

A Pocket Guide for the

INCIDENT MANAGEMENT SYSTEM



This pocket guide is designed to provide basis of the Incident Management System (IMS) and is compatible with different versions of Incident Management Handbooks (IMH) which provide detailed material and tools for the application of IMS.

During the development of this pocket guide, the following resources were used as references:

- ♦ IPIECA Incident Management System for the Oil and Gas Industry
- ♦ FEMA National Incident Management System, 3rd Edition
- ♦ USCG Incident Management Handbook, 2014
- ♦ Beyond Initial Response - Using the National Incident Management System's Incident Command System, 2nd Edition



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IMS/ICS is a widely applicable management system designed to enable effective, efficient incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure. IMS is used to organize on-scene operations for a broad spectrum of emergencies from small to complex incidents, both natural and manmade.

This guide is based on the Incident Command System (ICS), a version of IMS that is widely used by industry, response contractors and professional emergency services organizations.

The IMS:

- ✦ Is a standardized management tool for meeting the demands of small or large emergency or nonemergency situations.
- ✦ Represents “best practices” and is the standard for emergency management.
- ✦ May be used for planned events, natural disasters and acts of terrorism.

It is normally structured to facilitate activities in five major functional areas:

1. Command
2. Operations
3. Planning
4. Logistics
5. Finance/Administration

1 COMMON TERMINOLOGY

IMS establishes common terminology that allows diverse incident management and support organizations to work together across a wide variety of incident management functions and hazard scenarios. Using common terminology helps to define organizational functions, incident facilities, resource descriptions and position titles.

2 ESTABLISHMENT AND TRANSFER OF COMMAND

The command function must be clearly established from the beginning of incident operations. The agency with primary jurisdictional authority over the incident designates the individual at the scene responsible for establishing command. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations.

3 CHAIN OF COMMAND AND UNITY OF COMMAND

Chain of command refers to the orderly line of authority within the ranks of the incident management organization. Unity of command means that all individuals have a designated supervisor to whom they report at the scene of the incident.

These principles clarify reporting relationships and eliminate the confusion caused by multiple, conflicting directives. Incident managers at all levels must be able to direct the actions of all personnel under their supervision.

4 UNIFIED COMMAND

In incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement, Unified Command allows agencies with different legal, geographic, and functional authorities and responsibilities to work together effectively without affecting individual agency authority, responsibility, or accountability.

5 MANAGEMENT BY OBJECTIVES

Management by objectives is communicated throughout the IMS organization and includes:

- ✦ Establishing incident objectives
- ✦ Developing strategies based on incident objectives
- ✦ Developing and issuing assignments, plans, procedures and protocols
- ✦ Establishing specific, measurable tactics or tasks for various incident management functional activities and directing efforts to accomplish them
- ✦ Documenting results to measure performance and facilitate corrective actions

6 INCIDENT ACTION PLANNING

The Incident Action Plan (IAP) provides a concise, coherent means of capturing and communicating the overall incident priorities, objectives, strategies, and tactics in the context of both operational and support activities.

7 MODULAR ORGANIZATION

The IMS organizational structure develops in a modular fashion based on the size and complexity of the incident, as well as specificIMS of the hazard environment created by the incident.

8 MANAGEABLE SPAN OF CONTROL

Span of control is key to effective and efficient incident management. Supervisors must be able to adequately supervise and control their subordinates, as well as communicate with and manage all resources under their supervision. The type of incident, nature of the task, hazards and safety factors, and distances between personnel and resources all influence span-of-control considerations.

9 COMPREHENSIVE RESOURCE MANAGEMENT

Maintaining an accurate and up-to-date picture of resource use is a critical part of incident management. Resources include personnel, teams, equipment, supplies and facilities available or potentially available for assignment or allocation.

Comprehensive resource management ensures that visibility is maintained over all resources so they can be moved quickly to support the preparation and response to an incident, and ensuring a graceful demobilization. It also applies to the classification of resources by type and kind, and the categorization of resources by their status.

10 INCIDENT LOCATIONS AND FACILITIES

Various types of operational support facilities are set up in the vicinity of an incident to accomplish a variety of purposes. Typical designated facilities include Incident Command Posts (ICPs), Bases, Camps, Staging Areas, mass casualty triage areas, point-of-distribution sites and others as required.

11 INTEGRATED COMMUNICATIONS

Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures. This integrated approach links the operational and support units of the various agencies involved and is necessary to maintain communications connectivity and discipline and to enable common situational awareness and interaction.

12 INFORMATION AND INTELLIGENCE MANAGEMENT

Communications and information management represents the backbone of coordination across an IMS organization, enabling essential functions such as tactical planning and operations, and resource identification and assignment. The incident management organization must establish a process for gathering, analyzing, sharing and managing incident-related information and intelligence.

13 ACCOUNTABILITY

Effective accountability of resources at all jurisdictional levels and within individual functional areas during incident operations is essential. To that end, the following principles must be adhered to:

- ✦ **Check-In:** All responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the Incident Commander.
- ✦ **IAP:** Response operations must be directed and coordinated as outlined in the IAP.
- ✦ **Unity of Command:** Each individual involved in incident operations will be assigned to only one supervisor.
- ✦ **Personal Responsibility:** Supervisors must be able to adequately supervise and control their subordinates, as well as communicate with and manage all resources under their supervision.
- ✦ **Resource Tracking:** Supervisors must record/report resource status changes as they occur.

14 DISPATCH/DEPLOYMENT

Resources should respond only when requested/dispatched by an appropriate authority through established resource management systems. Resources not requested must refrain from spontaneous deployment to avoid overburdening the recipient and compounding accountability challenges.

IMS/ICS ORGANIZATION

MODULAR ORGANIZATION

The IMS/ICS organization expands or contracts to meet the needs of the incident. For a small incident, one person might perform all of those managing activities or actions. For a large incident, many people might be activated to manage the response activities.

Standardization of the organization and terminology does not limit the flexibility of the system:

- ✦ Flexibility doesn't override common terminology.
- ✦ Flexibility is allowed within the standard IMS organizational structure and position titles.

Considerations for the modular concept:

- ✦ Developing the organization's structure to match the function or task to be performed.
- ✦ Staffing only the functional elements required to perform the task.
- ✦ Implementing recommended span-of-control.
- ✦ Performing the function of any non-activated organizational element at the next highest level
- ✦ Deactivating functions no longer required.

Rules to organize by:

- ✦ The incident shapes the organization.
- ✦ Do not "over-organize" or "under-organize"
- ✦ Leverage the inherent flexibility that IMS offers

POSITION TITLES

At each level within the IMS organization, individuals with primary responsibility positions have distinct titles.

The use of position titles serves three different purposes:

#1 Titles provide a common standard for multi-agency use at an incident. For example, if one agency uses the title Branch Chief, another Branch Manager, etc., this lack of consistency can cause confusion at the incident.

#2 The use of distinct titles for IMS positions allows for filling IMS positions with the most qualified individuals rather than by seniority.

#3 Standardized position titles provide standardization when requesting qualified personnel. If A Safety Officer is needed, anyone who is mobilized to the incident as a Safety Officer is expected to have that qualification regardless of what agency or organization they come from.

SUPPORT POSITION TITLES

Deputy - A Deputy is fully qualified and capable of performing the duties of his or her superior.

Assistant - An Assistant is not as qualified as the person performing the primary function, but they have the technical capability and qualification to provide important support.

STANDARD IMS TITLES

ORGANIZATIONAL ELEMENTS	POSITION TITLES	SUPPORT POSITION TITLES
Incident Command	Incident Commander	Deputy
Command Staff	Officer	Assistant
General Staff (Section)	Chief	Deputy
Branch	Director	Deputy
Division/Group	Supervisor	N/A
Unit	Leader	Assistant

USE OF DEPUTIES

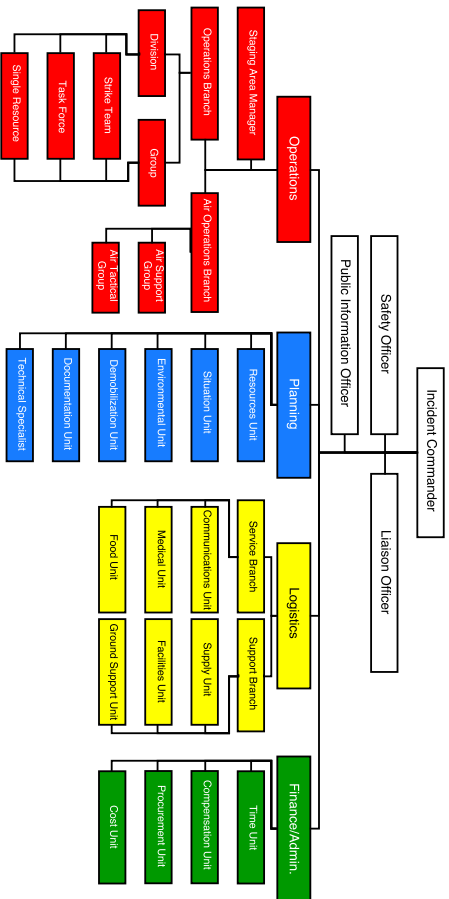
Deputies can be extremely helpful when managing a response. The use of deputies:

- ✦ Can provide relief to the primary position holder.
- ✦ Can support the primary position during high operational tempo.
- ✦ Can be assigned to perform specific tasks that require their level of knowledge and expertise.

Rules for Deputies:

- ✦ Only the Incident Commander, Section Chiefs, and Branch Directors have deputies.
- ✦ You can have more than one deputy.
- ✦ Deputies must have the same qualification as the position that they work for.

ORGANIZATIONAL CHART



THE OPERATIONAL PERIOD

The Operational Period is the period of time scheduled for execution of a given set of operation actions as specified in the Incident Action Plan. Operational Periods can be of various lengths, from a few hours to 24 hours and even longer.

It is the Incident Commander's responsibility to determine the length of the operational period and when it is to start. Defining an operational period is not necessary if the incident can be brought under control quickly in the reactive response; however, if the incident is going to require some time to resolve, the IC will define an operational period and start moving towards a proactive response.

Quick review of the Operational Period:

- ✦ Operational period defines the length of time in which a set amount of work is to be accomplished.
- ✦ Operational period and the start time is determined by Incident Commander.
- ✦ There is no hard-and fast rules on the length of an operational period but generally 12 or 24 hours are used.
- ✦ The length of an operational period and its start time must be determined in order to enter the ICS Planning Process.

THE OPERATIONAL PLANNING “P”

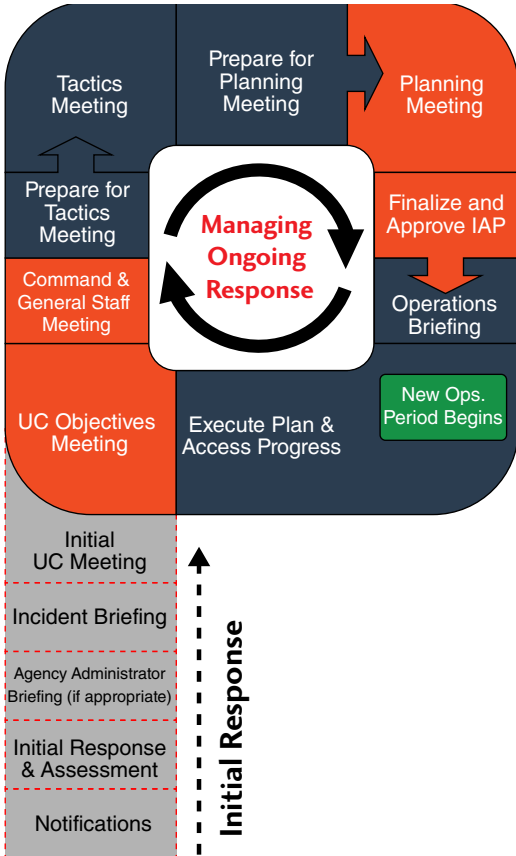
Many incident management organizations use a formal planning cycle with established meetings and deliverables to mark their progress through the planning process and enable coordination of the entire team.

The Planning P, illustrated on *Page 13*, is a graphical representation of the sequence and relationship of the meetings, work periods, and briefings that comprise the incident action planning cycle. Other versions of the Planning P may be used as needed.

- ✦ The Operational Planning “P” is a visual guide to the process and steps involved in planning for an incident or event.
- ✦ The leg of the “P” describes the initial stages of an incident response, when personnel work to gain awareness of the situation and establish the organization for incident management to control the situation.
- ✦ The top of the “P” describes the process when incident management shifts into proactive response.

One important thing to note is that the term **step** may not be an entirely accurate word to describe the IMS planning process. In reality, many activities in the planning process are being conducted simultaneously.

THE OPERATIONAL PLANNING “P”



PLANNING
PROCESS

THE IMS PLANNING PROCESS

The IAP provides clear direction and includes a comprehensive listing of the tactics, resources, and support needed to accomplish the objectives. The various steps in the process, executed in sequence, help ensure a comprehensive IAP. These steps support the accomplishment of objectives within a specified time.

The development of IAPs is a cyclical process, and personnel repeat the planning steps every operational period. Personnel develop the IAP using the best information available at the time of the Planning Meeting.

The planning process should provide the following:

- ✦ Current information that accurately describes the incident situation and resource status.
- ✦ Predictions of the probable course of events.
- ✦ Alternative strategies to attain critical incident objectives.
- ✦ A comprehensive IAP for the next operational period.

During the initial stages of incident management, planners should develop a simple plan that can be communicated through concise oral briefings. Frequently, this plan must be developed very quickly and with incomplete situation information. As the incident management effort evolves, additional lead time, staff, information systems, and technologies enable more detailed planning and cataloging of events and lessons learned.

INITIAL RESPONSE & ASSESSMENT

The period of Initial Response and Assessment occurs in all incidents. Short-term responses, which are small in scope and/or duration, can often be coordinated using only an Incident Briefing Form (IMS 201).

Initial Response and Assessment activities are to:

- ✦ Gain situational awareness.
- ✦ Assume command.
- ✦ Determine initial objective and take action.
- ✦ Organize and direct response resources.
- ✦ Identify appropriate communication methods.
- ✦ Evaluate current response actions and adjust as needed.
- ✦ Evaluate potential incident complexity.
- ✦ Request additional resources if needed.
- ✦ Complete the Incident Briefing Form (IMS 201).

AGENCY ADMINISTRATOR BRIEFING

The Agency Administrator Briefing is a briefing to the personnel who will be managing or supporting the incident by the administrator or other senior official of the jurisdiction, agency, or organization affected.

This briefing provides supporting details to the delegation of authority or other document that the jurisdiction, agency, or organization typically provides to the IC.

The Agency Administrator Briefing occurs when:

- ✦ IC are assuming duties outside their normal responsibilities;
- ✦ IC are from an entity or jurisdictional area that does not possess authority to manage the incident they are being assigned.

During the briefing, the agency administrator or a designee provides information, guidance, and direction necessary for the successful management of the incident. The briefing is intended to ensure a common understanding between the jurisdiction, agency, or organization and the incident personnel regarding such things as the environmental, social, political, economic, and cultural issues relevant to the incident and its location.

INITIAL INCIDENT BRIEFING

The Incident Briefing step in the IMS Planning Process is focused on transfer-of-command. During the transfer-of-command, an IMS 201-formatted briefing provides an incoming IC with basic information regarding the current incident situation and resources.

The IMS 201 Incident Briefing Form:

- ✦ Functions as the Incident Action Plan during early stages of response.
- ✦ Documents the incident situation, actions taken, and decisions made.
- ✦ Facilitates transfer-of-command briefings.
- ✦ Facilitates briefings to incoming responders.

INITIAL COMMAND MEETING

If a Unified Command is managing the incident, the Initial Command Meeting allows members of the Unified Command to meet in private to discuss each jurisdiction or organization's priorities and objectives as well as any limitations, concerns, and restrictions.

It is ideal to have contingency planning and relationships developed before an incident occurs, which would make this meeting go more smoothly. However, most of the time the Incident Commander may be working with someone they do not know, and this meeting provides the opportunity for the Command to get to know each other and agree on critical incident issues.

IC DEVELOP/UPDATE OBJECTIVES MEETING

The IC must establish incident objectives and priorities in order to effectively manage an incident. Clearly communicated priorities and objectives support unity of effort among incident personnel and enable the development of appropriate strategies and tactics. When the members of the team clearly understand the intent behind their instructions, they are better equipped to act decisively and make good decisions.

The objectives need to be SMART:

- ✦ **S** - Specific
- ✦ **M** - Measurable
- ✦ **A** - Achievable
- ✦ **R** - Relevant/Realistic
- ✦ **T** - Time bound

COMMAND AND GENERAL STAFF MEETING

At the Command and General Staff Meeting, IC get together with the Command and General Staff and brief them on their decisions, management directions, objectives for the next operational period, priorities, limitations/constraints, and expectations.

Two things to note:

- ✦ This meeting takes place early in the planning process to ensure everyone is heading in the same direction.
- ✦ Personnel attending this meeting should be prepared to receive direction and present any issues requiring IC clarification.

PREPARE FOR TACTICS MEETING

During the time between the Command and General Staff Meeting and the Tactics Meeting, the Operations Section Chief (OSC) supported by the Planning Section Chief will work together to develop draft strategies and tactics for each operational objective that the IC has set for the next operational period.

IMS Operational planning logic:

Priorities (P. E. A. R.)

- **Objectives** (S. M. A. R. T.)
 - **Strategies** (What method to use?)
 - **Tactics** (How to implement?)
 - **Resources** (What resources?)

TACTICS MEETING

During the Tactics Meeting, the OSC discusses how he or she will organize and conduct operations during the next operational period. The OSC presents the drafted strategies and tactics to ensure that those present can support the tactical plan.

PREPARE FOR PLANNING MEETING

Following the Tactics Meeting, preparations begin for the Planning Meeting. During this step, the incident management team is spending time to ensure the material, information, resources, etc., used in Planning Meeting is as accurate as possible.

The drafted tactical plan is further refined to reflect the latest incident information.

PLANNING MEETING

The Planning Meeting serves as a final review and tentative approval of operational plans and resource assignments developed during and after the Tactics Meeting.

Ideally, the Planning Meeting involves no surprises and simply serves as a review of a plan that the Command and General Staff have collaboratively developed and agreed upon.

At the end of the Planning Meeting, Command and General Staff, and any agency officials involved, confirm that they can support the plan.

FINALIZE AND APPROVE IAP

The IAP includes the overall incident objectives and strategies established by Incident Command.

- ✦ The IAP addresses tactics and support activities required for the planned operational period (generally 12-24 hours).
- ✦ The IAP should incorporate changes in strategies and tactics based on lessons learned during earlier operational periods.
- ✦ For a Unified Command (UC), the IAP must adequately address the mission and policy needs of each jurisdictional agency, as well as the interaction between jurisdictions, functional agencies and private organizations.

A written IAP should be considered whenever:

- ✦ Two or more jurisdictions are involved in the response.
- ✦ The incident continues into the next operational period.
- ✦ A number of IMS organizational elements are activated (typically when General Staff Sections are staffed).
- ✦ It is required by agency policy.

The IAP will typically contain components shown below.

COMPONENT	NORMALLY PREPARED BY
Incident Objectives (ICS 202)	Incident Commander
Organization Assignment List or Chart (ICS 203)	Resources Unit
Assignment List (ICS 204)	Resources Unit
Incident Radio Communication Plan (ICS 205)	Communications Unit
Medical Plan (ICS 206)	Medical Unit
Incident Maps	Situation Unit
Site Safety Plan	Safety Officer

INCIDENT – DEPENDENT COMPONENTS	NORMALLY PREPARED BY
Air Operations Summary	Air Operations
Traffic Plan	Ground Support Unit
Decontamination Plan	Technical Specialist
Waste Management Plan	Technical Specialist
Demobilization Plan	Demobilization Unit
Site Security Plan	Law Enforcement, Technical Specialist or Security Manager
Investigative Plan	As required
Evidence Recovery Plan	As required
Evacuation Plan	As required
Sheltering/Mass Care Plan	As required
Other	As required

OPERATIONS BRIEFING

Each operational period starts with an Operational Period Briefing. Incident supervisory and tactical personnel receive the IAP during the briefing.

During this briefing, various members of the Command and General Staff present the incident objectives, review the current situation, and share information related to communications or safety.

Following the Operational Period Briefing, supervisors brief their assigned personnel on their respective assignments as documented in the IAP.

During longer operational periods, shift change briefings may be conducted within an operational period.

EXECUTE PLAN & ASSESS PROGRESS

The IAP should always be treated as a living plan that is subject to change according to the actual incident situation. Continuous assessment can help to adjust the current operations and plan for future operations.

Following the briefing and shift change, all Command and General Staff Section Chiefs will review the incident response progress and make recommendations to the IC in preparation for the next IC Objectives Meeting. This feedback is continuously gathered from various sources, including Field Observers (FOBS), responder debriefs, stakeholders, etc.

IC should encourage Command and General Staff to get out of the ICP and view firsthand the areas of the incident they are supporting.

节选

本文件为节选，如果您需要全本手册，请电邮联系我们：info@srmadvisory.com