) assigned to a specific resource (individual, team, task force, crew etc.) and identified on Assignment List (FEMA-ICS Form 204) in the IAP.