

US NAVY REGION SOUTHEAST QUALIFIED INDIVIDUAL JOB AID



NAME: _____

EMSI



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Introduction

Who Should Use

This Job Aid is designed for an Installation Qualified Individual (QI) and Environmental Unit Leader (ENVL) assigned to a Navy Region Southeast Installation during a response to an incident involving the discharge or release of oil or a hazardous substance.

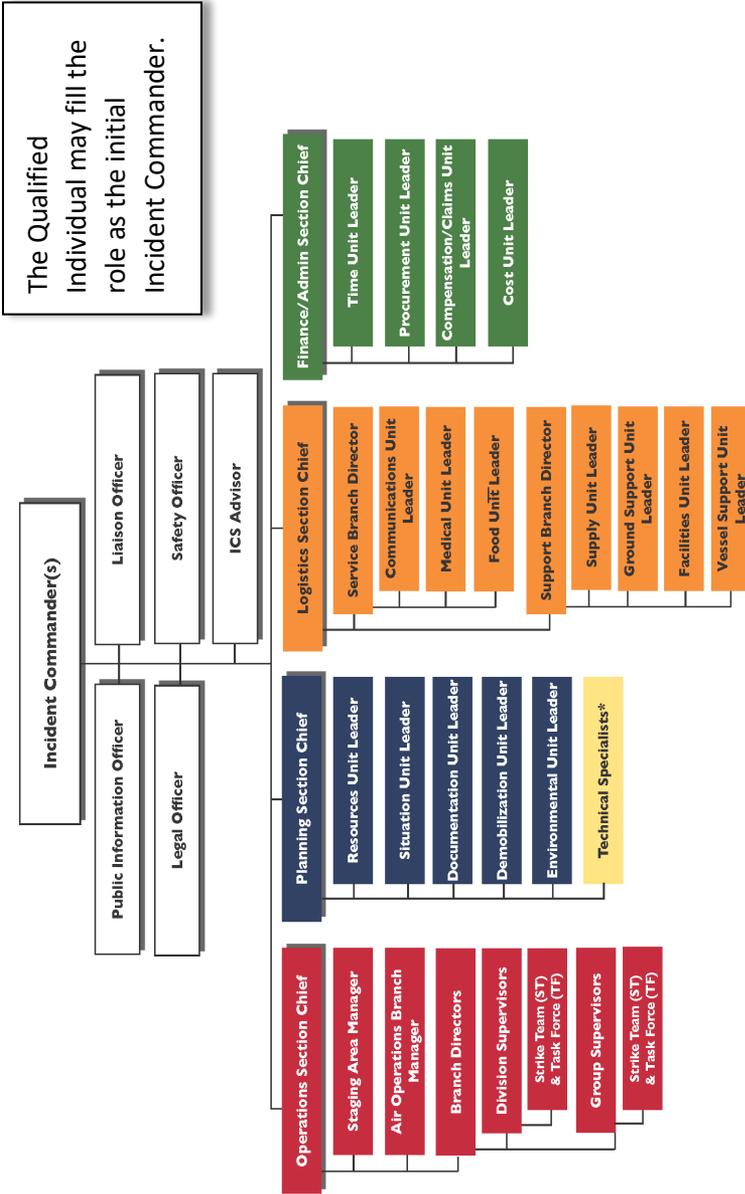
Personnel assigned to these positions should have a good environmental, leadership, and Incident Command System (ICS) background and experience with the position that they are filling on the incident.

Scope

The key to success in managing an incident or event is to start out correctly during the response. This Job Aid will focus on the roles and responsibilities of the Installation Qualified Individual (as outlined in the Code of Federal Regulations, and Navy guidance), as well as on several key positions within the Incident Management Team. This job aid will give the QI various tools to use during the response that are consistent with best practices as taught throughout the response industry. As the QI/ENVL responds and initiates the response process, he or she will need to establish effective incident objectives and ensure timely communication of these objectives. The QI/ENVL must provide overall direction, effective decision making, environmental recommendations, and organization of responding resources, which greatly contributes to the successful management of the incident.

Initial Response IMT Members

During the Initial Response, the Incident Commander/Qualified Individual has the responsibility to establish and fill those ICS positions necessary to manage the incident safely and effectively. The following organization chart identifies the most commonly used positions in the initial response. The duties of these positions will be covered in detail in this Job Aid.



Reference Material and ICS Forms

References

Below are some references that should supplement this Job Aid:

- National Contingency Plan, 40 CFR 300
- National Incident Management System (NIMS), 2011
- 33 CFR 154.1026 Facilities Qualified Individual
- 33 CFR 154.1045: Response plan development and evaluation criteria for facilities that handle, store, or transport Group I through Group IV petroleum oils
- 33 CFR 154.1047 Facilities that handle, store, or transport non-floating oils
- 29 CFR 1910.120: OSHA, Hazwoper regulations
- National Preparedness for Response Exercise Program (PREP) Guidelines, 2016
- OPNAV M-5090.1 Environmental Readiness Program
- CNRSEINST 5090.4

Additional reference material can be found on the following websites:

- [emsics.com](https://www.emsics.com)
- training.fema.gov/emi
- [nwcg.gov](https://www.nwcg.gov)
- homeport.uscg.mil

Position Specific Responsibilities

Responsibilities of the Installation Qualified Individual (QI)

- The Qualified Individual may also act as the initial Incident Commander (IC). In addition to the IC responsibilities, the QI has specific responsibilities that are outlined under CFRs and Navy guidance. The specific responsibilities are:
- Rapidly initiate and sustain an appropriate response in accordance with applicable contingency plans.

- Be located in the United States.
- Speak fluent English.
- Be familiar with the implementation of the installation response plan.
- Be trained in the responsibilities of the Qualified Individual under the response plan (Including the following):
 - Activation of internal alarm(s) and hazard communication systems.
 - Notification of all response personnel and contractors (as needed).
 - Identification of the character, exact source, amount, and extent of the release and other necessary items needed for notifications.
 - The ability to act as liaison between appropriate federal, state, and local authorities through notification and information sharing.
 - Assessing the interaction(s) of the spilled substance with water and/or other substances stored at the facility and notify on-scene response personnel of assessment.
 - Assess possible hazards to human health and the environment.
 - Assess and implement prompt removal actions.
 - Coordinate rescue and response actions.
 - Initiate cleanup activities.
 - Direct cleanup activities until properly relieved of the responsibility or until the incident is terminated.
- Assign personnel to the appropriate positions required. Remember, any position not assigned by the QI/Initial Incident Commander means that the QI/IC must perform those duties until filled.

Responsibilities of the Environmental Unit Leader (ENVL)

The Environmental Unit Leader (ENVL) is a manager of skilled technicians, scientists, and resources stakeholders that would comprise

the Environmental Unit. The ENVL would most likely be located in the installation EOC during a response event.

The ENVL should have a detailed understanding of how environmental processes could influence the efficiency and effectiveness of cleanup or mitigation actions. Conversely, the ENVL understands how cleanup may impact or enhance the environment.

A very important aspect of being an ENVL is recognizing that you cannot know everything but should know who to contact to get the information required (i.e., reach back to agencies/organizations or Subject Matter Experts). Additionally, the ENVL is highly encouraged to reach out to local, state, and federal regulators to include them in Environmental Unit.

The Environmental Unit is responsible for understanding how a chemical agent (includes petroleum) or physical force (e.g., hurricane, flood waters, tsunami, and tornado) behaves in the environment. This includes understanding the properties of a chemical agent and physical force and how they relate to the environment.

The Environmental Unit is responsible for understanding the fate, transport, disposition of chemical pollutants within the environment and how they exploit various transport medium, such as air, ground, water, and anthropogenic structures (contamination).

The Environmental Unit understands how chemical agents transmit through the environment and pose a risk to human health. They can recommend environmental mitigation techniques to minimize impact to human health. The ENVL does not recommend individual human health protective measures such as personnel protective equipment for responders. This is the job of the ICS Safety Officer. Public Human Health decisions are the responsibility of local Public Health Officials. The ENVL works very closely with the Safety Officer to ensure that environmental mitigation techniques and personal protective equipment are coordinated.

The Environmental Unit acts as the lead to acquire or conduct forecasting of chemical agents by using sophisticated prediction

modeling. This enables the Planning Section of the ICS to guide development of effective plans for responding to the incident.

The Environmental Unit has thorough knowledge of environmental processes, such as wind, water, precipitation, groundwater flow, tides, and sunlight. Using this information, the ENVL can estimate the fate and transport of chemical agents.

The Environmental Unit provides the Operations Section recommendations on cleanup countermeasures and which countermeasure attains the greatest net environmental benefit. This net environmental benefit analysis (NEBA) is based on understanding agent physical, chemical, pathological, and other properties and environmental factors that may change or enhance these properties. The ENVL should avoid providing operational recommendations on cleanup countermeasures based on operational parameters such as: operator training, resource availability, competencies, operational performance history or other information based purely on operational factors. This is best left to field personnel specially trained emergency response operations.

The ENVL provides recommendations on chemical, physical, biological, pharmaceutical in-situ treatment techniques based on the scientific aspects of the incident situation such as operating environment and the properties of the chemical agent of concern. The Environmental Unit also provides necessary mitigation measures/avoidance measures and restrictions on clean-up and treatment techniques to ensure the maximization of Net Environmental Benefit.

The ENVL provides Scientific Data recommendations based on field observations. Additionally, the ENVL recommends methods for documenting field observations, collecting data, analyzing data, storing data, communicating data and data archiving.

Below are some specific responsibilities and duties of the ENVL:

- Provide scientific technical expertise and advice to as needed.
- Provide scientific/technical explanations of environmental data to responders, stakeholders, and leadership.

- Integrate expertise from governmental agencies, universities, community representatives, and industry to assist the IMT in identifying, evaluating and mitigating hazards, potential effects caused by an actual incident or threat of an incident.
- Provide environmental technical expertise during the development of the Incident Action Plan (IAP) and other support plans.
- Provide recommendations to assist Command with making environmentally informed decisions.
- Review the IAP to ensure that appropriate environmental details are incorporated.
- Coordinate contamination assessments and mapping.
- Acquire, distribute, and provide analysis of daily weather forecasts (e.g., meteorological, hydrological, ice, and oceanographic conditions).
- Predict the movement and dispersion of a chemical, physical, biological or radiological agents through trajectory modeling and mapping (e.g., groundwater flow, surface, sub-surface, currents, tides, winds, wave action).
- Identify environmental resources at risk, to include flora, fauna and habitat, as well as cultural/historical Resources at Risk, ICS-232.
- Develop disposal plans and track waste disposal.
- Monitor the environmental consequences of response efforts.
- Provide expertise on living resources and their habitats and provide information on associated cleanup and mitigation models.
- Develop strategies to minimize environmental impacts of incident based upon consensus of environmental scientists and stakeholders.
- Evaluate opportunities to use various response technologies.
- Work with the Operations Section Chief (OSC) to draft strategies and tactics from environmental objectives.
- Work with the Operations and Planning Section Chiefs (OSC & PSC) to prioritize response strategies and tactics developed to protect environmentally sensitive sites/Resources at Risk (ICS-232).
- Support the Planning Section Chief (PSC) with strategic planning related to the environmental challenges, including providing recommendations for prioritization of the response effort.
- Evaluate environmental trade-offs of response alternatives.

- Coordinate the initiation, documentation, and implementation of environmental permitting (emergency and standard) required during response (e.g., Endangered Species Act consultations).
- Gather data on impacted areas in order to assess appropriate response strategies (i.e., Shoreline Cleanup and Assessment Technique Teams).
- Coordinate discussion and decision regarding clean-up end points for pollution events.
- Identify staffing needs and delegate tasks to qualified staff. The ENVL must also acquire technical specialists to assist with complex scientific subjects.
- Work with the Safety Officer (SOFR) to ensure public health protection measures are coordinated.
- Review the Incident Site Safety and Health Plan to ensure environmental hazards are addressed.
- Ensure the Situation Unit Leader (SITL) has the necessary information to display and communicate environmental data.
- Work closely with Liaison Officer (LOFR) to facilitate understanding among environmental stakeholders and special interest groups.
- Be available to attend press briefings to clarify environmental issues.
- Ensure that all job-related activities are documented on ICS-214.

Specialized Personnel under the ENVL

The typical Environmental Unit personnel functions are outlined in numerous ICS related publications. The following list of additional specialized personnel was derived from experience on real incidents and events.

Assistant Environmental Unit Leaders (AENVL) can be utilized in many ways and can be invaluable to multiply the ENVL's efforts in managing the ENVL responsibilities effectively. They may specialize and can support specific aspects of the overall Environmental Unit's response. AENVLs may be used to manage or lead extended or round-the-clock Environmental Unit activities. In this case, the AENVL may need to be a fully qualified ENVL. Also, AENVLs used in this manner must clearly understand their decision-making authority and limitations, and their reporting requirements.

Technical Specialists (THSP). In today's complex world of guiding Environmental Unit activities, it is the rare person who can manage all of the detailed technical aspects of a major response effort effectively. ENVLs are encouraged to include Technical Specialists (THSPs) on their staff. These THSPs are particularly valuable for helping to conduct briefings, developing, and approving operational plans and overseeing the implementation of those plans. THSPs can be placed anywhere in the organization at any time in order to maximize the benefit of their expertise. Consider these people to be your subject matter experts for a particular aspect of a response effort. Examples of THSPs under the ENVL include, but are not limited to:

- Sampling Specialist
- Response Technologies Specialist
- Trajectory Analysis Specialist
- Weather Forecast Specialist
- Resources At Risk Specialist
- Air Modeling Specialist
- Shoreline Cleanup Assessment Specialist
- Historical/Cultural Resources Specialist
- Disposal Technical Specialist
- Geographic Information Specialist
- Geologist
- Hydrologist
- Geophysicist
- Environmental Toxicologist
- Environmental Scientist
- Oil Spill Scientist
- Chemical Product Specialist
- Chemical Process Engineer
- Hazardous Materials Remediation Specialist
- Local Public Health Authorities
- State Environmental Agencies
- State Oil Spill Response Agencies
- University Faculty Members
- Oceanographer

- Limnologist
- Native American Specialist
- Material Scientist
- Radiological Health Physicist
- Mobile Laboratory Service
- NOAA Scientific Support Coordinator (SSC), if requested by US Coast Guard or EPA Federal On-Scene Coordinator (FOSC). SSCs, per the National Contingency Plan (NCP), may be designated by the FOSC as principal advisors for:
 - Scientific issues
 - Communication with the scientific community and Natural Resource Trustee agencies (the “Trustees”)
 - Coordination of requests for assistance from state and federal agencies regarding scientific issues
 - Typical SSC response functions, at the request of the FOSC, may include leading a scientific team – such as serving as the Environmental Unit Leader, or Scientific/Technical Team Leader
- Special Teams as established by the National Contingency Plan (NCP) do not work for the ENVL, but may be requested to support the FOSC:
 - EPA Emergency Response Team
 - National Strike Force
 - Department of Energy, Radiological Assistance Program
 - Agency for Toxic Substance Disease Registry
 - Centers for Disease Control

Navy Region Southeast ICS Considerations

At Navy Region Southeast installations ICS will be used to manage the response to any discharge or release of pollutants into the environment. To that end, this Job Aid will consider two possible locations for personnel to be located who may fill ICS related positions. They are on-scene or sometimes described as in the field, and the installation Emergency Operations Center (EOC). An important consideration is that no matter where you are located, personnel at these two separate locations are still considered under the same response organization.

Simply put, some members of the organization are located in the “Command Post” or EOC, and some are in the field executing tactical response activities.

As we progress through the remainder of this Job Aid it is important to remember that these positions, and others as assigned, may be located at either place depending on the characteristics and circumstances of each incident.

ICS positions likely to be utilized during a Navy Region Southeast spill/release event:

Incident Commander (IC)

The Incident Commander is the first position filled on the Initial Response IMT and has overall responsibility for management of the incident.

The specific responsibilities of the IC include:

- Establish Command and the Incident Command Post (ICP).
- Size-up and assess the incident.
- Verify situation against initial report of the incident and communicate findings.
- Evaluate threats to responders and the public, take action to ensure safety.
- Establish, adjust, and communicate Command Direction to the response team. To include priorities, objectives, decisions, information reporting criteria, etc.
- Issue direction and staff assignments.
- Unless delegated to an Operations Section Chief, manage tactical operations.
- Identify resources on scene and order resources necessary to accomplish incident objectives.
- Determine the need to subdivide the incident into workable management units and expand the organization as necessary.
- Establish appropriate Command and General Staff positions and oversee their activities.

- Ensure appropriate facilities are established to support the incident response.
- Maintain communication with stakeholders, agency and company officials.
- Keep the public and stakeholders informed.
- Consider the establishment of Unified Command, where applicable.
- Evaluate contingencies.
- Ensure that critical needs and issues are addressed effectively.
- Make timely decisions.
- Document decisions and actions.
- Prepared to transfer command or close-out the incident.
- Maintain and update the Incident Briefing Form, ICS-201.
- Maintain and update a Unit/Activity Log, ICS-214.

Safety Officer (SOFR)

The Safety Officer (SOFR) function is to develop and recommend measures for assuring incident personnel and public safety and to assess and anticipate hazardous situations continually.

Reasons for staffing the SOFR position include:

- Potential for high-risk operations, especially, high-risk, low-frequency operations that have increased potential for unsafe outcomes

Note on staffing the Safety function – Staffing the Safety Officer position should be considered on every incident.

The specific responsibilities of the Safety Officer include:

- Obtain a briefing from the IC.
- Review the ICS-201 for safety considerations.
- Identify hazardous situations associated with the incident.
- Working with the OSC, develop the Site Safety Plan, ICS-201-5.
- Provide safety advice to Command and to the OSC.
- Ensure that the OSC is implementing measures to protect the responders and the public.

- Exercise authority to stop and prevent unsafe acts, as needed.
- Assign assistants, as needed.
- Conduct preliminary investigations of accidents that have occurred within the incident area.
- Brief Command on safety issues and concerns.
- Maintain documentation including the Unit/Activity Log, ICS-214.

Operations Section Chief (OSC)

When the Incident Command can no longer effectively manage operations on their own, in addition to the multitude of additional Command responsibilities, they may staff the Operations Section Chief position with a qualified individual. The Operations Section Chief (OSC) has the overall responsibility for the management of all tactical operations.

Reasons for staffing the OSC position include:

- Incident potential indicates multiple Operations Periods likely.
- Operations Section span-of-control limitations for the Incident Commander.
- Command can no longer supervise all aspects of the incident.
- External influences, or other incident management requirements, demand the attention of Command.

The specific responsibilities of the OSC include:

- Obtain a briefing from the IC.
- Determine resources on-scene and actions being taken.
- Organize resources into Strike Teams and Task Forces, and then Divisions and Groups, if required, to manage span-of-control.
- Determine resource requirements and request resources to address shortfalls.
- Evaluate incident potential and be prepared to respond appropriately.
- Establish Staging Areas, as necessary.
- Evaluate and request sufficient supervisory staffing for operational activities (DIVS, STAM, DOSC, ASOF, THSP, etc.)

- Supervise Operations Section personnel.
- Implement tactical operations to meet the priorities and objectives.
- Evaluate on-scene operations and make adjustments to organization, strategy, tactics, and resources, as the incident evolves.
- Maintain status of resources assigned. If the Resources Unit is established, keep them informed of changes in resource status.
- Coordinate activities with the Safety Officer (SOFR) to ensure compliance with safety practices.
- Ensure resources follow approved safety practices.
- Participate in briefings, as necessary.
- Provide updates on current actions and planned actions, and accomplishments to the IC for inclusion on the ICS-201.
- Ensure page 3 of the ICS-201 reflects the current Operations Section organization.
- Maintain Unit/Activity Log, ICS-214.

Strike Team/Task Force Leaders

When the Operations Section Chief can no longer effectively manage and supervise Single Resources without compromising span-of-control, the Operations Section Chief may organize Single Resources into Strike Teams and Task Force Leaders under a Strike Team or Task Force Leader. The Strike Team or Task Force Leader usually comes from one of the Single Resources in the Strike Team or Task Force; therefore, Strike Team and Task Force Leaders are not additional overhead positions. The Strike Team or Task Force Leader has the responsibility of directing tactical resources on the Strike Team or Task Force in the accomplishment of work assignments to achieve the IC's objectives as directed by the OSC.

Reasons for staffing STCR and TFLD positions include:

- Effective operational span-of-control at the Single Resource level is exceeded.

The specific responsibilities of the STCR/TFLD include:

- Obtain briefing and work assignment from the OSC or DIVS.
- Identify resources assigned to the Strike Team or Task Force.

- Brief assigned resources on the work assignment and provide tactical direction.
- Implement the tactical assignment within the Strike Team or Task Force.
- Supervise the Strike Team/Task Force resources and make changes, as appropriate.
- Ensure assigned equipment and tactical resources get to and from their assignment in a timely manner.
- Report information to the OSC or DIVS such as operational challenges and progress, new incident information, hazardous situations, significant events, etc.
- Maintain accountability of assigned resources and ensure, through the chain of command, that the Resources Unit is advised of all changes in status of resources assigned to the Strike Team or Task Force.
- Coordinate activities with other Strike Teams and Task Forces.
- Determine the need for assistance with the accomplishment of assigned tasks and request additional resources, as necessary.
- Resolve logistical problems within the Strike Team or Task Force.
- Maintain documentation including the Unit/Activity Log, ICS-214.

Division/Group Supervisors (DIVS)

When the Operations Section Chief can no longer effectively manage and supervise operational resources (Single Resources, Strike Teams, and Task Forces) without compromising span-of-control, the Operations Section Chief may create Divisions and Groups in the Operations Section and staff those elements with qualified Division/Group Supervisors. The Division/Group Supervisor (DIVS) has the overall responsibility of directing tactical resources in the accomplishment of work assignments to achieve the IC's objectives as directed by the OSC.

Reasons for staffing DIVS positions include:

- Effective operational span-of-control at the Single Resource and/or Strike Team level is exceeded.

The specific responsibilities of the DIVS include:

- Obtain briefing and work assignment from the OSC.
- Identify resources assigned to the Division or Group.
- Organize resources into Strike Teams and Task Forces, as required.
- Brief assigned resources on the work assignment and provide tactical direction.
- Implement the work assignment within the Division or Group.
- Supervise the Division/Group resources and make changes, as appropriate.
- Ensure assigned equipment and tactical resources get to and from their assignment in a timely manner
- Report information to the OSC such as operational challenges and progress, new incident information, hazardous situations, significant events, etc.
- Maintain accountability of assigned resources and ensure, through the chain of command, that the Resources Unit is advised of all changes in status of resources assigned to the Division or Group.
- Coordinate activities with adjacent Divisions or Groups.
- Determine the need for assistance with the accomplishment of assigned tasks and request additional resources, as necessary.
- Resolve logistical problems within the Division or Group.
- Maintain documentation including the Unit/Activity Log, ICS-214.

Staging Area Manager(s) (STAM)

When the Operations Section Chief can no longer effectively manage and supervise staged resources (Single Resources, Strike Teams, and Task Forces), the Operations Section Chief may create one or more Staging Areas in the Operations Section and staff those elements with qualified Staging Area Managers. The Staging Area Manager (STAM) has the overall responsibility of managing all activities within a Staging Area.

Reasons for staffing the STAM position include:

- Operational requirements for contingency resources necessitate establishing a Staging Area.
- More resources are available than are actually required, and thus require a “holding” area.

The specific responsibilities of the STAM include:

- Obtain a briefing from the OSC.
- Determine required resource levels from the OSC.
- Report to the Staging Area.
- Verify resources assigned to the Staging Area.
- Maintain and provide status to the Resources Unit of all resources assigned to the Staging Area.
- Organize resources to be prepared for rapid deployment and utilization.
- Respond to requests for resource assignments, as directed by the OSC.
- Advise the OSC when resource levels reach minimums.
- Accommodate check-in function in coordination with the RESL.
- Post Staging Area for identification and traffic control.
- Advise OSC as new incoming resources arrive at staging.
- Determine the need for any support equipment, supplies, feeding, sanitation, and security and coordinate with LSC to resolve.
- Request repair and maintenance service for resources assigned to staging as appropriate.
- Maintain Staging Area in an orderly condition.
- Maintain documentation, including the Unit/Activity Log, ICS-214.

Resources Unit Leader (RESL)

When the Incident Commander or the Operations Section Chief can no longer track and maintain status of operational resources, the Incident Commander may staff the Resources Unit Leader position with a qualified individual. The Resources Unit Leader (RESL) has the overall responsibility for maintaining the status of all tactical resources and personnel at the incident.

Reasons for staffing the RESL position include:

- Numerous resources on-scene or en-route.
- Resources accountability problems.
- Multiple check-in locations are required.

- Command and/or OSC can no longer effectively track operational resources.

The specific responsibilities of the RESL include:

- Obtain a briefing from the IC.
- Review ICS-201 and determine resources on-scene.
- Establish the check-in function at incident locations.
- Maintain and display the current status and location of all tactical resources.
- Maintain a master roster of all tactical resources and assigned personnel.
- Prepare and maintain an Organization Chart (ICS-207).
- Maintain documentation, including the Unit/Activity Log, ICS-214.

Check-In/Status Recorder (SCKN)

As the check-in locations are established on the incident, the Incident Commander, or Resources Unit Leader (if established), may assign Check-In/Status Recorders (SCKN) to check resources in and maintain resource status.

Reasons for staffing the SCKN position include:

- Numerous resources on-scene or en-route.
- Resource accountability problems.
- Multiple check-in locations are established and staff are required to check resources in.

The specific responsibilities of the RESL include:

- Obtain a briefing from the IC or RESL.
- Post signs so that arriving resources can easily find check-in location(s).
- Record check-in information on Check-In Lists (ICS-211).
- Transmit check-in information and resource status changes to the RESL.
- Maintain resource status information.
- Establish the check-in function at incident locations.

Situation Unit Leader (SITL)

When the Incident Commander can no longer track incident information and maintain situation status, the Incident Commander may staff the Situation Unit Leader position with a qualified individual. The Situation Unit Leader (SITL) has the overall responsibility for collecting, processing, and presenting incident information relating to the growth, mitigation or intelligence activities occurring on the incident.

Reasons for staffing the SITL position include:

- The incident is growing in nature such that Command and/or the OSC are unable to keep up with current events on scene, i.e., Situational Awareness.
- Situation reports, displays, and briefings are required.

The specific responsibilities of the SITL include:

- Obtain a briefing from the IC.
- Review the ICS-201, specifically the map and situation information on page 1.
- Begin collection and analysis of incident information and data as soon as possible.
- Maintain an incident chronology of events log.
- Prepare, display, and disseminate situation status information as required, including special requests.
- Prepare periodic predictions as required by the IC.
- Provide maps and photographic services as required.
- Conduct situational briefings as required by the IC.
- Develop and maintain master maps and charts of the incident.
- Coordinate with the entire organization to maintain situational awareness.
- Maintain documentation including the Unit/Activity Log, ICS-214.

Field Observer (FOBS)

As the Situation Unit is established and information is needed to maintain situational awareness, the Situation Unit Leader may assign

personnel to serve as Field Observers (FOBS) to collection situational information from personal observations at the incident.

Reasons for staffing the FOBS position include:

- Poor understanding of the situation and operational environment.
- Requirement for rapid collection and verification of situation information from the field level.

The specific responsibilities of the FOBS include:

- Obtain a briefing from the SITL.
- Collect situation information from personal observations of the incident.
- Coordinate with Operations Section personnel.
- Identify incident perimeters, trouble spots, weather conditions, hazards, etc.
- Monitor progress of operational resources and resource assignments.
- Identify locations of key incident facilities, Division boundaries, and geographic markers (waterways, roads, terrain changes, etc.).
- Gather information that will lead to accurate predictions.
- Communicate situation information to the Situation Unit Leader to inform overall situational awareness.

Communications Unit Leader (COML)

When incident communications requirements begin to grow in complexity, in terms of number of users, number of frequencies in use, interoperability requirements, or other communications challengers, the Incident Command may staff the Communications Unit Leader position with a qualified individual. The Communications Unit Leader (COML) is responsible for developing plans for the effective use of communications equipment, installing and testing communications equipment, distributing communications equipment to incident personnel, and maintaining and repairing communications equipment.

Reasons for staffing the COML position include:

- Heavy volume of communications traffic.

- Communications breakdowns and interoperability challenges.
- Enhanced IT/communications network requirements.
- There is a requirement for an Incident Communications Center.

The specific responsibilities of the COML include:

- Obtain a briefing from supervisor.
- Review the ICS-201, specifically the incident and Operations Section organization on page 3.
- Determine existing communications methods.
- Obtain communications requirements from the Incident Commander and Operations Section Chief.
- Prepare and implement an incident Communications Plan (ICS-205).
- Provide communications equipment to responders, as required.
- Provide technical information as required on:
 - Adequacy of communications systems currently in use.
 - Geographic limitations on communications systems.
 - Communications equipment capabilities and limitations.
 - Additional communications equipment available for use.
 - Anticipated communications problems.
- Maintain documentation including the Unit/Activity Log, ICS-214.

Medical Unit Leader (MEDL)

When incident operations are such that response personnel require on-site medical care or monitoring, or there is a possibility that they could require on-site medical care or monitoring, the Incident Commander or the Safety Officer may staff the Medical Unit Leader position with a qualified individual. The Medical Unit Leader (MEDL) is responsible for providing medical care to response personnel.

Reasons for staffing the MEDL position include:

- If incident potential presents an increased likelihood of responder injuries (i.e., potential explosion, etc.).
- Requirements for responder medical monitoring.

The specific responsibilities of the MEDL include:

- Obtain a briefing from supervisor or SOFR.
- Provide aid to responders in need of medical care.
- Coordinate transportation to hospitals for ill or injured response personnel.
- Develop a Medical Plan (ICS-206).
- Develop emergency medical procedures for response personnel.
- Monitor the medical aspects of incident personnel.
- Provide or oversee medical and rehab care delivered to response personnel.
- Maintain and secure required medical records.
- Respond to request for medical aid, medical transportation, and medical supplies.
- Maintain documentation including the Unit/Activity Log, ICS-214.

Additional ICS Positions and Incident Management Functions

Of course, with ICS being a flexible and scalable system, there are other IMT positions that could be filled in the Initial Response or Extended Initial Response phases of the incident, but the ones outlined above are the most common. The Incident Commander, along with the Command & General Staff, need to assess the needs of the incidents, the external influences on the IMT, and the likelihood of transitioning to a full IMT and out of the “Stem of the P”, and may as a result determine that there are additional functions that need to be established early. These may include:

- Finance Section Chief along with subordinate functions/units of the Finance Section.
- Documentation Unit Leader or Documentation Assistant.
- Demobilization Unit Leader.
- Legal Advisor.

It is possible for some of these functions to be performed remotely as reach-back support, particularly finance and procurement functions, as well as legal counsel. Below are some recommended staffing guidelines.

Functional Area	Position	Divisions/Groups			
		2	5	10	15
Command	Incident Commander	Always Established.			
	Deputy IC	As Needed, especially as external influences and non-operational requirements occupy Command's time.			
Command Staff	SOF	As Needed. Should be established early if there are high risk operations.			
	ASOF	As Needed. Should be considered in multiple hazard incidents and as the Operations Section expands.			
	PIO	As Needed. Should be established early if there is media/public interest.			
	JICM	As Needed. Should be considered if a JIC is established.			
	LOFR	As Needed. Should be established early if there are potential stakeholders or multiple entities involved in the response.			
Operations	OSC	Performed by next higher level.	1	1	1
	DOSC			1	1
	OPBD			2	3
	DIVS	2	5	10	15

Functional Area	Position	Divisions/Groups			
		2	5	10	15
	Strike Team	As Needed. Typically drawn from the single resource management; not a separate overhead position.			
	Task Force				
	STAM	As Needed. One per Staging Area.			
	AOBD	As Needed. Should be considered if multiple aviation resources are involved.			
Planning	PSC	Performed by next higher level.	Performed by next higher level.	1	1
	DPSC			1	1
	RESL	Performed by next higher level.	1	1	1
	ARESL			1	1
	SCKN		1	2	3
		Depends on the number of check-in locations established.			
	SITL	Performed by next higher level.	1	1	1
	ASITL			1	1
	FOBS		1	2	3
	DPRO		1	1	2

Functional Area	Position	Divisions/Groups			
		2	5	10	15
	ENVL	As Needed. Should be established early if the incident has potential for environmental impacts (haz-mat, oil, etc.).			
Logistics	LSC	Performed by next higher level.	1	1	1
	DLSC			1	1
	COML	Performed by next higher level.	1	1	1
	ACOML			1	1
	INCM	As Needed.			
	Incident Dispatcher	As Needed.			
	COMT	As Needed.			
	RADO	As Needed.			
	MDUL	Performed by next higher level.	1	1	1
			This function can be covered by a local ambulance.		
	FACL	Performed by next higher level.	1	1	1
Finance	FSC	As Needed.			

Functional Area	Position	Divisions/Groups			
		2	5	10	15
	Finance/ Admin Staff	Some of these functions may be performed remotely.			

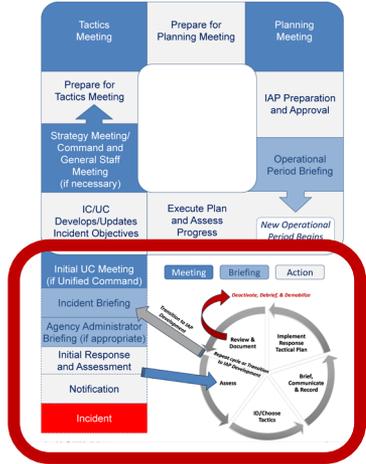
* Keep in mind, the above recommendations are based on 12-hour work schedules and may need to be doubled for a 24-hour work schedule.

The Installation QI/ENVL and the Initial Response

Initial Response (the stem of the P)

This Job Aid concentrates on the “Stem of the P” which is the initial response phase of the incidents where over 95% of all incidents remain.

The stem of the Operational Planning "P" is where an incident has occurred and emergency response resources are responding in accordance with their day-to-day operations. The initial response is typically driven by Operations with no planning element beyond the installation EOC’s planning function or the installation's practices, policies, and standard operating procedures (SOP). Other elements of the Command and General Staff are not activated at the onset of an incident; rather, they will be filled as an incident grows.



In the early stages, the Qualified Individual or initial Incident Commander is responsible for all functions until he or she delegates those responsibilities. As span of control becomes an issue, the QI/IC should quickly fill positions in the organization as necessary to control the situation.

Prior to an incident occurring, the following actions should be taken:

ACTION	<input checked="" type="checkbox"/>
Qualified Individual designated in writing with specific QI authorities outlined	<input type="checkbox"/>
Be familiar with implementation of Installation Response Plans and Area Contingency Plans	<input type="checkbox"/>
Be trained in QI responsibilities under the response plans	<input type="checkbox"/>
Understand response resources availability	<input type="checkbox"/>

The Qualified Individual / Initial Incident Commander and Response Preparation

Prior to the occurrence of an Incident or Event, the installation QI should develop those tools necessary to operate as a QI /IC, including building a “go kit” (see Appendix H).

Checklist of Items to be considered in preparation for a response by the installation Qualified Individual:

- Priorities
- Limitations and Constraints
- Scope of Work
- Installation resource limits
- Rules of Engagement
- Legal authorities and basis
- Political, social, and cultural implications and responsibilities
- Jurisdictional boundaries and area of responsibility
- Agreements and pre-existing plans, including the policies established for entering into Unified Command
- Contingency guidance or authority
- Reporting criteria such as schedule, thresholds and points of contact
- Reporting and relationship with other response facilities such as the installation Emergency Operating Center (EOC) or local community operating center
- Critical information reporting requirements
- Information management requirements with the media and stakeholders
- Stakeholder engagement expectations
- Resource management issues such as use of trainees, release priorities and use of local resources
- Documentation requirements such as case packages and performance evaluations
- Environmental responsibilities

The Qualified Individual / Initial Incident Commander and Operational Leadership

The most essential element of successful incident response is competent and confident leadership. Leadership provides purpose, direction, and motivation to resources to accomplish difficult tasks under dangerous and stressful circumstances.

In confusing and uncertain situations, a good Incident Command will:

- **TAKE CHARGE.** Establish Command and deploy assigned resources.
- **MOTIVATE** assigned personnel with a “can do safely” attitude.
- **DEMONSTRATE INITIATIVE** by taking action in the absence of orders.
- **COMMUNICATE** by giving responders specific instructions and asking for feedback.
- **SUPERVISE** at the scene of the incident.

Notification Phase

All incidents start with notification which triggers the mobilization and deployment of response resources. During this phase, the installation EOC collects as much information as they can about the incident, then relays this information to responding resources, and makes appropriate notifications. All responders need to collect and communicate as much information as they can about the incident to establish initial situational awareness and paint a Common Operating Picture.

The following checklist serves as a guide to the notification phase on Initial Response and applies to the installation QI/ENVL, as well as to the EOC.

Notification Checklist

<i>ACTION</i>	✓
Obtain initial reports and information on the incident. Respond in accordance with installation policies, SOPs and/or mobilization/ deployment orders.	<input type="checkbox"/>
Determine what has happened.	<input type="checkbox"/>
Validate information.	<input type="checkbox"/>
Communicate new information to responding resources.	<input type="checkbox"/>
Identify and address potential threats, challenges, and hazards.	<input type="checkbox"/>
Utilize notification checklists and pre-established procedures, as available.	<input type="checkbox"/>
Implement procedures from available response or contingency plans.	<input type="checkbox"/>
Ensure that notifications have been made to local response entities, stakeholders, and the public.	<input type="checkbox"/>
Respond with required materials, equipment, and supplies.	<input type="checkbox"/>
Prepare to conduct a visual incident size-up and assessment.	<input type="checkbox"/>

Consider potential initial response priorities and objectives.	<input type="checkbox"/>
Consider potential Area of Responsibility (AOR), both geographic and functional (what are you going to be responsible for managing?)	<input type="checkbox"/>
Start to document incident information: <ul style="list-style-type: none"> • Incident chronology/log • ICS-201, Incident Briefing Form 	<input type="checkbox"/>

Chronology of Events

An important part of managing any incident response is maintaining a chronology of events log (Chrono Log). The Chrono Log should be initiated during the notification phase and maintained until demobilization and incident closeout. The Chrono Log should capture major developments on the incident.

The Chrono Log is not an ICS form. It is designed to provide a single location to record incident events in the chronological time that they happened. The form enables for a notation by each entry that notes if follow on action is required. For example:

- The information may require that the ICS-209 is updated.
- The information may meet the threshold reporting requirements for Command.
- The information may need to be included in the next briefing.
- Or some combination thereof.

The Chrono Log, if maintained properly, serves as an excellent detailed history of the incident for briefings, SITREPs, documentation, and incident reconstruction.

While the ICS-214, Unit Log is a log of activities specific to an ICS position or unit, the Chrono Log is an incident wide event log tracking incident events, not simply the actions of a specific position of unit.

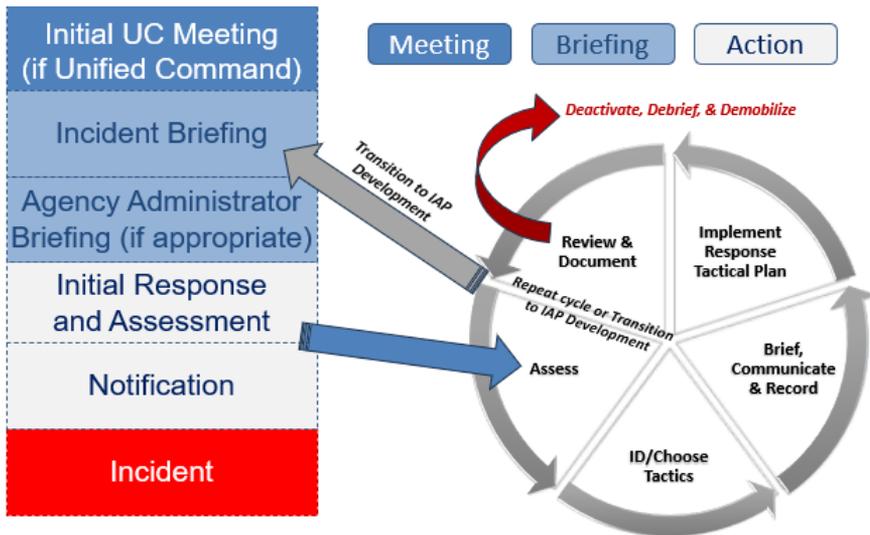
Initial Response Notification Template

Date/Time:
Requestor:
Location:
Nature of Incident:
Primary Hazards:
Incident Description (if available):
Entities Involved:
Key Contacts
Remarks

The Initial Response IMT and Initial Response

Initial Response and Assessment

During the early stages of an incident, the QI/ENVL will need to provide direction and environmental expertise as needed.



Some initial actions of the ENVL in particular are outlined below.

<i>ACTION</i>	✓
<p>As ENVL, perform the following steps below to support the initial response and assessment:</p> <ul style="list-style-type: none"> • Ensure EOC and on-scene personnel have the most current weather information and most reliable forecasted information. • If incident occurs on or within a tidal body of water, ensure responders have the most current wind, wave, temperature and tidal information. • Complete an agent hazard assessment and determine risk to the environment and an understanding of the risk to human health. Provide information to the SOFR, on-scene QI, and others as necessary. Write a short summary to document assessment and for use by responders. 	☐

<ul style="list-style-type: none"> • Ensure a complete list of environmental Resources at Risk, ICS-232 is provided to the QI and responders. • Coordinate EU efforts to determine likely pathways of agent migration through modeling or with existing data base. • Forecast agent migration through modeling. Provide trajectory estimate to the QI and responders. • Ensure a system is in place for collecting environmental impact data, including overflight assessments, ground surveys, vessel surveys, groundwater surveys, underwater surveys, and atmospheric surveys. Place information on a visual map. Provide to the QI and responders. • Determine biological transmission threat by investigating biological accumulation or magnification processes. 	
<p>Work with the Safety Officer, Public Health Officials, and state/local emergency responders to validate location of safety zones, exclusion zones, places of safe refuge and evacuation areas. Work with local emergency managers and local public health officials regarding beach, fisheries, and hunting area closures.</p>	<input type="checkbox"/>
<p>Review location of environmental zones: exclusion zones, protection zones, marine protected areas, wildlife refuges, sanctuaries, critical habitats, restricted areas, etc. Ensure a map of these zones is provided to Situation Unit.</p>	<input type="checkbox"/>
<p>Identify sensitive areas: environmental, cultural, archaeological, first nations, recreational, outdoor commercial, historical, water intakes, and symbolic. Ensure map of these areas is provided to the QI, Situation Unit, and Operations.</p>	<input type="checkbox"/>
<p>Identify sensitive species, flora, fauna, and habitats. Ensure a map of these sensitive species is provided to Situation.</p>	<input type="checkbox"/>
<p>Prioritize sensitive areas and species for protection using local, area, regional plans, and pre-planned sensitivity maps. Ensure a map of these prioritized areas is provided to Situation Unit.</p>	<input type="checkbox"/>
<p>Make assignments and brief subordinates assigned to Environmental Unit on the following:</p> <ul style="list-style-type: none"> • Incident situation • Command direction 	<input type="checkbox"/>

<ul style="list-style-type: none"> • Environmental Unit work hours • ENVL expectations of staff • Environmental Unit staff authorities • When ENVL or AENVL needs to be notified • Work product expectations • Coordination procedures • Start and maintain a Unit Log, ICS-214 • Establish reach-back capabilities (i.e., calls back to home agencies or identified Subject Matter Experts). 	
<p>If ENVL does not have subordinates yet, ENVL is responsible for all tasks and duties that fall under the ENVL responsibilities. <i>Start drafting your Resource Request (ICS-213 RR) EARLY, or you may become overwhelmed!</i></p>	<input type="checkbox"/>
<p>Establish a system for receiving information/updates. (For example, you could use inboxes/outboxes, envelopes, easels, white boards, or email, if capability exists.)</p>	<input type="checkbox"/>
<p>Working with the Situation Unit Leader, plan to dispatch Field Observers to monitor response operations and ensure compliance with all (e.g., federal, state, local, provincial, tribal) environmental regulations/restrictions. Instruct field observers on type of data needed and reporting instructions.</p>	<input type="checkbox"/>
<p>Identify the need for, and obtain, permits, consultations, and other authorizations, including Endangered Species Act (ESA) provisions.</p>	<input type="checkbox"/>
<p>Determine environmental challenges and hazards that may transpire and begin to build your organization to meet those challenges. Remember span of control (3 to 7). Also remember that Planning has Units and Teams not Groups, Task Forces or Strike Teams.</p>	<input type="checkbox"/>

As Installation QI, establish on-scene Command & Control

<p><i>ACTION</i></p>	<input checked="" type="checkbox"/>
<p>Establish on-scene Command & Control of the incident.</p>	<input type="checkbox"/>
<p>Communicate the establishment of Command with initial response resources on scene or enroute to the incident.</p>	<input type="checkbox"/>

As Installation QI, conduct on-scene operations risk management.

<i>ACTION</i>	✓
Verify/validate information from the notification phase.	<input type="checkbox"/>
Confirm injuries, fatalities, and threats to the public and responders.	<input type="checkbox"/>
Verify existing responder support services.	<input type="checkbox"/>
Establish or confirm exclusion, safety and hazard zones; evacuation areas; and places of safe refuge.	<input type="checkbox"/>
Provide direction as necessary to minimize risks to responders and the public.	<input type="checkbox"/>
Consider assigning an incident Safety Officer (SOFR).	<input type="checkbox"/>
Continue building the ICS-201 and ICS-201-5.	<input type="checkbox"/>

Incident Size-Up and Assessment

Incident assessment and complexity analysis is a critical component to successful incident management and the installation QI/IC must get a solid understanding of incident circumstances. It includes incident size-up and assessment, recognizing and evaluating incident potential, and assessing and evaluating incident complexity factors. It allows responders to adequately prepare not only themselves, but agency/installation executives, stakeholders, and the public for the potential challenges that may complicate the management of the incident. A well-executed size-up and assessment is the first step in effectively responding to and proactively managing an incident response. The below checklist is meant for the QI/IC but it will certainly benefit the installation EOC as well.

Initial Size-Up and Assessment Checklist

<i>ACTION</i>	✓
Verify, update, and validate information from the notification phase.	<input type="checkbox"/>

Ensure Command is established and designate a physical Incident Command Post (ICP); communicate with responders that Command has been established.	<input type="checkbox"/>
Attempt to get a visual perspective on the origin of the incident, if accessible. Consider use of technology (video feed, UAV, etc.) to conduct this assessment.	<input type="checkbox"/>
Assess the potential extent of the incident and immediate exposures at risk.	<input type="checkbox"/>
Confirm injuries, fatalities, and threats to the public and responders.	<input type="checkbox"/>
Confirm exclusion zones, safety and hazard zones, evacuation areas, and places of safe refuge.	<input type="checkbox"/>
Identify at-risk locations, populations, and environmental areas (environmentally sensitive areas).	<input type="checkbox"/>
Determine resources on-scene, communications effectiveness, and actions being taken.	<input type="checkbox"/>
Determine additional risks: security, weather, unstable situation, secondary threats/hazards, etc.	<input type="checkbox"/>
Provide direction to minimize risks to responders and the public.	<input type="checkbox"/>
Review applicable contingency plans.	<input type="checkbox"/>
Begin to formulate incident objectives based on functions to be accomplished.	<input type="checkbox"/>
Identify incident priorities based on critical factors such as life safety, incident stabilization, property conservation, environmental impact, economic recovery.	<input type="checkbox"/>
Identify resource and staffing requirements.	<input type="checkbox"/>
Establish initial AOR.	<input type="checkbox"/>
Identify primary factors that may cause rapid incident escalation or significant change.	<input type="checkbox"/>
Identify support/supply needs, and proactively address them.	<input type="checkbox"/>
Evaluate and adjust the incident organization as necessary.	<input type="checkbox"/>

Communicate with other response organizations; consider Unified Command requirements.	<input type="checkbox"/>
Continue to document incident information. If not already initiated, consider start an ICS-201.	<input type="checkbox"/>

Evaluating Incident Potential

In addition to focusing on the current situation and requirements of the incident, Installation QI’s must also consider incident potential. Part of their initial size-up and assessment must include an evaluation of the overall potential of the incident (i.e., what else can go wrong or how bad can this get?). The response team on-scene and in the installation EOC will perpetually be reacting to the evolving incident if they do not adequately evaluate, plan for, and manage the incident potential.

Evaluate and manage incident potential.

ACTION	<input checked="" type="checkbox"/>
Examine models, forecasts, predictions and THSP products. Consider whether the incident is still escalating, is stable or is likely to change characteristics.	<input type="checkbox"/>
Determine most probable incident duration and consider extent of work hours or shifts, whether round-the-clock or day only. Also, consider hours of operation for support aspects of the response like the ENVL staff.	<input type="checkbox"/>
Determine likelihood of incident escalation, secondary impacts, and potential for additional emergency development in the response.	<input type="checkbox"/>
Determine potential cross-jurisdictional issues and the need for Unified Command.	<input type="checkbox"/>
Evaluate external influences that will require attention (concerned stakeholders, public perception, off-installation impacts, business or transportation disruptions, media involvement, etc.) and recommend staffing the EOC accordingly.	<input type="checkbox"/>
Establish and maintain contact with public, media, assisting and cooperating agencies/companies and stakeholders. Keep them informed of incident potential. <i>Note: These external influences may require staffing the Public Information and Liaison functions.</i>	<input type="checkbox"/>

Determine capacity of the existing response structure to manage, support and meet resource demands for the incident’s most probable duration, and to address secondary impacts, incident potential and site-specific emergencies.	<input type="checkbox"/>
Evaluate need to expand the response organization and to hand off incident command to a person of higher-level authority, experience, and resource capability.	<input type="checkbox"/>

Complexity Analysis

A complexity analysis is a tool used by Incident Commanders and/or response professionals to assess the potential complexity of an incident, weighing a number of factors (including the incident potential complexity factors previously noted) that may increase the complexity of the incident and present challenges to successfully managing it. This process will likely be done by Installation EOC personnel but may be supported by the QI/ENVL.

The complexity analysis, whether it is quantitative or qualitative, should give Agency/Company Executives and Incident Commanders a thorough understanding of the potential complexity of the incident and information on the qualifications of the incident management resources required to manage the incident (i.e., Type 2 complexity requires a Type 2 IMT).

Sample Complexity Analysis

<i>ACTION</i>	<input checked="" type="checkbox"/>
Is the incident expected to last multiple days and operational periods?	<input type="checkbox"/>
Will the incident require specialized technical resources to resolve the operational problem(s)?	<input type="checkbox"/>
Will the incident impact a large geographic area?	<input type="checkbox"/>
Will the incident involve or impact multiple stakeholders?	<input type="checkbox"/>
Are there fatalities or expected fatalities?	<input type="checkbox"/>

Are the effects of the incident migrating off-installation? Is the public affected?	<input type="checkbox"/>
Will there be media (traditional and social) interest in the incident?	<input type="checkbox"/>
Does the geographic location of the incident present additional challenges?	<input type="checkbox"/>
Are there expected economic impacts from the incident?	<input type="checkbox"/>
Will the incident negatively impact the environment?	<input type="checkbox"/>
Will weather further complicate the management of the incident?	<input type="checkbox"/>
Will the incident be subject to political pressures and influences?	<input type="checkbox"/>

When completing the complexity analysis, Qualified Individuals/Incident Commanders must consider not only the actual/ confirmed complexity factors, but the potential complexity factors. They must not underestimate the role that public perception of the response/incident plays in the complexity of the incident. Upon completing the complexity analysis, the QI/IC must assess whether they are appropriately qualified to manage the incident.

Identify and implement priorities and objectives and conduct resource needs assessment.

<i>ACTION</i>	<input checked="" type="checkbox"/>
Determine additional risks: security, weather, unstable situation, etc. Review installation contingency plans.	<input type="checkbox"/>
Determine/validate initial response area of responsibility.	<input type="checkbox"/>
Ensure response resources are assigned to maximize their benefit in the early stages of the incident.	<input type="checkbox"/>
Identify primary factors that may cause rapid incident escalation or significant change.	<input type="checkbox"/>
Identify at-risk locations and populations.	<input type="checkbox"/>

<i>ACTION</i>	<input checked="" type="checkbox"/>
Develop or update incident priorities.	<input type="checkbox"/>
Develop or update incident objectives.	<input type="checkbox"/>
Conduct needs analysis by reviewing objectives and identifying resource shortfalls. Consider tactical resources, incident management team personnel, incident facilities, etc. Also, consider escalation potential and other contingencies or what-if possibilities.	<input type="checkbox"/>
Continue building ICS-201 and ICS-201-5.	<input type="checkbox"/>

Managing the Incident

Initial Response Command Direction

Immediately upon assuming command of the incident and completing the incident size-up and assessment, the Installation QI must begin to establish direction that will guide the incident and the actions of responders towards a successful resolution. In the simple sense, this is the leader’s intent: task, purpose, and end-state. For many routine incidents (Type 4 and Type 5), this task, purpose, and end-state are already part of Standard Operating Procedures and understood by all responders. In the initial response phase to expanding Type 3 incidents, this may not always be understood.

Initial Response Command Direction includes the Incident Commander making some immediate initial decisions, issuing interim direction and staff assignments, determining incident priorities, establishing incident objectives, and communicating all of this to the responders and evolving IMT.

Initial Response Command Direction

Initial Response Command Direction typically consists of:

- Decisions
- Priorities
- Objectives
- Interim Direction and Staff Assignments

Initial Decisions

Initial decisions consist of specific and immediate decisions made by the Incident Commander. These decisions may consist of:

- Location of incident facilities (staging areas, on-scene Command location, etc.)
- Perimeter and exclusion zones
- Initial evacuation and other exclusion areas
- Responder safety guidance
- Division of responsibility between EOC and on-scene QI
- Incident response area of responsibility (AOR)

Interim Direction and Staff Assignments

Interim Direction and tasks consist of specific and immediate directions and taskings provided by Command to direct operations or actions. Interim Direction is issued during periods of the response when more formalized direction has not yet been developed (i.e.: Initial Response), the dynamics of the incident are rapidly evolving (i.e.: Initial Response), or at any other time Command deems necessary to fill gaps in their clarity of direction. Interim direction may consist of:

- Operational, strategic, or tactical courses of action
- Resource allocation
- Reporting requirements
- Temporary procedures
- Guidance on site safety

Priorities

Priorities are factors that influence the allocation of resources or actions necessary to achieve Incident Objectives. Priorities are especially critical during the Initial Response phase when adequate numbers and required resources may not be readily available. During the Initial Response phase, Priorities typically revolve around the following factors:

1. Life Safety
2. Public Health

3. Environment
4. Security
5. Incident Stabilization

During the Initial Response phase and on small-scale incidents, priorities are captured on the ICS-201 (page 2). **Priorities are listed in order and numbered.**

Objectives

Incident Objectives are statements of direction that guide efforts or actions to achieve the desired outcome. During the Initial Response phase, Incident Objectives are usually operational in nature, intended to direct response to the immediate problem and stabilize or resolve the incident. While Incident Objectives in an IAP are more robust, Initial Response Objectives are typically shorter and more direct. Some examples of common Initial Response Objectives include:

- Secure the incident area.
- Extinguish the fire and protect adjacent tanks from overheating.
- Control the source of the discharge.
- Conduct initial assessment of the hazard.
- Secure evidence and commence investigation.
- Triage and treat injured victims.
- Contain, recover, and dispose of spilled material.
- Protect environmentally sensitive areas.
- Protect, recover, and rehabilitate affected wildlife.

During the Initial Response phase and on small-scale incidents, objectives are captured on the ICS-201 (page 2).

Priorities vs. Objectives

Priorities are declarative statements. They are listed in priority order and should be numbered accordingly.

Objectives are actionable statements (start with an action verb) in the form of a sentence and cover the functional areas of the incident that need to be addressed. Objectives form the basis for the strategies and tactics implemented to resolve the incident.

Many people default to the “SMART” model for creating objectives:

- Specific
- Measurable
- Achievable
- Realistic
- Timely

When developing objectives in an incident response, especially in the Initial Response phase, it can be more appropriate to ensure that the objectives meet the “AMF” criteria:

- Achievable
- Measurable
- Flexible

Organizing and Managing Operations

The majority of the effort on small-scale incidents and during the Initial Response phase is on operations. This means that most of the resources will be assigned to the Operations Section. This is why it is prudent for an Incident Commander or Installation QI to designate an Operations Section Chief, even on small-scale incident and during the initial response phase, especially when Command is faced with non-operational incident management tasks.

Initiating Operations

The initial stages of any incident can be a chaotic and dynamic, rapidly unfolding scene. Resources respond, oftentimes with limited information and an incomplete understanding of what is going on and are expected to get straight to work as soon as they arrive. In a highly

compressed timeframe, they need to determine what has occurred, what needs to be done, and how it can be done safely and effectively. Order must be brought upon this chaos immediately.

In order to accomplish this, whoever is directing the operations, whether it is an Incident Commander, the Installation QI, or an Operations Section Chief, needs to:

- Determine what needs to be done.
- Organize existing on-scene resources to address objectives.
- Provide tactical direction to operational resources.
- Supervise and manage operations.
- Identity resource requirements and request resources, as needed.
- Measure progress towards objectives.

These six steps can become a cyclical planning and execution process in the initial response phase.



* Starts with “Determine What Needs to be Done”

Conducting On-Scene Operational Risk Management.

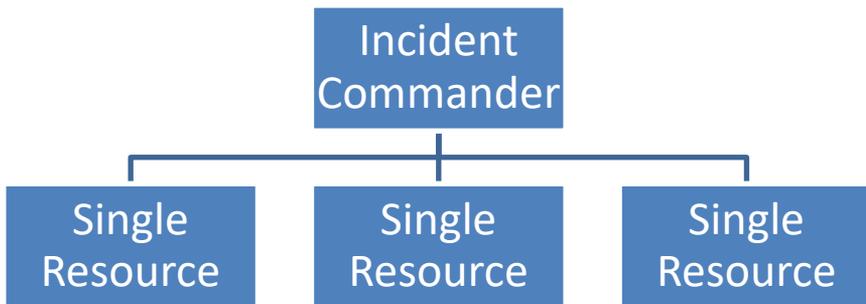
ACTION	✓
--------	---

Verify and validate information from notification phase.	<input type="checkbox"/>
Confirm risks to public and responders.	<input type="checkbox"/>
Verify existing responder support services.	<input type="checkbox"/>
Confirm exclusion, safety hazard zones, evacuation areas and places of safe refuge.	<input type="checkbox"/>
Ensure appropriate safety policy and procedures are in place and followed.	<input type="checkbox"/>
Ensure appropriate medical capability is in place to address any responder injuries.	<input type="checkbox"/>
Reach agreement with the initial IC on the process for completing or updating the ICS-201.	<input type="checkbox"/>

Organizing the Operations Section

While the rest of the ICS organization builds from the top down, the Operations Section builds from the bottom up ensuring that operations remain within acceptable span-of-control guidelines. As resources respond and check-in, the Operations Section Chief or the Incident Commander/QI if an Operations Section Chief has not been appointed, organizes and directs these resources. The Operations Section organization is designed to be highly flexible so that it can be organized in response to specific operational requirements.

Initially, the Operations Section usually consists of a few single resources and they report to the Incident Commander, Installation QI, or Operations Section Chief. This is depicted in the diagram below.



In the example, the Incident Commander can adequately manage and supervise these limited resources without implementing any of the span-of-control mechanisms, including designating an Operations Section Chief.

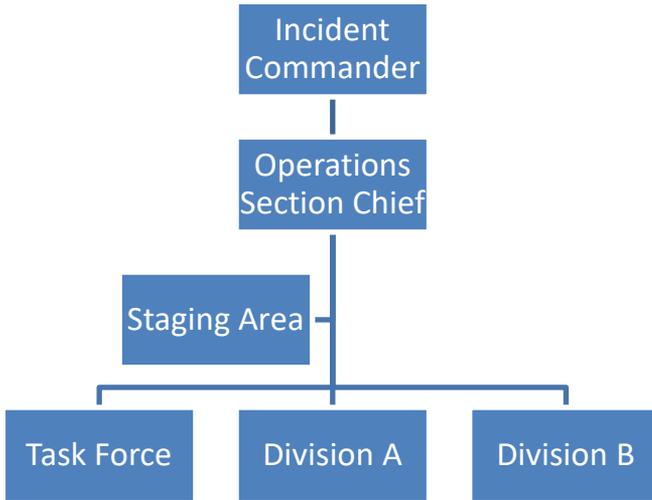
As the incident evolves or grows in complexity, additional resources may be required in the Operations Section and this may stress the Incident Commander's span-of-control. At this point the Incident Commander has four span-of-control tools they can implement:

- Assign an Operations Section Chief.
- Organize resources into Strike Teams and/or Task Forces
- Organize resources into Division and/or Groups
- Stage resources and assign a Staging Area Manager

Rules to Organize the Operations Section

- The incident shapes the organization.
- Do not over-organize (conversely, do not under-organize).
- Build from the bottom up.
- Take advantage of the ICS span-of-control (Strike Teams, Task Forces, Divisions, Groups, and Branches).
- Leverage the inherent flexibility that ICS offers.
- Consider incident potential and stage appropriate resources accordingly.

This is depicted in the following diagram.



For most initial response and small-scale incidents, this is sufficient organization for the Operations Section.

Identifying additional mission activities and conducting resource needs analysis.

<i>ACTION</i>	<input checked="" type="checkbox"/>
Determine additional risks such as security, weather, and unstable conditions. Review installation contingency plans.	<input type="checkbox"/>
Identify primary factors that may cause rapid incident escalation or change.	<input type="checkbox"/>
Identify Operations Section organization and resource adjustments needed. Consider escalation potential and other contingencies, and stage resources as appropriate.	<input type="checkbox"/>
Update work assignments and special instructions based on Command priorities, objectives, incident threats, limitations and constraints and escalation factors.	<input type="checkbox"/>
Determine adequacy of staging areas, communications and other support aspects. Request additional support as needed.	<input type="checkbox"/>
Ensure operations resource information is provided to check-in personnel.	<input type="checkbox"/>

Directing Operations

Much of the Initial Response is about directing operations. This includes providing tactical direction to operational resources, supervising and measuring progress of operational resources, adjusting tactics, reassigning resources, debriefing resources and assessing effectiveness of the operations.

- Organizing Operational Resources
- Span-of-Control
- Building the Operations Section
- Establishing Staging Areas
- Developing, Communicating, and Documenting Tactical Direction (briefing)

Safety

In today's all-hazard response environment, responders are frequently exposed to multi-hazard operational environments. That, coupled with a decreased tolerance for injuries and safety mishaps, means that safety issues need to be addressed from the earliest stages of the Initial Response. Safety and Operations go hand in hand. After the Incident Commander, it is not uncommon for the Safety function to be staffed next. The Initial Response operating environment, which is characteristically dynamic and hasty, naturally creates safety hazards for responders.

Safety Officers in Initial Response must quickly assess the incident and the hazards, identify and implement safety controls, measure risk, determine an acceptable level of risk, and closely monitor operations to ensure they are executed as safely as possible while still accomplishing the incident objectives.

The following checklist can be used to facilitate the establishment of a safety management process in the Initial Response phase. Ideally these tasks are assigned to a Safety Officer. If not, the Incident Commander is responsible for them until delegating to another member of the Initial Response IMT.

Safety Notification and Pre-Deployment Checklist

ACTION	✓
Obtain pre-deployment information on the incident from on-scene QI, or the EOC. Determine the extent of the situation. Try to get a mental picture.	<input type="checkbox"/>
If a chemical is involved, obtain manufacturer's product information from a Material Safety Data Sheet and document hazards and risk mitigation measures.	<input type="checkbox"/>
Conduct pre-deployment operational risk assessment. Identify hazards to installation personnel, the public, and responders and what is currently being done to mitigate them. Consider using the ICS-201-5 or the Hazard/Risk Analysis Worksheet, ICS-215a.	<input type="checkbox"/>
Determine injuries, fatalities and real or probable threats to responders.	<input type="checkbox"/>
Identify hazard, exclusion, and safety zones. Determine safe refuge and evacuation areas.	<input type="checkbox"/>
Request additional assistants, if needed, for performing incident safety responsibilities.	<input type="checkbox"/>

Safety Initial Response Checklist

ACTION	✓
Receive an in-briefing from the Incident Commander or on-scene QI.	<input type="checkbox"/>
Review the ICS-201 including Current Actions and Planned Actions. Consider the experience, capabilities, and qualifications of the resources performing high-risk operations.	<input type="checkbox"/>
Verify and validate information from notification phase.	<input type="checkbox"/>
Clarify Safety Officer authorities from Command/Installation QI/EOC, including Stop Work Authority.	<input type="checkbox"/>

Review the scene and its specific site hazards.	<input type="checkbox"/>
Confirm injuries, fatalities, hazards, and threats to the public and responders.	<input type="checkbox"/>
Confirm exclusion, safety and hazard zones, evacuation areas and places of safe refuge.	<input type="checkbox"/>
Coordinate with the OSC and RESL to ensure a resource tracking and accountability process is in place.	<input type="checkbox"/>
Review the organization for span-of-control concerns.	<input type="checkbox"/>
Identify real and potential hazards.	<input type="checkbox"/>
Evaluate probability and consequences of hazards.	<input type="checkbox"/>
Identify and implement safety controls and mitigations.	<input type="checkbox"/>
Review PPE requirements and identify and implement appropriate levels of PPE.	<input type="checkbox"/>
Identify the need for Assistant SOFRs and THSPs.	<input type="checkbox"/>
Ensure responder medical care is available.	<input type="checkbox"/>
Identify procedures for emergencies occurring in the incident such as injury and accident, including medical response procedures and contacts.	<input type="checkbox"/>
Identify emergency alarms and hand signals.	<input type="checkbox"/>
Complete ICS-201-5.	<input type="checkbox"/>
Ensure all responders receive a briefing prior to commencing operations that includes relevant safety information.	<input type="checkbox"/>
Closely monitor operations, especially high-risk operations.	<input type="checkbox"/>
Begin Unit Activity Log (ICS-214).	<input type="checkbox"/>

How Many ASOFRs are Needed in the Field?

One simple approach is to assign an ASOFR for each group and division or at least those divisions or groups where the identified hazards are such that positive safety oversight is necessary.

The primary responsibility of ASOFRs in the field is to protect responders and the public from incident hazards. Therefore, ASOFRs should be targeted for incident areas and operations of high risk. During the initial part of an emergency, the SOFR is working to identify hazards, evaluate them and develop controls. In addition to identifying the hazards specific to the emergency location, such as slips, trips and falls, the SOFR must also consider what operations are hazardous. Deploying ASOFRs in the field is the best control for protecting responders and the public during an emergency. Simply put, ASOFRs should be targeted to areas and operations that pose a high safety risk to responders and the public.

If the incident has matured to a point where IAP processes are in place, the SOFR can use the Tactics Meeting as a means for identifying assistants. In preparing for the Tactics Meeting, the SOFR will be using the Hazard/Risk Analysis Worksheet (ICS-215a) to conduct a hazard/risk analysis for each work assignment identified by Operations. For those work assignments that pose a high risk to responders, an ASOFR should be assigned.

The most effective initial action a SOFR can take is to deploy assistants into the field as soon as possible. Placing eyes, ears, and enforcers in the heat of battle is the most effective way to ensure responders and the public are safeguarded.

Evaluating, organizing, and deploying on-scene resources

ACTION	<input checked="" type="checkbox"/>
Ensure effective communication exists between on scene resources and OSC.	<input type="checkbox"/>
Tour the operational area.	<input type="checkbox"/>
Carefully examine existing span of control; use STs and TFs, Divisions and Groups, as appropriate.	<input type="checkbox"/>
Order and deploy special teams.	<input type="checkbox"/>
Organize existing on-scene resources to address incident priorities and objectives. Determine need for additional overhead personnel such as Division or Group Supervisors.	<input type="checkbox"/>
Order resources as needed for all work shifts.	<input type="checkbox"/>
Ensure most effective resource to mission match. Consider commercial sources.	<input type="checkbox"/>
Use Field Observers (FOBS) to help communicate operations information back to the ICP.	<input type="checkbox"/>
Evaluate the need for aircraft or aerial observation for current and planned actions, logistics support and contingency operations.	<input type="checkbox"/>
Evaluate support requirements to sustain operations, such as food, fuel, and relief crews.	<input type="checkbox"/>
Convey key decisions, support information and reporting information to Operations Section overhead personnel.	<input type="checkbox"/>
Observe the tempo of the Section personnel. If they seem overwhelmed, consider the following: <ul style="list-style-type: none"> • Span of Control adjustments • Need for Deputies and other support people • Need for new sub-element of Division, Group or Branch 	<input type="checkbox"/>

Continued evaluating and managing the incident.

<i>ACTION</i>	✓
Review existing and potential resource demands both operational and support.	<input type="checkbox"/>
Determine most effective work shifts and crew rotations.	<input type="checkbox"/>
Determine likelihood of incident escalation, secondary impacts, and potential for development of additional emergencies in the response.	<input type="checkbox"/>
Determine need for Deputy OSC and Assistant SOFR positions.	<input type="checkbox"/>
Determine capacity for existing Operations Section resources to meet demands for the most probable duration of the incident, to address contingencies, and to manage the potential.	<input type="checkbox"/>
Observe information flow patterns. Ensure information is flowing continuously between field elements and the ICP.	<input type="checkbox"/>
Assist in executing operational planning process if initiated by Command.	<input type="checkbox"/>
Evaluate need for Technical Specialists (THSPs) to assist in the Operations Section. Order as needed.	<input type="checkbox"/>
Continue completing or updating the ICS-201.	<input type="checkbox"/>

Operational Execution: Strike Team/Task Force Leaders and Division/Group Supervisors

Single Resource Leaders, Strike Team/Task Force Leaders, and Division/Group Supervisors will be responsible for the direct tactical oversight and operational execution.

<i>ACTION</i>	✓
Maintain communication and supervise tactical resources and make adjustments to work assignments, as necessary.	<input type="checkbox"/>
Report work progress to supervisor as per assigned reporting requirements.	<input type="checkbox"/>
Report critical information, as per assigned reporting threshold, immediately to supervisor.	<input type="checkbox"/>

Request additional resources or supplies as necessary per given requesting procedures.	<input type="checkbox"/>
Maintain communication with other elements of the Operations Section and coordinate work activities.	<input type="checkbox"/>
Maintain communication with other members of the IMT, including RESL, SITL, ENVL.	<input type="checkbox"/>
Continually assess the hazards and associated risks that exist within the Division or Group. Make adjustments based on the risk analysis in consultation with the SOFR via the OSC.	<input type="checkbox"/>
If an ASOFR is assigned, maintain communication and coordinate the oversight of safety issues.	<input type="checkbox"/>
Provide feedback on resource allocations and groupings into Strike Teams and Task Forces.	<input type="checkbox"/>

Evaluate, organize, deploy, and lead on-scene resources.

ACTION	<input checked="" type="checkbox"/>
Continue to organize existing on-scene resources to address objectives and maximize their efficiency. Determine need for additional on-scene and/or ENVL positions.	<input type="checkbox"/>
Order resources to fill gaps identified in needs analysis.	<input type="checkbox"/>
Ensure effective communications exist between on-scene operations resources and the Installation EOC.	<input type="checkbox"/>
Examine span of control and subdivide Operations organization into manageable work units (divisions, groups, strike teams and task forces).	<input type="checkbox"/>
Communicate priorities and objectives to responders; update as conditions change.	<input type="checkbox"/>
Evaluate and obtain support requirements as needed.	<input type="checkbox"/>
Brief and deploy response resources to protect sensitive areas such as environmental, historical, cultural, and critical infrastructure.	<input type="checkbox"/>
Establish an effective chain of command throughout the incident. Provide leadership and direction needed to assure a cohesive response effort.	<input type="checkbox"/>

<i>ACTION</i>	<input checked="" type="checkbox"/>
Ensure scene integrity and evidence protection.	<input type="checkbox"/>
Document decisions and actions and communicate them to incident personnel.	<input type="checkbox"/>
Coordinate with other response entities such as the Installation EOC and ensure that roles and responsibilities are clear.	<input type="checkbox"/>
Ensure/monitor that an appropriate initial response operation is deployed.	<input type="checkbox"/>
Activate and engage with Oil Spill Removal Organization (OSRO) as required.	<input type="checkbox"/>

Situation Awareness

Information management, including maintaining a Common Operating Picture and complete situational awareness, is one of the most challenging aspects of incident management, especially in the Initial Response when there are still many unknowns about the incident, the incident is dynamic and evolving, and the information management processes are not yet established or thorough.

Information management starts with the initial notification and the capture of initial notification information. The next step in the information management process and establishing and maintaining situation status is the Chrono Log. The Chrono Log serves as an outstanding tool for documenting the events on the incident that can be used to piece together the incident history and situation status.

In addition to the Resources Unit, the Situation Unit should be one of the first Planning Section functions established in the Installation EOC to support the Initial Response. A Situation Unit Leader can relieve the burden of tracking incident information, maintaining maps, and delivering briefings.

The following checklist can be used to facilitate the establishment and maintenance of situation status in the Initial Response phase. Ideally these tasks are assigned to a Situation Unit Leader. If not, the EOC and

on-scene QI are responsible for them until delegated to other members of the Initial Response IMT.

EOC Situation Awareness Checklist

ACTION	<input checked="" type="checkbox"/>
Begin to establish situational awareness for the incident: <ul style="list-style-type: none">• Establish response contacts.• Obtain maps and data (paper or digital).<ul style="list-style-type: none">○ Ensure maps are high quality, suitable for copying.○ Ensure data collected is in a format that can be utilized.○ Ensure maps and data provide adequate detail and cover the area that can potentially be involved in the incident.○ Collect existing maps and data from prior operational periods if applicable.	<input type="checkbox"/>
Review the ICS-201.	<input type="checkbox"/>
Review the Chrono Log. Assume responsibility for updating and maintaining the Chrono Log.	<input type="checkbox"/>
Obtain copies of all incident maps, including: <ul style="list-style-type: none">• ICS-201 maps• Tactical Worksheet maps• Specific Division/Group or Strike Team/Task Force maps• Public Information maps• Contingency plan maps Collate map information to ensure consistency across maps.	<input type="checkbox"/>
Confer with on-scene QI on latest incident information.	<input type="checkbox"/>

<p>Develop other potential sources of information:</p> <ul style="list-style-type: none"> • Initial responders • ENVL • Off-installation Command Centers • Other IMT positions • National Weather Service • Resource advisors • Traditional and social media • Contingency plans/preplans • Radio traffic • Incident logs 	<input type="checkbox"/>
<p>Obtain weather, currents, tides and other pertinent environmental information.</p>	<input type="checkbox"/>
<p>Begin to set up Situation displays in high visibility areas of the incident.</p> <ul style="list-style-type: none"> • Incident information • Status summary • Maps/charts 	<input type="checkbox"/>
<p>Set up Situation Unit. May need displays located both on-scene and in the Installation EOC.</p>	<input type="checkbox"/>
<p>Identify off-site reporting requirements.</p>	<input type="checkbox"/>
<p>In coordination with Planning and Operations, institute processes for obtaining first-hand information on accomplishments during field work shifts. Consider:</p> <ul style="list-style-type: none"> • Having Division/Group Supervisors (DIVS) provide periodic SPOTREPs to SITL. • Debriefing with appropriate THSPs on accomplishments and status of work in their area. • Having discussions with other field responders. • Deploying and debriefing FOBS. 	<input type="checkbox"/>

EOC should consider Situation Unit staffing needs based on incident response activities: <ul style="list-style-type: none">• Intensity of operations• Size and complexity of incident• Expected duration of incident• Number and locations of displays• Information demands of the IMT• Upward reporting requirements	<input type="checkbox"/>
EOC should order additional Situation Unit staff, as required. Staff may include: <ul style="list-style-type: none">• Assistant SITL (ASITL)• DPRO• FOBS• THSP• GIS	<input type="checkbox"/>
SITL should update briefing material for meeting. Prepare briefing notes and maps/charts.	<input type="checkbox"/>
SITL should obtain threshold reporting requirements from PSC or Command. Include in Chronology of Events Log.	<input type="checkbox"/>
Develop incident Essential Elements of Information (EEI) and set up tracking system to record.	<input type="checkbox"/>
SITL should begin development of ICS-230 for PSC approval and post in EOC and all display boards.	<input type="checkbox"/>
In preparation for the operational planning activities, develop briefing and display material tailored to specific audiences for each activity for the upcoming operational period.	<input type="checkbox"/>
SITL should begin Unit Activity Log (ICS-214).	<input type="checkbox"/>

Setting up the Environmental Unit Leader's Work Area in the EOC

The ENVL's work area in the Installation EOC is the space for the management of the environmental technical support to the response effort. Therefore, the space must be conducive for supporting current operations and the operational planning process. It should be located in close proximity to the OSC, PSC, SITL and SOFR. It needs to be functional and free of interruptions and distractions that detract from the ENVL's ability to support the technical portion of the response.

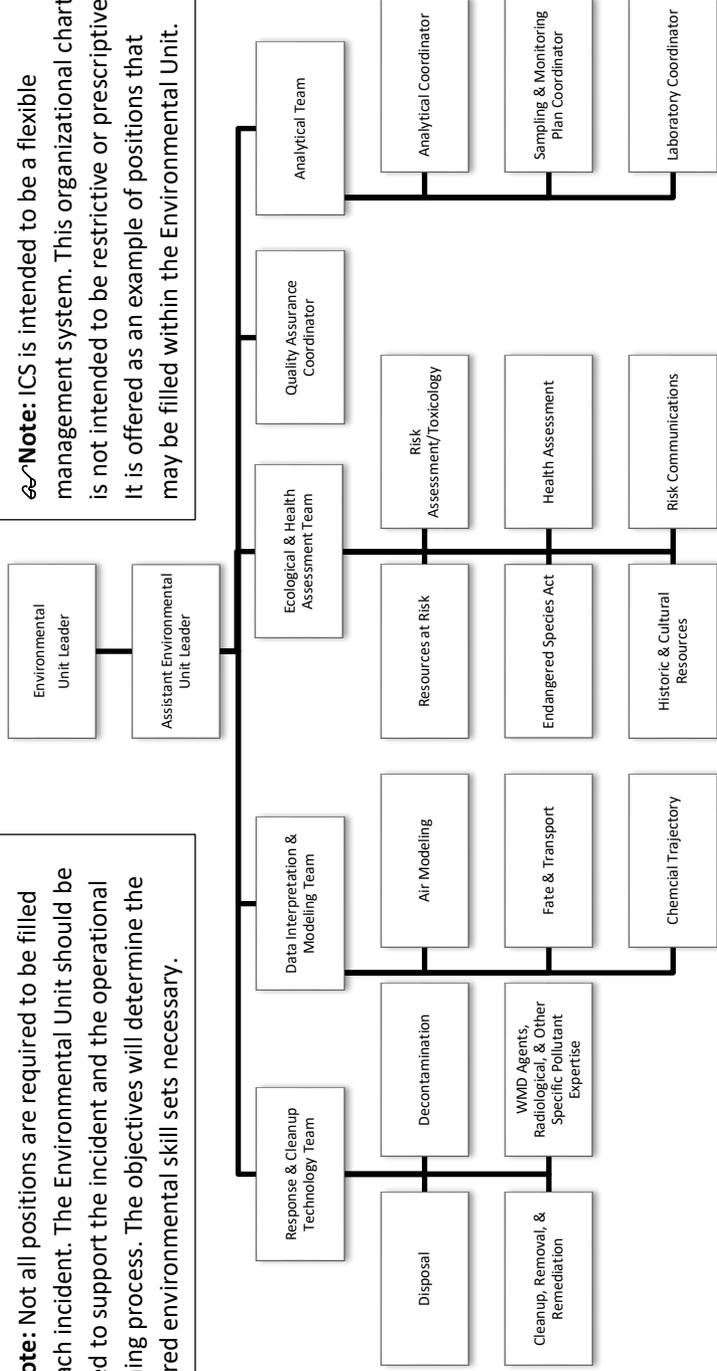
Some equipment that may be useful for outfitting an Environmental Unit space includes:

- **Networked computers** are vital to the ENVL's duties. Internet access that provides real time access to data is critical to the EUL's ability to process forecasts, reach back to home agencies and other assisting organizations, and preparing products.
- **Tables** should have enough room for the ENVL and team to work. Tabletop surfaces should allow ample space for equipment such as computers, printers, phones and chargers. There should also be tables set aside for laying out drawings, charts, maps, worksheets, or other large papers.
- **Easels and Wall Space for Posting Environmental Products.** The room should include wall space for hanging charts, maps, photos, and poster-size paper to develop and review written products. An easel should be available with poster-size paper (preferably the stick-on variety) with multi-colored markers.
- **Phones.** A conference call or speaker phone should be accessible to the ENVL. A secure or classified phone may be required as well.
- **Other Equipment.** Some other equipment that may be useful for outfitting a ENVL space includes:
 - Contingency plans
 - Projector & screen for developing products & briefings
 - Poster printer
 - Trash cans, shredders, burn bags
 - Television and DVD player for viewing video
 - Video-teleconference

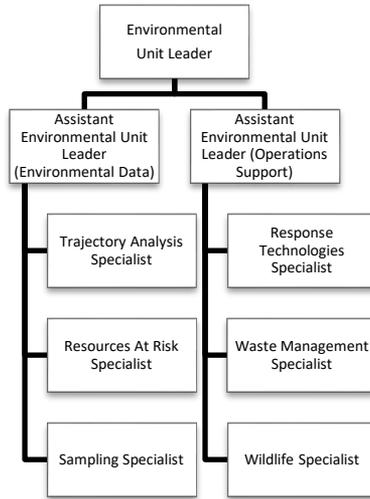
Sample Environmental Unit Organization Chart for a Major Incident

Note: Not all positions are required to be filled for each incident. The Environmental Unit should be staffed to support the incident and the operational planning process. The objectives will determine the required environmental skill sets necessary.

Note: ICS is intended to be a flexible management system. This organizational chart is not intended to be restrictive or prescriptive. It is offered as an example of positions that may be filled within the Environmental Unit.



Sample Environmental Unit Organization Chart for a Smaller Incident

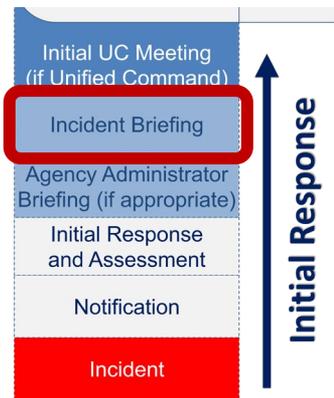


Initial Response Best Management Practices (EOC and On-scene QI)

- Form Unified Command early. Establish one response organization and one set of objectives.
- Build the Operations organization from the bottom up. Utilize Strike Teams, Task Forces, Functional Groups and Geographic Divisions. Establish Staging Areas as needed for contingencies.
- As the operational organization grows, consider filling the Operation Section Chief position early.
- Fill the Safety Officer Position as quickly as possible.
- Fill the Planning Section Chief position early with Situation Unit Leader and/or Resources Unit Leader to manage span of control and assist with development/maintenance of the incident on the ICS-201 and future operational planning cycles.
- Frequently ask for updates from the Resources Unit and provide updates to the agency/company coordination center. Keep agency/company executives informed.
- Immediately begin identifying resource needs for the next operational period.

Consider support needs such as food, fuel, equipment, etc. Consider filling the Logistics Section Chief position.

The Initial Response IMT and Incident Briefings



Incident Brief ICS-201

The initial response QI/IC has determined a need to hand over the position of IC to someone of greater authority or resource capability. The QI/initial IC may also have determined a need for a UC and is therefore using the ICS-201 to conduct a briefing for new additions to the UC.

The 201 Briefing can be used by the QI for a variety of purposes and at different times to ensure all responders and resources understand the scope of the incident. The 201 Brief may be used as a hand-off tool or used to help form a Unified Command, Brief VIPs, brief regulators, etc.

Many responders think of the ICS-201 as an organized yellow pad. Why? Because it captures common sense initial response information. Before diving into the ICS-201 form, we should acknowledge the design intent of the ICS-201. The ICS-201 was simply designed to capture the initial response situation, decisions and actions, and organization and resources. If this information was captured appropriately, the ICS-201 could stand as a valuable briefing tool for transitions, transfer of command, and the arrival of new resources.

Old time Incident Commanders will explain that the first two pages were given to the Situation Unit Leader to start “Sit-Stat”, while the third and fourth page were given to the Resources Unit Leader to start “Re-Stat”, hence the original form being folded like a book with a perforated center-line.

In the following sections we will explain each page of the ICS-201.

ICS-201 Page 1

Page 1 of the ICS-201 is the start of the Common Operating Picture and situation status. It includes a map or diagram of the incident area and narrative summary section.

It is not uncommon for the map to be a hand drawing done as close to scale as possible. It should note the operational and hazard areas, geographic and terrain features, and incident facilities. As the incident evolves, the map should be updated to reflect changes in the incident.

The narrative summary section should be a brief description of the incident to include what happened, when it happened, and the impacts of what happened. Current and planned actions are not captured here; they are documented on page 2 of the ICS-201.

1. Incident Name	2. Prepared by: (name) Date: _____ Time: _____	INCIDENT BRIEFING ICS 201
3. Map/Sketch (include sketch, showing the total area of operations, the incident site/area, overflight results, trajectories, impacted shorelines, or other graphics depicting situational and response status)		
4. Current Situation: _____ _____ _____ _____ _____ _____ _____ _____		

ICS-201 Page 2

Page 2 of the ICS-201 is an incredible valuable page. It captures initial response Command Direction, such as priorities and objectives. It also documents current and planned actions.

Finally, a brief acknowledgement of the incident potential should also be captured on page 2.

EMSI Recommended ICS-201 Page 2 Layout

Page 2 of many ICS-201 forms is a blank page and as a result, the information captured on the ICS-201-2 can vary from incident to incident. With respect to the design intent of the form, EMSI recommends the follow best practice for formatting and capturing information on the ICS-201-2.

- Priorities
- Objectives
 - Current Actions
 - Planned Actions
- Incident Potential

This information must be updated as the incident evolves, especially the current and planned actions. If you run out of space, don't be afraid to add another page 2 of the ICS-201.

Some people maintain an incident chronology log on page 2. EMSI recommends against doing this as there is already limited space on the page and the form is already designed to document significant amount of information there. Instead, an incident chronology should be established as a separate form (see incident chronology log) and individual position logs should be captures on ICS-214s.

1. Incident Name	2. Prepared by: (name) Date: _____ Time: _____	INCIDENT BRIEFING ICS 201
5. Initial Response Priorities, Objectives, Current Actions, Planned Actions, and Incident Potential		
<i>Priorities</i>	<i>Objectives</i>	
<i>Current Actions</i>	<i>Planned Actions</i>	
<i>Incident Potential</i>		

ICS-201 Page 3

Page 3 of the ICS-201 is used to capture the evolving incident organization, to include the Operations Section, Command & General Staff, and Unit Leaders. The ICS organization depicted on the ICS-201 is usually a lean organization as many of the ICS functions and positions are not fully staffed in the initial response phase. If the incident is being managed by a Unified Command, that should be reflected in the Command block of the organization. If Agency Representatives are assigned to the incident, this may also be captured on the ICS-201-3.

1. Incident Name	2. Prepared by: (name) Date: _____ Time: _____	INCIDENT BRIEFING ICS 201
6. Current Organization (fill in additional appropriate organization)		
<div style="text-align: right; margin-bottom: 10px;"><hr/><hr/><hr/><hr/><hr/><hr/></div> <div style="margin-bottom: 10px;"><p>— Safety Officer _____</p><p>— Liaison Officer _____</p><p>— Public Information Officer _____</p></div> <div style="display: flex; justify-content: space-around; align-items: flex-start;"><div style="text-align: center;"><div style="border: 1px solid black; padding: 5px; width: 150px;">Operations Section</div><div style="border: 1px solid black; width: 150px; height: 20px; margin-top: 5px;"></div><div style="border: 1px solid black; padding: 5px; width: 150px; margin-top: 10px;">Deputy OSC</div><div style="margin-top: 10px;"><div style="border: 1px solid black; width: 150px; height: 20px;"></div><div style="border: 1px solid black; width: 150px; height: 20px;"></div></div><div style="text-align: center;"><div style="border: 1px solid black; padding: 5px; width: 150px;">Planning Section</div><div style="border: 1px solid black; width: 150px; height: 20px; margin-top: 5px;"></div><div style="margin-top: 10px;"><div style="border: 1px solid black; width: 150px; height: 20px;"></div></div></div><div style="text-align: center;"><div style="border: 1px solid black; padding: 5px; width: 150px;">Logistics Section</div><div style="border: 1px solid black; width: 150px; height: 20px; margin-top: 5px;"></div></div><div style="text-align: center;"><div style="border: 1px solid black; padding: 5px; width: 150px;">Finance Section</div><div style="border: 1px solid black; width: 150px; height: 20px; margin-top: 5px;"></div></div></div></div>		

ICS-201 Page 4

Page 4 of the ICS-201 is the start of the Resource Status Summary. It is used to capture all resources, both operational and overhead, that are ordered, en-route, and checked in at the incident. Information such as resource name / unique identifier, resource leader, time ordered, ETA, check-in time, and incident assignment are all documented on the ICS-201-4. Incident assignment is more than just what they are doing, but what part of the organization they are assigned to (i.e., Decontamination Task Force or Haz-Mat Group).

ICS-201 Page 5

Page 5 of the ICS-201 is a relatively new concept. With an increased emphasis on safety, especially in multi-hazard incidents, it is important to start the safety and hazard/risk analysis process early, hence the inclusion in the ICS-201.

The ICS-201-5 is not intended to formally replace the Site Safety Plan (ICS-208). Instead, it is intended to capture relevant safety information that can be briefed to responders in the initial response phase. It includes a quick assessment of hazards along with operational controls or mitigations to mitigate the risk of the hazard. It captures relevant emergency medical procedures for response personnel and PPE requirements. Finally, it includes a narrative section for an Incident Commander or Safety Officer to document a safety message or other relevant information.

1. Incident Name:		2. Prepared By (Date/Time):		ICS 201-5 Site Safety	
3. Operational Hazards			4. Safety Controls / Mitigations		
			<input type="checkbox"/>		
			<input type="checkbox"/>		
			<input type="checkbox"/>		
			<input type="checkbox"/>		
			<input type="checkbox"/>		
			<input type="checkbox"/>		
			<input type="checkbox"/>		
5. Emergency Medical Procedures			7. PPE Requirements		
5a. Medical Monitoring Requirements			Hazard	PPE	
5b. Medical Aid Stations					
Location		Communications			
5c. Special Medical Emergency Procedures			8. Safety / Exclusion Zones		
6. Emergency Signals: (Evacuation / Shelter)					
9. Remarks				10. Safety Officer Information	
				Name:	
				Phone:	
				Other:	

Map – Current Actions – Incident Organization – Resource Summary Tying it all Together

If the ICS-201 is completed skillfully, it is possible to follow the path of a single resource from page 4 back to page 1. What do we mean by this?

Page 4: The resource, with its name and assignment, including organizational assignment, are documented on Page 4.

Page 3: On the organization chart, the operational Divisions and Groups and/or Strike Teams and Task Forces are documented. From page 4 you know what organizational element the single resource is assigned to and by reviewing page 3, you now know where they fit in the organization and to whom they report.

Page 2: Presumably every element of the initial response Operations Section has a work assignment. These work assignments form the basis of the Current Actions on Page 2. If the Initial Response Incident Commander or Initial Response IMT is on top of their game, the Current Actions will be tied directly to elements of the organization depicted on Page 3 (i.e., Haz-Mat Group on page 3 vs. Haz-Mat Group Current Actions on Page 2).

Page 1: Finally, the map on page 1 is kept current with operational areas, you may even be able to review the map and ascertain specifically where the resource from page 4 is geographically working on the incident.

This is a textbook ICS-201!

ICS-201: Final Thoughts

The ICS-201 can be an extremely valuable tool for documenting the initial response and briefing responders. If completed properly and thoroughly, the ICS-201 can serve as the initial IAP until a more complete IAP is developed. The key to a good ICS-201 is keeping it current and updated. It is not a form that is completed once and filed away; instead, it is a living

document and does not get filed until the first IAP is developed and implemented.

ICS-201 Briefing Checklist for Briefer

- Know your audience and adjust the briefing accordingly.
- Ensure that there are sufficient ICS-201 copies for everyone in attendance.
- Use maps, charts, photos, projections or other aids to provide details about the incident.
- Brief on the current situation.
- Brief on key decisions made thus far such as evacuations, closures and incident name.
- Brief on current priorities and objectives.
- Discuss current actions and tactics.
- Discuss planned actions including any specific timeframes.
- Review the current organization and projected expansion or contraction to meet the needs of the incident.
- Communicate critical management, response and support needs.
- Review incident facility locations and their functions.
- Review how on-scene resources are being utilized and supported.
- Discuss resources that have been ordered and their use upon arrival.
- Brief on any significant limitations or constraints.
- Discuss safety and communications status.
- Provide key information related to stakeholders.
- Discuss incident potential, including contingency or what-if possibilities, as well as additional emergencies that could occur during the incident.
- Discuss the response environment and any influences affecting the response effort such as media, politics, public expectations and many others.

Best Practices in Preparing for a Briefing:

- Plan ahead by arranging your source and display material in a logical sequence or use provided format that is expected and is easily understood. Know the time of your briefing and take at least 10 mins prior to practice it before having to give the brief. Remember you are factual not speculative.
- At the start of your briefing ensure that you professionally introduce yourself. Your briefing should include:
 - The time and date the briefing material covers.
 - Title of the briefing (e.g., Planning Meeting).
 - Incident situation, area impacted, any new support facilities established.
 - Impact to infrastructure, modes of transportation (e.g., road closures).
 - Number of injured and fatalities.
 - Success of mitigation efforts (e.g., 50% of buildings searched, 8 miles of shoreline boomed).
 - Major considerations (e.g., weather, tides and currents, high priority activities, political sensitivities).
 - Forecast, predictions, trajectories.
- **(Introduction Example:** Good morning. I am Ron Cantin, the Qualified Individual for the Stauffer Chemical facility. This is the updated ICS-201 Briefing. Information is current as of 0945 today and all the information here within is non-classified. At 0645 this morning we had an overpressure alarm sound followed by a rupture in pipeline 101-A here [point to map].
- Understand the target audience for the briefing and tailor the briefing to meet the information requirement.
- If audience is mixed agency/organizations, avoid acronyms.
- Anticipate potential questions in advance and have the answers ready. If you don't know the answer to a question, say you don't know and make note of the question for prompt follow-up. Documentation should be capturing open issues.
- Speak in a strong well-modulated voice and avoid distracting mannerisms, do not speak to the board, speak to your audience. If you

must turn to point out something on a map / chart do so but stop talking, then continue when you turn back around.

- Use presentation technology (e.g., PowerPoint) as appropriate and only if you have mastered it. You do not want the briefer or the technology to distract from the presentation. You can also use an assistant to point out key features on the map while you present your information.

ICS-201 Briefing Checklist for Receiver

- Prior to the ICS-201 Briefing, conduct an on-scene assessment (if possible). Conduct this assessment jointly with the off-going IC if feasible. Try to come away with a feel for the following:
 - Responder working conditions and safety.
 - Nature of operations activities, such as firefighting, Hazmat, search and rescue or investigation.
 - Scope and characteristics of the incident such as size, distances, quantities, lethality, and stability.
 - Resource effectiveness.
 - Support activities and effectiveness.
 - Risks to the public and responders.
 - Overall command and control effectiveness.
- Obtain a copy of the ICS-201, maps, charts, photos, projections, or other details about the incident.
- During the briefing, obtain the following information:
 - Most current situation.
 - Key decisions made thus far.
 - Current priorities and objectives.
 - Current actions and tactics.
 - Planned actions including any specific timeframes.
 - Current organization and its projected expansion or contraction.
 - Incident facility locations and their function.
 - How on-scene resources are being utilized and supported.
 - Resources that have been ordered and their use upon arrival.
 - Any significant limitations or constraints.

- Safety and communications status.
 - Key information related to stakeholders.
 - Incident potential and contingencies.
 - Influences on the response, politics, media, etc.
- Ensure incident personnel are aware of the change in Command.
 - Begin your documentation process by recording the date and time of assumption of command. Continue using the ICS-201 until superseded by other ICS documents.
 - Consider reassignment of the off-going QI/IC, as appropriate.
 - Provide direction to Command and General Staff, as necessary.
 - Prepare staff to move ahead in the ICS Operations Planning Process.

Unified Command Validation Checklist

- Necessity of Unified Command (any single check indicates it is appropriate to use a UC):
- Crosses geographic boundaries.
- Involves multiple government levels.
- Impacts different disciplines, owners, operators and agencies.
- Involves different statutory responsibilities.

Specific organization inclusion in UC (each organization desiring to be a member of the UC must be able to check all four boxes):

- The organization has jurisdictional authority or functional responsibility under a law, ordinance, or agency contingency plan for the incident or event.
- The organization is specifically charged with commanding, coordinating, leading, or managing a major aspect of the response.
- The organization has the resources to support participation in the response organization.
- The incident or event impacts the area of responsibility of the organization.

UC representative responsibilities and authority (each UC representative should have the authority to execute the following responsibilities on behalf of his/her organization):

- Speak for the organization in directing response efforts; making UC decisions; agreeing on common UC priorities and objectives; approving plans and other documents; and in media, stakeholder and public interactions.
- Sustain the resource commitment of the organization to the response 24 hours per day, 7 days per week, if needed.
- Spend the agency's or organization's funds.
- Help determine and agree on an appropriate response organization and specific assignments to Command and General Staff positions.
- Share support responsibilities, as appropriate, such as resource ordering and acquisition, cost-sharing, integrated communications, and responder health and safety.

Considerations for Shifting from an ICS-201 to Developing an Action Plan

Assessment and Briefings:

- Were you able to conduct an on-scene assessment to get a first-hand perspective on the incident?
- How thorough was the ICS-201 briefing you received?
- How thoroughly were your Command and General staff briefed?
- Do you as Command have a solid grasp of the overall situation and incident potential?
- Do you grasp the resource picture and any competing interests?

Incident Characteristics:

- Is the incident stabilized enough to allow for a 12-hour or longer operations period?
- How effective has the response effort been thus far? What measures of effectiveness are you using?
- Do you expect the incident to be more than 2 or 3 operations periods or will it be resolved quickly?
- Do you have an understanding of what resolution might look like?

- Is there likely to be an incident within the incident or other major contingency during the response effort?

Staffing and Support:

- Do you have the key positions staffed effectively to execute the Operations Planning Process as well as to support and manage current operations simultaneously?
- Is the ICP adequate to support the level of effort needed to plan for and manage the execution of the response proactively?
- Does your organization have a solid grip on the situation and resource picture?
- Is there good communication and interaction between the operations resources and the IMT?
- If in a UC, do all members agree it is best to move forward with Action Plan development?
- Does your organization have adequate technical expertise?

Utilizing a Tactical Worksheet

Initial response operations are managed by some combination of verbal direction and crude documentation. The ICS-201 is the first formal form in the ICS process to begin documenting and managing initial response activities. The form does an adequate job of capturing initial response operations and includes a map (page 1), current and planned actions (page 2), incident organization (page 3), and an operational resource summary (page 4).

Many initial response Incident Commanders and Operations Section Chiefs utilize Tactical Worksheets to organize and document initial response operations with more fidelity, and in low complexity, short duration incidents, the Tactical Worksheet may take the place of the ICS-201. While not an ICS form, Tactical Worksheets are very common in first responder communities. If there is no Operations Section Chief, the Tactical Worksheet may be maintained by the Incident Commander, but when an Operations Section Chief is designated, the Incident Commander usually maintains the ICS-201 while delegating the Tactical Worksheet to Operations.

A Tactical Worksheet generally consists of:

- A working, operational map
- Resource assignments and current actions
- Communications details
- Safety information
- Weather forecasts

Whether the Tactical Worksheet is a paper-based form, a miniature dry erase board, or some other medium, it typically serves the same purpose: Organize initial response operations.

EMSI has designed an all-hazards Tactical Worksheet that addresses these elements and can be used to further document initial response operations.

1. Incident Name: 4. Operational Area Map / Diagram	2. Prepared By (Date/Time): 3. Location:	Tactical Worksheet 5. Communications 6. Safety 7. Weather
8. Operational Resource Allocation – Resources. Current/Planned Actions <small>8a. Org. Element / Supervision:</small>	<small>8b. Org. Element / Supervision:</small>	<small>8d. Org. Element / Supervision:</small>

Instructions for using the Tactical Worksheet

Block 1: Enter the name assigned to the incident.

Block 2: Enter date (month, day, year) and time prepared (24-hour clock) when the form is initiated. Enter the name and position of the person completing the form. This is normally completed by the Operations Section Chief, unless one has not yet been designated, in which case it is completed by the Incident Commander. This form may also be completed at the Division/Group level during incidents that require a robust Operations Section organization.

Block 3: Enter the location of the incident.

Block 4: Draw a detailed operational area map that includes the location of the incident origin, assigned resources, incident facilities, hazards, exclusion zones and perimeters, and other operational aspects of the incident. This is intended to be a working map and should be updated as the incident evolves.

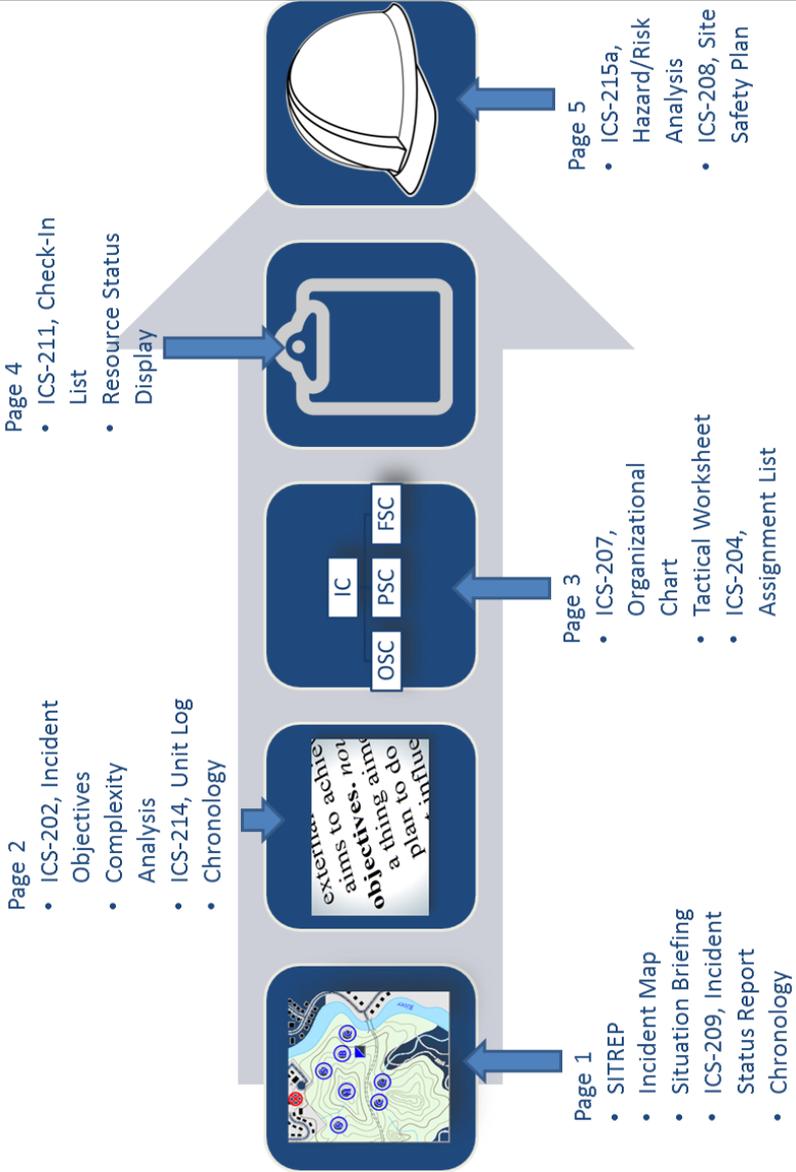
Block 5: Document communications information such as radio frequencies, key telephone numbers, and communications procedures and protocols.

Block 6: Document operational safety considerations such as hazards, PPE requirements, and safety thresholds.

Block 7: Document current and forecasted weather (temperature, sun/cloud cover, wind speed and direction, humidity, etc.).

Block 8: Document specifics related to organizational elements of the Operations Section. Organizational elements may include Strike Teams and Task Forces and/or Divisions and Groups. The name and designation (Strike Team, Task Force, Division, or Group) of the organizational element, along with the supervision (Strike Team/Task Force Leader or Division/Group Supervisor) should be documented along with the specific resources assigned, the current actions, and the planned actions.

Evolution of the ICS-201



Effective and Efficient Response Organization

Below is a brief checklist to assist the on-scene QI and the EOC in achieving overall effectiveness and efficiency of the organization. You must interact with your team regularly to maintain a grasp of how well things are going.

<i>ACTION</i>	✓
<p>Observe operations tempo of the team. If a function is overwhelmed, consider the following:</p> <ul style="list-style-type: none"> • Span of control problems • Need for deputies and assistants • Need for new unit, group, or branch 	☐
<p>Observe information flow patterns. Ensure information is flowing continuously between units and sections. One key measure is the accuracy of the Situation Status displays and whether Operations is using them effectively. For information flow problems, consider the following:</p> <ul style="list-style-type: none"> • Recommend more Field Observers (FOBS) to collect information. • Recommend more or better communications equipment and/or consider establishing a communications center within the EOC. • Consider development of an Information Management Plan. • Recommend more information collection staff in the EOC such as watch standers. 	☐
<p>The response environment must be a respectful one. Inappropriate behavior and human relations violations cannot be tolerated.</p> <ul style="list-style-type: none"> • During tour of field and ICP, gauge response climate and recommend preventive measures where necessary. • Consider adding a Human Relations THSP to the Planning Section. • UC should agree on disciplinary steps to take in the event of violations. • Continually emphasize respect at meetings. 	☐

Response Organization Evaluation Check List

<i>ACTION</i>	<input checked="" type="checkbox"/>
Are meetings/briefings disciplined and following prescribed procedures?	<input type="checkbox"/>
Are the response supervisors conducting their own daily meetings and is information getting passed from the QI to their subordinates?	<input type="checkbox"/>
Are open actions effectively tracked and completed?	<input type="checkbox"/>
Is information being shared across sections?	<input type="checkbox"/>
Is off-site reporting timely and accurate?	<input type="checkbox"/>
Is the Action Plan effective and being followed?	<input type="checkbox"/>
Are superiors pleased with overall team effectiveness?	<input type="checkbox"/>
Are interagency issues effectively resolved and communicated to the EOC?	<input type="checkbox"/>
Do field responders provide meaningful feedback on the Action Plan?	<input type="checkbox"/>
Are staff members properly prepared and interacting during the process meetings?	<input type="checkbox"/>
Is the injury, accident, and near-miss rate low?	<input type="checkbox"/>
Are status updates crisp and to the point?	<input type="checkbox"/>
Does the RESL have a handle on resource status?	<input type="checkbox"/>
Does the SITL have a true and timely situation picture?	<input type="checkbox"/>
Is the on-scene capability appropriate to facilitate good progress and effectiveness?	<input type="checkbox"/>
Are appropriate incident support facilities activated and effective?	<input type="checkbox"/>
Are personnel departing their work shift when required?	<input type="checkbox"/>
Are the EOC and the field activities well connected?	<input type="checkbox"/>
Are operations being supported effectively?	<input type="checkbox"/>

Appendix A: Sample USN Qualified Individual Designation



DEPARTMENT OF THE NAVY
NAVY REGION SOUTHEAST
BOX 102, NAVAL AIR STATION
JACKSONVILLE, FLORIDA 32212-0102

5090
N00
6 Jun 23

From: Commander, Navy Region Southeast
To: [REDACTED]

Subj: DESIGNATION AS NAVY ON-SCENE COORDINATOR REPRESENTATIVE,
FEDERAL ON-SCENE COORDINATOR REPRESENTATIVE, AND QUALIFIED
INDIVIDUAL

Ref: (a) 40 CFR 300
(b) OPNAV M-5090.1
(c) CNINCINST 5090.4A

1. Per references (a) through (c), you are designated Navy On-Scene Coordinator and Federal On-Scene Coordinator (FOSC) representative and Qualified Individual (QI) for releases of oil and hazardous substances. You are directed to respond to actual or potential Navy oil and hazardous substance spills or releases within the Navy Region Southeast area of responsibility (AOR) and to serve as Incident Commander (IC) for Navy environmental emergencies which occur outside or extend beyond the fenceline of a Navy facility, or which exceed the response capability a facility. You are also responsible for responding to non-Navy events as requested by other FOSCs within the AOR.
2. In my absence, you are authorized to direct Naval activities; activate contractors; commit funds for required actions; carry out response efforts; sign related regulatory documents; serve as IC in any Unified Command structure with other Federal, State and local officials; act as a liaison with any pre-designated FOSC, State On-Scene Coordinator or Local On-Scene Coordinator; and task commands in my AOR for any assistance required. Navy Region Southeast staff and regional commands are directed to provide you with full support in the event of an emergency.
3. You are directed to carry out all duties assigned per references (a) through (c). In addition, you will keep the chain of command informed of the status and impact of any oil or hazardous substance spill for which Navy Region Southeast is responsible or involved.

I. L. JOHNSON

Appendix B: QI Information Exchange Matrix

MEET WITH:	WHEN:	IC OBTAINS:	IC PROVIDES:
QI / Initial IC	Upon arrival	ICS-201 brief	Next assignment for initial IC
Other UC	Check-in brief	Commitment, participation and support	ICS-201 brief
	ICS Meetings	Consensus on decision making	Cooperative leadership
Stakeholders	Various times	Special concerns, expectations, commitments for support	Briefings on situation, progress and planned actions
Trustees	Various times	Identification of lead trustee and pledge of cooperation with response	Briefing on current situation, objectives, strategies and resource commitment
OSC	Check-in brief	Recommended strategy and tactics to meet the objectives	ICS-201 information, Command expectations, immediate response objectives

MEET WITH:	WHEN:	IC OBTAINS:	IC PROVIDES:
OSC (cont.)	Operations Planning Process meetings and briefings.	Briefings on: Strategy Tactics Resource requirements ICS-201 Facilities Support needed	Response objectives, authority to direct tactical operations, and timely decisions
LSC	Check-in brief		ICS-201 information Command expectations
	Throughout the Operations Planning Process meetings and briefings	Briefs on: communication, traffic, safety, medical, facilities and resources	Response objectives
LOFR	Check-in brief		ICS-201 information and Command expectations
	Planning Meeting	Concerns and issues	Response objectives and commitment
	Ops Brief		Motivational remarks

MEET WITH:	WHEN:	IC OBTAINS:	IC PROVIDES:
PIO	Check-in brief	Media considerations regarding work plan	ICS-201 information and Command expectations
	Planning Meeting	Media considerations	Response objectives and Commitment
	As needed	Speaker preparations, briefings and releases	Commitment to provide input needed to satisfy media interest
	Ops Brief		Motivational remarks
SOFR	Check-in brief		ICS-201 information and Command expectations
	Throughout the Operations Planning Process meetings and briefings	<p>Safety concerns regarding Action Plan, status of safety plan and status of control measures</p> <p>ICS-201-5 and information obtained from the SOFR, RESL, and SITL to help IC/QI articulate limitations and constraints</p>	ICS-201 Information and Command expectations and concerns.
RESL	Throughout	Brief on resources	Response

MEET WITH:	WHEN:	IC OBTAINS:	IC PROVIDES:
	the Operations Planning Process meetings and briefings	available	objectives
SITL	Throughout the Operations Planning Process meetings and briefings	Weather/Sea forecast and future projections for incident	Response objectives
Division/ Group Supervisor Task Force Leaders Strike Team Leaders	OPS brief		Motivational remarks
Media	Press conference	Media concerns	Briefing on incident status and plans

Appendix C – Unified Command Overview

In today's all-hazards response environment, Unified Command is becoming increasingly more prevalent as multiple entities with different authorities are required to successfully manage and resolve an incident.

The Unified Command concept brings the various Incident Commanders with responsibility and authority for managing the incident under one command structure. Rather than direct multiple “stove-piped” organizations, the Incident Commanders blend their organizations and operate as a Unified Command, speaking with one voice and issuing one common set of direction (priorities, objectives, etc.).

Reasons for Unified Command

The need for a Unified Command arises when incidents:

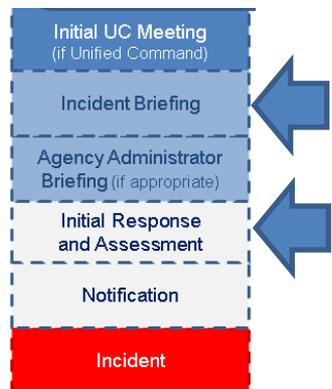
- Cross geographic boundaries such as two states, international borders, land vs. maritime.
- Involve various governmental levels or facilities.
- Involve multiple functional responsibilities, not belonging to a single agency (i.e., search and rescue, fire, oil spill, medical, haz-mat).
- Involve multiple entities with different authorities.
- Some combination of the above.

Unified Command in Initial Response

When looking at the stem of the Operational Planning P, it appears that Unified Command does not occur until after the Initial Response phase, but in fact, this linear depiction of the process does not adequately represent when and how Unified Command can and should be implemented.

The need for Unified Command can arise from the very beginning of the incident.

Think about a vehicle accident with injuries that involves local police and fire/rescue resources.



Initial Response leaders must quickly assess the incident, determine the resources and entities required to manage it, and ensure that all of the appropriate responsibilities and authorities are included in the Unified Command. Seldom will Incident Commanders conduct this assessment for a spill or release and find that they represent all of the authorities and responsibilities to manage and resolve the incident and that Unified Command is not required.

As Initial Incident Commanders quickly assemble a Unified Command in the Initial Response, while they do not need to conduct a formal, agenda-driven Unified Command meeting as depicted in the “Initial Unified Command Meeting” block of the Planning P, they must address some critical issues that will ensure the successful functioning of the Unified Command. These issues include:

- What entities are required in Unified Command?
- What are the responsibilities and authorities of each Unified Command member?
- What are the limitations and constraints placed upon each Unified Command member?
- How will the Unified Command function to include:
 - Make decisions
 - Speak with one voice
 - Work together
 - Disagree
- How will they build and staff the Command & General Staff positions?
- Who will be the lead for a particular functional issue?
- Where will the ICP be located?
- What incident facilities should be established?
- What are the Initial Response priorities and objectives?
- How will the ICS-201 be updated and maintained?
- What additional resources can each Unified Command member commit to the incident?

Unified Command Validation Checklist

Unified Command is a team effort, but to be effective the number of personnel should be kept as small as possible. Actual Unified Command makeup for a specific incident will be determined case by case, taking into account:

- Specifics of the incident.
- Predetermination within existing response plans, agreements, etc.
- Decisions reached during the initial meeting of the Unified Command.

The makeup of the Unified Command may change as the incident changes, especially when new priorities and response functions arise.

To be considered as a member of the Unified Command, all of the following must apply to an individual:

He/she has jurisdictional authority or functional responsibility under a law or ordinance for the incident;	<input type="checkbox"/>
His/her organization and/or their area of responsibility (AOR) is impacted by the incident or response operations;	<input type="checkbox"/>
He/she is specifically charged by law or ordinance with commanding, coordinating or managing a major aspect of the incident response;	<input type="checkbox"/>
His/her organization has the resources to support participation in the response organization; <u>and</u>	<input type="checkbox"/>
He/she has full decision-making authority for the incident on behalf of an agency.	<input type="checkbox"/>

A Unified Command representative must be able to:

Agree on incident objectives and priorities;	<input type="checkbox"/>
Have the capability to sustain a 24-hour-7-day-a-week commitment to the incident;	<input type="checkbox"/>
Have the authority to commit agency or company resources to the incident;	<input type="checkbox"/>

Have the authority to spend agency or company funds;	<input type="checkbox"/>
Agree on an incident response organization;	<input type="checkbox"/>
Agree on the appropriate Command and General Staff position assignments to ensure clear direction for on-scene tactical resources;	<input type="checkbox"/>
Commit to speak with one voice through the PIO or Joint Information Center, if established;	<input type="checkbox"/>
Agree on logistical support procedures; and	<input type="checkbox"/>
Agree on cost-sharing procedures, as appropriate.	<input type="checkbox"/>

Initial Unified Command Meeting

The following is an agenda for a formal Initial Unified Command Meeting. This agenda may be too formal for the first meeting of a Unified Command in the Initial Response phase. Nonetheless, this agenda can serve as a guide for issues that should be covered when the Unified Command gets together for the first time or a new member joins the Unified Command.

Initial Unified Command Meeting Agenda

- ❑ PSC brings meeting to order, validates attendees, and reviews ground rules, agenda, and meeting expectations.
- ❑ Command reviews the agencies and organizations that may need to be represented in the UC and validates the make-up of the UC.
- ❑ Command discusses and clarifies jurisdiction, authority, and responsibility of UC members.
- ❑ Command reviews UC member agency and/or company policies that may be relevant to the response.
- ❑ Command negotiates and finalizes key decisions which may include:
 - Response organization's geographic and/or mission/functional Area(s) of Responsibility (AOR).
 - Incident name.
 - Integrated Command & General Staff composition, including deputies (especially OSC and PSC) and inclusion of assisting and cooperating entities.
 - Location of ICP (if not already identified) and other facilities, as appropriate.
 - Operational period length/start time and work shift hours.
 - UC roles and responsibilities relative to performing the Command function.
- ❑ Command identifies and documents UC information reporting thresholds (immediate and routine).
- ❑ PSC summarizes and documents decisions.

Appendix D – Transfer of Command

As an incident expands, it may require different levels of command, such as single command or UC. After an incident is initially established into a single command, it may either expand or end. If it expands, a transfer of command may be required. As the incident progresses, there are some reasons why a transfer of command is necessary. For instance, an incident might now require extended long-term operational periods as it increases in complexity and includes a HAZMAT expert and requires more qualified or experienced people. Other circumstances that may cause a transfer in command include a personal emergency for the IC, compliance with legal requirements by a jurisdiction, a request by agency administrators, or a change that makes good sense for individual efficiency and effectiveness. There is also an ever-present possibility that the incident may expand or shrink in complexity, requiring a more or less qualified IC or the demobilization of the incident.

Appendix E – Sample All-Risk/All-Hazard Objectives

Incident objectives are essential prerequisites to any written or oral Action Plan and should be established quickly.

Incident Objectives – Command’s desired outcome

The following are samples of objectives that may be helpful:

Safety’s Typical Objective(s)

- Ensure the safety of citizens and response personnel
- Ensure the safety and security of responders as well as maximize the protection of public health and welfare
- Continue to place a high priority on safety and risk management, and monitor for compliance for both responders and the public
- Provide for the safety and welfare of the passengers and non-essential crew
- Conduct air monitoring to quantify and assure safety of responders and the public

Search and Rescue’s Typical Objective(s)

- Ensure accountability and provide temporary shelter for displaced personnel
- Complete accountability of all missing persons
- Locate and evacuate all personnel working in the area
- Establish medical triage with transport to hospital
- Complete triage of injured passengers and crew and transport to hospital

Fire/Salvage’s Typical Objective(s)

- Extinguish and overhaul fire
- Prevent adjacent tanks or storage from overheating
- Develop and implement secondary containment plan to prevent firefighting runoff from migrating beyond primary containment
- Implement safety plan to conduct facility damage survey

Law Enforcement/Port Security/Investigations' Typical Objective(s)

- Ensure scene integrity and evidence preservation
- Determine and document the cause of incident
- Establish accountability and identity of all personnel
- Establish/Continue enforcement of safety/security zone
- Develop and implement an incident security plan
- Ensure that physical security measures per established installation security levels are implemented
- Establish/maintain security posture to coincide with incident activities

Oil/HAZMAT Spill's Typical Objective(s)

- Control the Source of the Spill
- Contain and recover spilled oil/HAZMAT
- Contain, Recover, and Dispose of Spilled Material
- Ensure actions are underway to control the source and minimize the volume released
- Conduct appropriate shoreline cleanup efforts
- Remove Oil from Impacted Areas

Environmental Typical Objective(s)

- Identify sensitive areas
- Protect environmentally sensitive areas, as well as culturally and historically sensitive areas
- Protect, recover, and rehabilitate affected wildlife
- Ensure effective containment, cleanup, recovery, and disposal of spilled product
- Investigate the potential for and if feasible, utilize alternative technologies to support response efforts

Management's Typical Objective(s)

- Manage Coordinated Response Effort
- Manage a coordinated interagency response effort that reflects the makeup of UC

- Establish an appropriate organization that can effectively meet the initial and long-term challenges required to mitigate the incident
- Ensure that all appropriate agency/organization mandates, practices, and protocols are considered in the overall response effort
- Minimize social, political, and economic adverse impacts
- Ensure that competing response activities are closely coordinated.
- Facilitate commerce
- Minimize economic impacts
- Keep the public, stakeholders, and the media informed of response activities
- Keep stakeholders informed of response activities
- Keep the public informed of response activities
- Ensure that appropriate facilities are identified and established to support response efforts
- Ensure that appropriate financial accounting practices are established and followed
- Ensure that an appropriate internal resource request and off incident resource ordering system is established and followed

Appendix F - Qualified Individual Regulations

Regulation	Information
<p>33 CFR § 105.230 <i>Maritime Security (MARSEC) Level coordination and implementation</i></p>	<p>(a) The facility owner or operator must ensure the facility operates in compliance with the security requirements in this part for the MARSEC Level in effect for the port.</p> <p>(b) When notified of an increase in the MARSEC Level, the facility owner and operator must ensure:</p> <p>(1) Vessels moored to the facility and vessels scheduled to arrive at the facility within 96 hours of the MARSEC Level change are notified of the new MARSEC Level and the Declaration of Security is revised as necessary;</p> <p>(2) The facility complies with the required additional security measures within 12 hours; and</p> <p>(3) The facility reports compliance or noncompliance to the COTP.</p> <p>(c) For MARSEC Levels 2 and 3, the Facility Security Officer must inform all facility personnel about identified threats and emphasize reporting procedures and stress the need for increased vigilance.</p> <p>(d) An owner or operator whose facility is not in compliance with the requirements of this section, must inform the COTP and obtain approval prior to interfacing with a vessel or continuing operations.</p> <p>(e) At MARSEC Level 3, in addition to the requirements in this part, a facility owner or operator may be required to implement additional measures, pursuant to 33 CFR part 6, 160, or 165, as</p>

Regulation	Information
	<p>appropriate, which may include but are not limited to:</p> <ul style="list-style-type: none">(1) Use of waterborne security patrol;(2) Use of armed security personnel to control access to the facility and to deter, to the maximum extent practical, a transportation security incident; and(3) Examination of piers, wharves, and similar structures at the facility for the presence of dangerous substances or devices underwater or other threats.
<p>33 CFR 154.1026 <i>Qualified Individual and alternate Qualified Individual.</i></p>	<ul style="list-style-type: none">(a) The response plan must identify a Qualified Individual and at least one alternate who meet the requirements of this section. The Qualified Individual or alternate must be available on a 24-hour basis and be able to arrive at the facility in a reasonable time.(b) The Qualified Individual and alternate must:<ul style="list-style-type: none">(1) Be located in the United States;(2) Speak fluent English;(3) Be familiar with the implementation of the facility response plan; and(4) Be trained in the responsibilities of the Qualified Individual under the response plan.(c) The owner or operator shall provide each Qualified Individual and alternate Qualified Individual

Regulation	Information
	<p>identified in the plan with a document designating them as a Qualified Individual and specifying their full authority to:</p> <ul style="list-style-type: none"> (1) Activate and engage in contracting with oil spill removal organization(s); (2) Act as a liaison with the pre-designated Federal On-Scene Coordinator (OSC); and (3) Obligate funds required to carry out response activities. <p>(d) The owner or operator of a facility may designate an organization to fulfill the role of the Qualified Individual and the alternate Qualified Individual. The organization must then identify a Qualified Individual and at least one alternate Qualified Individual who meet the requirements of this section. The facility owner or operator is required to list in the response plan the organization, the person identified as the Qualified Individual, and the person or person(s) identified as the alternate Qualified Individual(s).</p> <p>(e) The Qualified Individual is not responsible for?</p> <ul style="list-style-type: none"> (1) The adequacy of response plans prepared by the owner or operator; or (2) Contracting or obligating funds for response resources beyond the authority contained in their designation from the owner or operator of the facility. (f) The liability of a Qualified Individual is considered to be in accordance with the provisions of 33

Regulation	Information
33 CFR 154.1045 Response plan development and evaluation criteria for facilities that handle, store, or transport Group I through Group IV petroleum oils.	<p data-bbox="178 1122 210 1312">USC 1321(c)(4).</p> <p data-bbox="242 142 348 1312">(a) The owner or operator of a facility that handles, stores, or transports Group I through Group IV petroleum oils shall use the criteria in this section to evaluate response resources identified in the response plan for the specified operating environment.</p> <p data-bbox="375 115 519 1312">(1) The criteria in Table 1 of appendix C of this part are to be used solely for identification of appropriate equipment in a response plan. These criteria reflect conditions used for planning purposes to select mechanical response equipment and are not conditions that would limit response actions or affect normal facility operations.</p> <p data-bbox="545 147 614 1312">(2) The response resources must be evaluated considering limitations for the COTP zones in which the facility operates, including but not limited to -</p> <ul data-bbox="641 902 833 1312" style="list-style-type: none"><li data-bbox="641 1101 673 1312">(i) Ice conditions;<li data-bbox="694 1182 726 1312">(ii) Debris;<li data-bbox="747 1011 779 1312">(iii) Temperature ranges;<li data-bbox="801 902 833 1312">(iv) Weather-related visibility; and <p data-bbox="859 402 891 1312">(v) Other appropriate environmental conditions as determined by the COTP.</p> <p data-bbox="918 237 950 1312">(3) The COTP may reclassify a specific body of water or location within the COTP zone. Any</p>

Regulation	Information
	<p>reclassifications will be identified by the COTP in the applicable ACP. Reclassifications may be to -</p> <ul style="list-style-type: none"> (i) A more stringent operating environment if the prevailing wave conditions exceed the significant wave height criteria during more than 35 percent of the year; or (ii) A less stringent operating environment if the prevailing wave conditions do not exceed the significant wave height criteria for the less stringent operating environment during more than 35 percent of the year. <p>(b) Response equipment must -</p> <ul style="list-style-type: none"> (1) Meet or exceed the operating criteria listed in Table 1 of appendix C of this part; (2) Function in the applicable operating environment; and (3) Be appropriate for the petroleum oil carried. <p>(c) The response plan for a facility that handles, stores, or transports Group I through Group IV petroleum oils must identify response resources that are available, by contract or other approved means as described in § 154.1028(a)(1)(4), to respond to the facility's average most probable discharge. The response resources must include, at a minimum -</p> <ul style="list-style-type: none"> (1) 1,000 feet of containment boom or two times the length of the largest vessel that regularly conducts petroleum oil transfers to or from the facility, whichever is greater, and the means of deploying and anchoring the boom available at the spill site within 1 hour of the detection of a spill;

Regulation	Information
	<p>and</p> <p>(2) Oil recovery devices and recovered oil storage capacity capable of being at the spill site within 2 hours of the discovery of a petroleum oil discharge from a facility.</p> <p>(d) The response plan for a facility that handles, stores, or transports Group I through Group IV petroleum oils must identify response resources that are available, by contract or other approved means as described in § 154.1028(a)(1)(4), to respond to a discharge up to the facility's maximum most probable discharge volume.</p> <p>(1) The response resources must include sufficient containment boom, oil recovery devices, and storage capacity for any recovery of up to the maximum most probable discharge planning volume, as contained in appendix C.</p> <p>(2) The response resources must be appropriate for each group of petroleum oil identified in § 154.1020 that is handled, stored, or transported by the facility.</p> <p>(3) These response resources must be positioned such that they can arrive at the scene of a discharge within the following specified times:</p> <p>(i) The equipment identified in paragraphs (c)(1) and (c)(2) of this section or in § 154.1040(d) must arrive within the times specified in those paragraphs or that section, as appropriate.</p> <p>(ii) In higher volume port areas and the Great Lakes, response resources must be capable of arriving</p>

Regulation	Information
	<p>on scene within 6 hours of the discovery of a petroleum oil discharge from a facility.</p> <p>(iii) In all other locations, response resources must be capable of arriving on scene within 12 hours of the discovery of a petroleum oil discharge from a facility.</p> <p>(4) The COTP may determine that mobilizing response resources to an area beyond the response times indicated in this paragraph invalidates the response plan. In this event, the COTP may impose additional operational restrictions (e.g., limitations on the number of transfers at a facility), or, at the COTP's discretion, the facility may operate with temporarily modified response plan development and evaluation criteria (e.g., modified response times, alternate response resources, etc.).</p> <p>(e) The response plan for a facility that handles, stores, or transports Group I through Group IV petroleum oils must identify the response resources that are available, by contract or other approved means as described in § 154.1028(a)(1)(4), to respond to the worst case discharge volume of petroleum oil to the maximum extent practicable.</p> <p>(1) The location of these response resources must be suitable to meet the response times identified in paragraph (f) of this section for the applicable geographic area(s) of operation and response tier.</p> <p>(2) The response resources must be appropriate for -</p> <ul style="list-style-type: none"> (i) The volume of the facility's worst-case discharge; (ii) Group(s) of petroleum oil as identified in § 154.1020 that are handled, stored, or transported by

Regulation	Information
	<p>the facility; and</p> <p>(iii) The geographic area(s) in which the facility operates.</p> <p>(3) The response resources must include sufficient boom, oil recovery devices, and storage capacity to recover the worst-case discharge planning volumes.</p> <p>(4) The guidelines in appendix C of this part must be used for calculating the quantity of response resources required to respond at each tier to the worst-case discharge to the maximum extent practicable.</p> <p>(5) When determining response resources necessary to meet the requirements of this section, a portion of those resources must be capable of use in close-to-shore response activities in shallow water. The following percentages of the response equipment identified for the applicable geographic area must be capable of operating in waters of 6 feet or less depth.</p> <p>(i) Offshore - 10 percent.</p> <p>(ii) Nearshore/inland/Great Lakes/rivers and canals - 20 percent.</p> <p>(6) The COTP may determine that mobilizing response resources to an area beyond the response times indicated in this paragraph invalidates the response plan. In this event, the COTP may impose additional operational restrictions (e.g., limitations on the number of transfers at a facility), or, at the COTP's discretion, the facility may be permitted to operate with temporarily modified response plan</p>

Regulation	Information																
	<p>development and evaluation criteria (e.g., modified response times, alternate response resources, etc.).</p> <p>(f) Response equipment identified in a response plan for a facility that handles, stores, or transports Group I through Group IV petroleum oils must be capable of arriving on scene within the times specified in this paragraph for the applicable response tier in a higher volume port area, Great Lakes, and in other areas. Response times for these tiers from the time of discovery of a discharge are -</p> <table border="1" data-bbox="484 162 845 1307"> <thead> <tr> <th></th> <th>Tier 1 (hrs.)</th> <th>Tier 2 (hrs.)</th> <th>Tier 3 (hrs.)</th> </tr> </thead> <tbody> <tr> <td>Higher volume port area (except for a TAPAA facility located in Prince William Sound, see § 154.1135)</td> <td>6</td> <td>30</td> <td>54</td> </tr> <tr> <td>Great Lakes</td> <td>12</td> <td>36</td> <td>60</td> </tr> <tr> <td>All other river and canal, inland, nearshore, and offshore areas</td> <td>12</td> <td>36</td> <td>60</td> </tr> </tbody> </table> <p>(g) For the purposes of arranging for response resources for a facility that handles, stores, or</p>		Tier 1 (hrs.)	Tier 2 (hrs.)	Tier 3 (hrs.)	Higher volume port area (except for a TAPAA facility located in Prince William Sound, see § 154.1135)	6	30	54	Great Lakes	12	36	60	All other river and canal, inland, nearshore, and offshore areas	12	36	60
	Tier 1 (hrs.)	Tier 2 (hrs.)	Tier 3 (hrs.)														
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Great Lakes	12	36	60														
All other river and canal, inland, nearshore, and offshore areas	12	36	60														

Regulation	Information
	<p>transports Group I through Group IV petroleum oils, by contract or other approved means as described in § 154.1028(a)(1)-(4), response equipment identified for Tier 1 plan credit must be capable of being mobilized and en route to the scene of a discharge within 2 hours of notification. The notification procedures identified in the plan must provide for notification and authorization of mobilization of identified Tier 1 response resources -</p> <ul style="list-style-type: none">(1) Either directly or through the qualified individual; and(2) Within 30 minutes of a discovery of a discharge or substantial threat of discharge.(h) Response resources identified for Tier 2 and Tier 3 plan credit must be capable of arriving on scene within the time specified for the applicable tier.(i) The owner or operator of a facility that handles, stores, or transports groups II through IV petroleum oils within the inland, nearshore, or offshore areas where pre-authorization for dispersant use exists must identify in their response plan, and ensure the availability of, through contract or other approved means, response resources capable of conducting dispersant operations within those areas.(1) Dispersant response resources must be capable of commencing dispersant-application operations at the site of a discharge within 7 hours of the decision by the Federal On-Scene Coordinator to use dispersants.

Regulation	Information
	<p>(2) Dispersant response resources must include all of the following:</p> <ul style="list-style-type: none">(i) Sufficient volumes of dispersants for application as required by paragraph (i)(3) of this section. Any dispersants identified in a response plan must be of a type listed on the National Oil and Hazardous Substances Pollution Contingency Plan Product Schedule (which is contained in 40 CFR part 300, and available online from the U.S. Government Printing Office).(ii) Dispersant-application platforms capable of delivering and applying the dispersant on a discharge in the amounts as required by paragraph (i)(3) of this section. At least 50 percent of each EDAC tier requirement must be achieved through the use of fixed-wing, aircraft-based application platforms. For dispersant-application platforms not detailed within the EDSP, adequacy of performance criteria must be documented by presentation of independent evaluation materials (e.g., field tests and reports of actual use) that record the performance of the platform.(iii) Dispersant-application systems that are consistent in design with, and are capable of applying dispersants within, the performance criteria in ASTM F1413-07 (incorporated by reference, see § 154.106). For dispersant-application systems not fully covered by ASTM F1413-07, such as fire monitor-type applicators, adequacy of performance criteria must be documented by presentation of independent evaluation materials (e.g., laboratory tests, field tests, and reports of actual use) that record the design of performance specifications.(iv) Dispersant-application personnel trained in and capable of applying dispersants according to the

Regulation	Information																
	<p data-bbox="181 188 245 1308">recommended procedures contained within ASTM F1737-07 (incorporated by reference, see § 154.106).</p> <p data-bbox="274 120 416 1308">(3) Dispersant stockpiles, application platforms, and other supporting resources must be available in a quantity and type sufficient to treat a facility's worst-case discharge (as determined by using the criteria in appendix C, section 8) or in quantities sufficient to meet the requirements in Table 154.1045(i) of this section, whichever is the lesser amount.</p> <p data-bbox="444 540 473 1308">Table 154.1045(i) - Tiers for Effective Daily Application Capability</p> <table border="1" data-bbox="497 215 926 1308"> <thead> <tr> <th data-bbox="503 1219 713 1308"></th> <th data-bbox="503 906 713 1219">Response time for completed application (hours)</th> <th data-bbox="503 561 713 906">Dispersant application dispersant: oil treated in gallons (Gulf Coast)</th> <th data-bbox="503 215 713 561">Dispersant application dispersant: oil treated in gallons all other U.S.</th> </tr> </thead> <tbody> <tr> <td data-bbox="713 1219 788 1308">Tier 1</td> <td data-bbox="713 906 788 1219">12</td> <td data-bbox="713 561 788 906">8,250:165,000</td> <td data-bbox="713 215 788 561">4,125:82,500</td> </tr> <tr> <td data-bbox="788 1219 862 1308">Tier 2</td> <td data-bbox="788 906 862 1219">36</td> <td data-bbox="788 561 862 906">23,375:467,000</td> <td data-bbox="788 215 862 561">23,375:467,000</td> </tr> <tr> <td data-bbox="862 1219 926 1308">Tier 3</td> <td data-bbox="862 906 926 1219">60</td> <td data-bbox="862 561 926 906">23,375:467,000</td> <td data-bbox="862 215 926 561">23,375:467,000</td> </tr> </tbody> </table>		Response time for completed application (hours)	Dispersant application dispersant: oil treated in gallons (Gulf Coast)	Dispersant application dispersant: oil treated in gallons all other U.S.	Tier 1	12	8,250:165,000	4,125:82,500	Tier 2	36	23,375:467,000	23,375:467,000	Tier 3	60	23,375:467,000	23,375:467,000
	Response time for completed application (hours)	Dispersant application dispersant: oil treated in gallons (Gulf Coast)	Dispersant application dispersant: oil treated in gallons all other U.S.														
Tier 1	12	8,250:165,000	4,125:82,500														
Tier 2	36	23,375:467,000	23,375:467,000														
Tier 3	60	23,375:467,000	23,375:467,000														

Regulation	Information		
	Total	60	55,000:1,100,000
			50,875:1,017,500
<p>Note to table 154.1045 (i):</p>			
<p>Gulf Coast Tier 1 is higher due to greater potential spill size and frequency in that area, and it is assumed that dispersant stockpiles would be centralized in the Gulf area. Alternative application ratios of peer-reviewed scientific evidence of improved capability may be considered upon submission to Coast Guard Headquarters. Contact Commandant (CG-RI), Attn: Office of Incident Management and Preparedness, U.S. Coast Guard Stop 7516, 2703 Martin Luther King Jr. Avenue SE., Washington, DC 20593-7516; telephone 202-372-2234.</p>			
<p>(j) The owner or operator of a facility handling Groups I through IV petroleum oil as a primary cargo must identify in the response plan, and ensure the availability through contract or other approved means, of response resources necessary to provide aerial oil tracking to support oil spill assessment and cleanup activities. Facilities operating exclusively on inland rivers are not required to comply with this paragraph. Aerial oil tracking resources must:</p>			
<p>(1) Be capable of arriving at the site of a discharge in advance of the arrival of response resources identified in the plan for tiers 1, 2, and 3 Worst-Case Discharge response times, and for a distance up to 50 nautical miles from shore (excluding inland rivers);</p>			

Regulation	Information
	<p>(2) Be capable of supporting oil spill removal operations continuously for three 10-hour operational periods during the initial 72 hours of the discharge;</p> <p>(3) Include appropriately located aircraft and personnel capable of meeting the response time requirement for oil tracking from paragraph (j)(1) of this section; and</p> <p>(4) Include sufficient numbers of aircraft, pilots, and trained observation personnel to support oil spill removal operations, commencing upon initial assessment, and capable of coordinating on-scene cleanup operations, including dispersant and mechanical recovery operations. Observation personnel must be trained in:</p> <ul style="list-style-type: none">(i) The protocols of oil-spill reporting and assessment, including estimation of slick size, thickness, and quantity; and(ii) The use of assessment techniques in ASTM F1779-08 (incorporated by reference, see § 154.106), and familiar with the use of other guides, such as NOAA's "Open Water Oil Identification Job Aid for Aerial Observation," and NOAA's "Characteristic Coastal Habitats" guide (available on the Internet at http://response.restoration.noaa.gov/ use the following links in the order presented: Home Emergency Response Responding to Oil Spills). <p>(k) A response plan for a facility that handles, stores, or transports Group I through Group IV petroleum oils must identify response resources with firefighting capability. The owner or operator of a facility that does not have adequate firefighting resources located at the facility or that cannot</p>

Regulation	Information
	<p>rely on sufficient local firefighting resources must identify and ensure, by contract or other approved means as described in § 154.1028(a)(1)-(4), the availability of adequate firefighting resources. The response plan must also identify an individual located at the facility to work with the fire department for petroleum oil fires. This individual shall also verify that sufficient well-trained firefighting resources are available within a reasonable time to respond to a worst-case discharge. The individual may be the qualified individual as defined in § 154.1020 and identified in the response plan or another appropriate individual located at the facility.</p> <p>(l) The response plan for a facility that handles, stores, or transports Groups I through IV petroleum oils must identify equipment and required personnel available, by contract or other approved means as described in § 154.1028(a) (1)-(4), to protect fish and wildlife and sensitive environments.</p> <p>(1) Except as set out in paragraph (k)(2) of this section, the identified response resources must include the quantities of boom sufficient to protect fish and wildlife and sensitive environments as required by § 154.1035(b)(4).</p> <p>(2) The resources and response methods identified in a facility response plan must be consistent with the required resources and response methods to be used in fish and wildlife and sensitive environments, contained in the appropriate ACP. Facility owners or operators shall ensure that their response plans are in accordance with the ACP in effect 6 months prior to initial plan submission or the annual plan review required under § 154.1065(a). Facility owners or operators are not required to, but may at their option, conform to an ACP which is less than 6 months old at the time of plan</p>

Regulation	Information
	<p data-bbox="181 1166 206 1308">submission.</p> <p data-bbox="235 110 419 1308">(m) The response plan for a facility that handles, stores, or transports Groups I through IV petroleum oils must identify an oil spill removal organization(s) with response resources that are available, by contract or other approved means as described in § 154.1028(a) (1)-(4), to effect a shoreline cleanup operation commensurate with the quantity of emulsified petroleum oil to be planned for in shoreline cleanup operations.</p> <p data-bbox="447 147 511 1308">(1) Except as required in paragraph (l)(2) of this section, the shoreline cleanup response resources required must be determined as described in appendix C of this part.</p> <p data-bbox="540 110 761 1308">(2) The resources and response methods identified in a facility response plan must be consistent with the required shoreline cleanup resources and methods contained in the appropriate ACP. Facility owners or operators shall ensure that their response plans are in accordance with the ACP in effect 6 months prior to initial plan submission or the annual plan review required under § 154.1065(a). Facility owners or operators are not required to, but may at their option, conform to an ACP which is less than 6 months old at the time of plan submission.</p> <p data-bbox="790 123 932 1308">(n) Appendix C of this part describes the procedures to determine the maximum extent practicable quantity of response resources that must be identified and available, by contract or other approved means as described in § 154.1028(a) (1)-(4), for the maximum most probable discharge volume, and for each worst case discharge response tier.</p>

Regulation	Information
	<p>(1) Included in appendix C of this part is a cap that recognizes the practical and technical limits of response capabilities that an individual facility owner or operator can be expected to contract for in advance.</p> <p>(2) Table 5 in appendix C of this part lists the caps that apply in February 18, 1993, and February 18, 1998. Depending on the quantity and type of petroleum oil handled by the facility and the facility's geographic area of operations, the resource capability caps in this table may be reached. The owner or operator of a facility whose estimated recovery capacity exceeds the applicable contracting caps in Table 5 shall identify sources of additional equipment equal to twice the cap listed in Tiers 1, 2, and 3 or the amount necessary to reach the calculated planning volume, whichever is lower. The identified resources must be capable of arriving on scene not later than the Tier 1, 2, and 3 response times in this section. No contract is required. While general listings of available response equipment may be used to identify additional sources, a response plan must identify the specific sources, locations, and quantities of equipment that a facility owner or operator has considered in his or her planning. When listing Coast Guard classified oil spill removal organization(s) which have sufficient removal capacity to recover the volume above the response capability cap for the specific facility, as specified in Table 5 in appendix C of this part, it is not necessary to list specific quantities of equipment.</p> <p>(o) The Coast Guard will continue to evaluate the environmental benefits, cost efficiency and practicality of increasing mechanical recovery capability requirements. This continuing evaluation is</p>

Regulation	Information
	<p>part of the Coast Guard's long-term commitment to achieving and maintaining an optimum mix of oil spill response capability across the full spectrum of response modes. As best available technology demonstrates a need to evaluate or change mechanical recovery capacities, a review of cap increases and other requirements contained within this subpart may be performed. Any changes in the requirements of this section will occur through a public notice and comment process. During this review, the Coast Guard will determine if established caps remain practicable and if increased caps will provide any benefit to oil spill recovery operations. The review will include, at least, an evaluation of:</p> <ul style="list-style-type: none">(1) Best available technologies for containment and recovery;(2) Oil spill tracking technology;(3) High rate response techniques;(4) Other applicable response technologies; and(5) Increases in the availability of private response resources.
33 CFR 154.1055 Exercises	§ 154.1055 Exercises. (a) A response plan submitted by an owner or operator of an MTR facility must include an exercise

Regulation	Information
	<p>program containing both announced and unannounced exercises. The following are the minimum exercise requirements for facilities covered by this subpart:</p> <ul style="list-style-type: none"> (1) Qualified individual notification exercises (quarterly). (2) Spill management team tabletop exercises (annually). In a 3-year period, at least one of these exercises must include a worst case discharge scenario. (3) Equipment deployment exercises: <ul style="list-style-type: none"> (i) Semiannually for facility owned and operated equipment. (ii) Annually for oil spill removal organization equipment. (4) Emergency procedures exercises (optional). (5) Annually, at least one of the exercises listed in § 154.1055(a)(2) through (4) must be unannounced. Unannounced means the personnel participating in the exercise must not be advised in advance, of the exact date, time and scenario of the exercise. (6) The facility owner or operator shall design the exercise program so that all components of the response plan are exercised at least once every 3 years. All of the components do not have to be exercised at one time; they may be exercised over the 3-year period through the required exercises or through an Area exercise.

Regulation	Information
	<p>(b) A facility owner or operator shall participate in unannounced exercises, as directed by the COTP. The objectives of the unannounced exercises will be to test notifications and equipment deployment for response to the average most probable discharge. After participating in an unannounced exercise directed by a COTP, the owner or operator will not be required to participate in another COTP initiated unannounced exercise for at least 3 years from the date of the exercise.</p> <p>(c) A facility owner or operator shall participate in Area exercises as directed by the applicable On-Scene Coordinator. The Area exercises will involve equipment deployment to respond to the spill scenario developed by the Exercise Design Team, of which the facility owner or operator will be a member. After participating in an Area exercise, a facility owner or operator will not be required to participate in another Area exercise for at least 6 years.</p> <p>(d) The facility owner or operator shall ensure that adequate records of all required exercises are maintained at the facility for 3 years. Records shall be made available to the Coast Guard upon request.</p> <p>(e) The response plan submitted to meet the requirements of this subpart must specify the planned exercise program. The plan must detail the exercise program, including the types of exercises, frequency, scope, objectives and the scheme for exercising the entire response plan every 3 years.</p> <p>(f) Compliance with the National Preparedness for Response Exercise Program (PREP) Guidelines will satisfy the facility response plan exercise requirements. These guidelines are available from the TASC</p>

Regulation	Information
	<p>DEPT Warehouse, 33141Q 75th Avenue, Landover, MD 20875 (fax: 301-386-5394, stock number USCG-X0241). Compliance with an alternative program that meets the requirements of paragraph (a) of this section and has been approved under § 154.1060 will also satisfy the facility response plan exercise requirements.</p> <p>Note to paragraph (f):</p> <p>The PREP guidelines are available online at http://dmases.dot.gov/docimages/pdf1a/198001_web.pdf. [CGD 91-036, 61 FR 7917, Feb. 29, 1996, as amended by USCGD-2003-15404, 68 FR 37741, June 25, 2003]</p>
<p>33 CFR 1251 Clean Water Act (CWA)</p>	<p>The Clean Water Act (CWA) establishes the basic structure for regulating discharges of pollutants into the waters of the United States and regulating quality standards for surface waters. The basis of the CWA was enacted in 1948 and was called the Federal Water Pollution Control Act, but the Act was significantly reorganized and expanded in 1972. "Clean Water Act" became the Act's common name with amendments in 1972.</p> <p>Under the CWA, EPA has implemented pollution control programs such as setting wastewater standards for industry. We have also set water quality standards for all contaminants in surface waters.</p> <p>The CWA made it unlawful to discharge any pollutant from a point source into navigable waters, unless a permit was obtained. EPA's National Pollutant Discharge Elimination System (NPDES) permit</p>

Regulation	Information
	<p>program controls discharges. Point sources are discrete conveyances such as pipes or man-made ditches. Individual homes that are connected to a municipal system, use a septic system, or do not have a surface discharge do not need an NPDES permit; however, industrial, municipal, and other facilities must obtain permits if their discharges go directly to surface waters.</p>
<p>33 USC 2701 (OPA 90)</p>	<p>The Oil Pollution Act (OPA) of 1990 streamlined and strengthened EPA's ability to prevent and respond to catastrophic oil spills. A trust fund financed by a tax on oil is available to clean up spills when the responsible party is incapable or unwilling to do so. The OPA requires oil storage facilities and vessels to submit to the Federal government plans detailing how they will respond to large discharges. EPA has published regulations for aboveground storage facilities; the Coast Guard has done so for oil tankers. The OPA also requires the development of Area Contingency Plans to prepare and plan for oil spill response on a regional scale.</p>
<p>40 CFR 112 Oil Pollution Prevention</p>	<p>§ 112.1 General applicability. (a)(1) This part establishes procedures, methods, equipment, and other requirements to prevent the discharge of oil from non-transportation-related onshore and offshore facilities into or upon the navigable waters of the United States or adjoining shorelines, or into or upon the waters of the contiguous zone, or in connection with activities under the Outer Continental Shelf Lands Act or the Deepwater Port Act of 1974, or that may affect natural resources belonging to, appertaining to, or under the exclusive management authority of the United States (including resources under the</p>

Regulation	Information
<p>40 CFR 300 National Contingency Plan (NCP)</p>	<p>Magnuson Fishery Conservation and Management Act).</p> <p>Key Provisions of National Contingency Plan</p> <p>§300.110</p> <p>Establishes the National Response Team and its roles and responsibilities in the National Response system. This includes planning and coordinating responses, providing guidance to Regional Response Teams, coordinating a national program of preparedness planning and response, and facilitating research to improve response activities. EPA serves as the lead agency within the National Response Team (NRT).</p> <p>§300.115</p> <p>Establishes the Regional Response Teams and their roles and responsibilities in the National Response System, including coordinating preparedness, planning, and response at the regional level. The RRT consists of a standing team made up of representatives of each federal agency that is a member of the NRT, as well as state and local government representatives. It also consists of an incident-specific team made up of members of the standing team that are activated for a response.</p> <p>The RRT also provides oversight and consistency review for area plans within a given region.</p> <p>§300.120</p>

Regulation	Information
	<p data-bbox="181 480 208 1308">Establishes general responsibilities of Federal On-Scene Coordinators.</p> <p data-bbox="235 1166 261 1308">§300.125(a)</p> <p data-bbox="288 118 394 1308">Requires notification of any discharge or release to the National Response Center through a toll-free telephone number. The National Response Center (NRC) acts as the central clearinghouse for all pollution incident reporting.</p> <p data-bbox="421 1166 447 1308">§300.135(a)</p> <p data-bbox="474 118 543 1308">Authorizes the predesignated On-Scene Coordinator to direct all federal, state, and private response activities at the site of a discharge.</p> <p data-bbox="570 1166 596 1308">§300.135(d)</p> <p data-bbox="623 167 729 1308">Establishes the unified command structure for managing responses to discharges through coordinated personnel and resources of the federal government, the state government, and the responsible party.</p> <p data-bbox="756 1198 783 1308">§300.165</p> <p data-bbox="809 180 878 1308">Requires the On-Scene Coordinator to submit to the RRT or NRT a report on all removal actions taken at a site.</p> <p data-bbox="905 1198 932 1308">§300.170</p>

Regulation	Information
	<p>Identifies the responsibilities for federal agencies that may be called upon during response planning and implementation to provide assistance in their respective areas of expertise consistent with the agencies' capabilities and authorities.</p> <p>\$300.175</p> <p>Lists the federal agencies that have duties associated with responding to releases.</p> <p>\$300.210</p> <p>Defines the objectives, authority, and scope of Federal Contingency Plans, including the National Contingency Plan (NCP), Regional Contingency Plans (RCPs), and Area Contingency Plans (ACPs).</p> <p>Oil Removals</p> <p>\$300.317</p> <p>Establishes national priorities for responding to a release.</p> <p>\$300.320</p> <p>Establishes the general pattern of response to be executed by the On-Scene Coordinator (OSC), including determination of threat, classification of the size and type of the release, notification of the RRT and the NRC, and supervision of thorough removal actions.</p>

Regulation	Information
	<p data-bbox="181 1195 206 1308">§300.322</p> <p data-bbox="235 139 416 1308">Authorizes the OSC to determine whether a release poses a substantial threat to the public health based on the size and character of the discharge, and its proximity to human populations and sensitive environments. In such cases, the OSC is authorized to direct all federal, state, or private response and recovery actions. The OSC may enlist the support of other federal agencies or special teams.</p> <p data-bbox="444 1195 469 1308">§300.323</p> <p data-bbox="497 168 568 1308">Provides special consideration to discharges which have been classified as a spill of national significance. In such cases, senior federal officials direct nationally coordinated response efforts.</p> <p data-bbox="596 1195 621 1308">§300.324</p> <p data-bbox="650 139 793 1308">Requires the OSC to notify the National Strike Force Coordination Center (NSFCC) in the event of a worst-case discharges. The NSFCC coordinates the acquisition of needed response personnel and equipment. The OSC also must require implementation of the worst-case portion of the tank vessel and Facility Response Plans and the Area Contingency Plan.</p> <p data-bbox="822 1195 846 1308">§300.355</p> <p data-bbox="875 110 945 1308">Provides funding for responses to oil releases under the Oil Spill Liability Trust Fund, provided certain criteria are met. The responsible party is liable for federal removal costs and damages as detailed in</p>

Regulation	Information
	<p data-bbox="181 224 245 1308">section 1002 of the Oil Pollution Act. Federal agencies assisting in a response action may be reimbursed.</p> <p data-bbox="274 175 341 1308">Authorization for the use of these products is conducted by Regional Response Teams and Area Committees, or by the OSC in consultation with EPA representatives.</p> <p data-bbox="375 932 400 1308">Hazardous Substance Removals</p> <p data-bbox="428 1162 453 1308">§300.415(b)</p> <p data-bbox="487 204 551 1308">Authorizes the lead agency to initiate appropriate removal action in the event of a hazardous substance release. Decisions of action will be based on:</p> <ul data-bbox="580 240 799 1263" style="list-style-type: none"> <li data-bbox="580 727 605 1263">• Threats to human or animal populations; <li data-bbox="618 428 642 1263">• Contamination of drinking water supplies or sensitive ecosystems; <li data-bbox="655 691 679 1263">• High levels of hazardous substances in soils; <li data-bbox="692 240 717 1263">• Weather conditions that may cause migration or release of hazardous substances; <li data-bbox="729 863 754 1263">• Threat of fire or explosion; or <li data-bbox="767 409 791 1263">• Other significant factors effecting public health or the environment. <p data-bbox="817 1166 841 1308">§300.415(c)</p> <p data-bbox="875 168 939 1308">Authorizes the OSC to direct appropriate actions to mitigate or remove the release of hazardous substances.</p>

Regulation	Information
40 CFR 300.317 National Response Priorities	<p>(a) Safety of human life must be given the top priority during every response action. This includes any search and rescue efforts in the general proximity of the discharge and the insurance of safety of response personnel.</p> <p>(b) Stabilizing the situation to preclude the event from worsening is the next priority. All efforts must be focused on saving a vessel that has been involved in a grounding, collision, fire, or explosion, so that it does not compound the problem. Comparable measures should be taken to stabilize a situation involving a facility, pipeline, or other source of pollution. Stabilizing the situation includes securing the source of the spill and/or removing the remaining oil from the container (vessel, tank, or pipeline) to prevent additional oil spillage, to reduce the need for follow-up response action, and to minimize adverse impact to the environment.</p> <p>(c) The response must use all necessary containment and removal tactics in a coordinated manner to ensure a timely, effective response that minimizes adverse impact to the environment.</p> <p>(d) All parts of this national response strategy should be addressed concurrently, but safety and stabilization are the highest priorities. The OSC should not delay containment and removal decisions unnecessarily and should take actions to minimize adverse impact to the environment that begins as soon as a discharge occurs, as well as actions to minimize further adverse environmental impact from additional discharges.</p> <p>(e) The priorities set forth in this section are broad in nature and should not be interpreted to</p>

Regulation	Information
<p>Commander, Navy Region Southeast Instruction (CNRSEINST) 5090.4 (series)</p>	<p>preclude the consideration of other priorities that may arise on a site-specific basis.</p> <ul style="list-style-type: none"> ● Paragraph 5. c.: Installation QI ● Each installation will have a QI in accordance with 33 CFR 154.1026 and 40 CFR 112.20(h) ● This individual is the installation Commanding Officer’s representative and advisor for OHS incidents ● Is designated by letter ● Acts as a liaison to the Navy OSC Representative ● Each response plan will identify and designate one QI, and at least one alternate ● The QI is responsible for: <ul style="list-style-type: none"> ● Proper control, containment & cleanup of an OHS incident ● Until the response has concluded or is properly relieved by the Navy OSC Representative (Regional QI)

Appendix G - Qualified Individual Notification Exercises

The following guidelines are taken from the National Preparedness for Response Exercise Program (PREP) Guidelines, August 2016, and provided to aid the Qualified Individual ensure that they are meeting regulatory requirements for notification exercises.

The purpose of the qualified individual notification exercise is to ensure that the qualified individual (or designee, as designated in the response plan) is able to be reached in a spill response emergency to carry out his or her required duties. Contact by telephone, radio, message-pager, or facsimile must be made with the qualified individual, and confirmation must be received from him or her to satisfy the requirements of this exercise.

The qualified individual notification exercise is not intended to verify phone numbers, points of contact or the notification list contained in the plan. The plan holder is expected to update the notification list periodically (recommended at least once every 6 months) as part of the normal course of conducting business.

At least once a year, the qualified individual notification exercise should be conducted during non-business hours. In the triennial cycle, twelve (12) qualified individual notification exercises must be conducted.

QI Notification Exercise: Coast Guard Marine Transportation-Related (MTR) Facilities

Applicability:	Facility.
Frequency:	Quarterly.
Initiating Authority:	Facility owner or operator.
Participating Elements:	Facility personnel, qualified individual.
Scope:	Exercise communications between facility personnel and qualified individual.
Objectives:	Voice contact and confirmation must be made with a QI as detailed in the plan. Electronic messaging may be used only if communication by voice is not possible.
Certification:	Self-certification.
Verification:	U.S. Coast Guard COTP/FOSC.
Records Retention:	Three years.
Records Location:	Records to be kept at the facility.
Evaluation:	Self-Evaluation.
Credit:	Plan holder may claim credit for this exercise when conducted in conjunction with other exercises, as long as all objectives are met, the exercise is evaluated, and a proper record is generated. Credit may be claimed for an actual response when these objectives are met, the response is evaluated, and a proper record is generated.

Drill: Emergency Procedures – MTR Facilities (optional)

Applicability:	Facility.
Frequency:	Quarterly.
Initiating Authority:	Facility owner or operator.
Participating Elements:	Facility personnel.
Scope:	Exercise the emergency procedures for the facility to mitigate or prevent any discharge, or a substantial threat of such discharge, of oil resulting from facility operational activities associated with oil transfers.
Objectives:	<p>A. Conduct an exercise of the facility's emergency procedures to ensure personnel knowledge of actions to be taken to mitigate a spill. This exercise may consist of a walk-through of the emergency procedures.</p> <p>B. Exercise should involve one or more of the sections of the emergency procedures for spill mitigation. For example, the exercise should involve a simulation of a response to an oil spill.</p> <p>C. The facility should ensure that spill mitigation procedures for all contingencies at the facility are addressed at some time.</p>
Certification:	Self-certification.
Verification:	U.S. Coast Guard COTP/FOSC.
Records Retention:	Three years.
Records Location:	At each facility.
Evaluation:	Self-evaluation.

Credit: Plan holder may claim credit for this exercise when conducted in conjunction with other exercises, as long as all objectives are met, the exercise is evaluated, and a proper record is generated. Credit may be claimed for an actual response when these objectives are met, the response is evaluated, and a proper record is generated.

*This section describes an optional exercise to provide facilities with an exercise that may be conducted unannounced to fulfill the requirement for a plan holder-initiated unannounced exercise.

TTX: Incident Management Team Exercise – MTR Facilities

- Applicability: Facility IMT.
- Frequency: Annually.
- Initiating Authority: Facility owner or operator.
- Participating Elements: IMT as established in the response plan.
- Scope: Exercise the IMT's organization, communication, and decision-making in managing a spill response.
- Objectives: Exercise the IMT in a review of:
- A. Knowledge of the response plan;
 - B. Proper notifications;
 - C. Communications system;
 - D. Ability to access an OSRO;
 - E. Coordination of internal organization personnel with responsibility for spill response;
 - F. Annual review of the transition from a local team to a regional, national, and international team as appropriate;
 - G. Ability to effectively coordinate spill response activity with the NRS infrastructure (If personnel from the NRS are not participating in the exercise, the IMT should demonstrate knowledge of response coordination with the NRS);
 - H. Ability to access information in the ACP for location of sensitive areas, resources available within the area, unique conditions of area, etc.; and
 - I. Minimum of one IMT exercise in a triennial cycle must involve simulation of a WCD scenario.

Certification: Self-certification.

Verification: U.S. Coast Guard COTP/FOSC.

Records Retention: Three years.

Records Location: At each facility.

Evaluation: Self-evaluation.

Credit: Plan holder may claim credit for this exercise when conducted in conjunction with other exercises, as long as all objectives are met, the exercise is evaluated, and a proper record is generated. Credit may be claimed for an actual response when these objectives are met, the response is evaluated, and a proper record is generated.

Plan holders are responsible for ensuring that IMTs are familiar with Area Committees/RRTs and ACPs in every Area in which the plan holder operates. While it is not practicable to require an IMT to exercise in every Area/region in which they offer coverage each year, each IMT is expected to review ACPs annually and the makeup of Area Committees/RRTs in all Areas in which they offer coverage. Self-certification for exercise credit should include IMT certification that the IMT has completed an annual review and is familiar with the ACPs and Area Committees/RRTs in all Areas in which the plan holder operates.

DRILL: Equipment Deployment – MTR Facilities (Facility-owned equipment)

- Applicability:** Facilities with facility-owned and operated response equipment.
- Frequency:** Semiannually.
- Initiating Authority:** Facility owner or operator.
- Participating Elements:** Facility personnel.
- Scope:**
- A. Deploy and operate facility-owned and operated response equipment identified in the response plan. The equipment to be deployed would be the equipment necessary to respond to an AMPD at the facility.
 - B. All of the facility's personnel involved in equipment deployment operations must be included in a comprehensive training program and a comprehensive maintenance program. Credit should be taken for deployment conducted during training. The maintenance program must ensure that the equipment is periodically inspected and maintained in good operating condition in accordance with the manufacturer's recommendations and best commercial practices. All inspection and maintenance must be documented by the owner.
- Objectives:**
- A. Demonstrate ability of facility personnel to deploy and operate equipment.
 - B. At least annually, conduct deployment of dispersant application resources, if applicable.
 - C. Ensure equipment is in proper working order.
- Certification:** Self-certification.

Verification: U.S. Coast Guard COTP/FOSC.

Records Three years.

Retention:

Records Records to be kept at facility.

Location:

Evaluation: Self-evaluation.

Credit: Plan holder may claim credit for this exercise when conducted in conjunction with other exercises, as long as all objectives are met, the exercise is evaluated, and a proper record is generated. Credit may be claimed for an actual response when these objectives are met, the response is evaluated, and a proper record is generated.

Note: If a facility with facility-owned and operated equipment also identifies OSRO equipment in its response plan, the OSRO equipment must also be deployed and operated in accordance with the equipment deployment requirements for OSRO-owned equipment.

DRILL: Equipment Deployment – MTR Facilities (OSRO-owned equipment)

- Applicability:** Facilities with OSRO response equipment cited in their response plan.
- Frequency:** Annually.
- Initiating Authority:** Facility owner or operator.
- Participating Elements:** Facility owner or operator and OSRO.
- Scope:**
- A. Deploy and operate response equipment identified in the response plan for an AMPD response.
 - B. All OSRO personnel involved in equipment deployment operations must be included in a comprehensive training program and a maintenance program. Credit should be taken for equipment deployment conducted during training. The maintenance program must ensure that the equipment is periodically inspected and maintained in good operating condition in accordance with the manufacturers' recommendations and best commercial practices. The OSRO must provide inspection and maintenance information to the owner or operator.
 - C. Plan holders must ensure that when a regional OSRO is identified in the response plan, the OSRO conducts annual equipment deployment exercises in each operating environment for each USCG Contingency Planning Area.
- Objectives:**
- A. Demonstrate the ability of the personnel to deploy and operate equipment.
 - B. At least annually, conduct deployment of dispersant application resources, if applicable.
 - C. Ensure the response equipment is in proper working

order.

Certification: The facility owner or operator should ensure that the OSRO identified in the response plan provides adequate documentation that the requirements for this exercise have been met.

Verification: U.S. Coast Guard COTP/FOSC.

Records Three years.

Retention:

Records Records to be kept at the facility.

Location:

Evaluation: Self-evaluation.

Credit: Plan holder may claim credit for this exercise when conducted in conjunction with other exercises, as long as all objectives are met, the exercise is evaluated, and a proper record is generated. Credit may be claimed for an actual response when these objectives are met, the response is evaluated, and a proper record is generated.

FE+DRILL: Government-Initiated Unannounced Exercise – MTR Facilities

- Applicability: MTR FRP holders within the Area.
- Frequency: As selected; plan holders who have successfully completed a GIUE will not be required to participate in another one for at least 36 months from the date of the exercise.
- Initiating Authority: USCG.
- Participating Elements: MTR, and Mobile MTR FRP holders.
- Scope: A. Unannounced exercises are limited to a maximum of four exercises per Area per year.
B. Exercises are limited to approximately four hours in duration.
C. Exercises must involve response to an AMPD scenario.
- Objectives: Conduct proper notifications and equipment deployment to respond to an unannounced scenario of an AMPD. Demonstrate that the response is:
1. Timely: As a general rule, the regulatory planning standard is containment equipment (e.g., booms) on scene within one hour of notification and recovery equipment (e.g., skimmers and temporary storage) on scene within two hours. Therefore, in a GIUE, a plan holder should be able to initiate a simulated cleanup or SMFF response within approximately two hours of exercise commencement;
 2. Conducted with adequate amount of equipment deployed for the given scenario; and
 3. Properly conducted.

- Certification: U.S. Coast Guard COTP/FOSC.
- Verification: U.S. Coast Guard COTP/FOSC.
- Records Retention: Three years.
- Records Location: At the facility
- Evaluation: Evaluation to be conducted by initiating agency
- Credit: Plan holder may receive credit for other required exercises (a QI notification, equipment deployment exercise, and unannounced exercise) if the GIUE is successfully completed, objectives of the other exercise(s) are met, and a proper record is generated

Internal Notification Exercise Documentation Form

The following sample documentation form is provided to give plan holders an idea of how to document the internal PREP exercises. These sample forms are provided only as guidance. Plan holders do not have to include all of the information presented on these forms nor do they have to use these exact forms. Plan holders may choose to develop their own forms. Documentation should be completed within 60 days of exercise completion. Documentation should include, as a minimum, the following information:

- The type of exercise
- Date and time of the exercise
- A description of the exercise
- The objectives met in the exercise
- The components of the response plan exercised
- Lessons learned along with procedures and schedules for implementing lessons learned

Internal Notification Exercise Documentation Form

1.	Date performed:
2.	Exercise or actual response?
3.	Vessel/Facility/Pipeline initiating exercise:
4.	Name of person notified:
4.	Is this person identified in your response plan as qualified individual or designee? <input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Time initiated:
5.	Time in which qualified individual or designee responded:
6.	Method used to contact: <input type="checkbox"/> Telephone <input type="checkbox"/> Pager <input type="checkbox"/> Radio <input type="checkbox"/> Other _____
7.	Description of notification procedure:
7.	
7.	
7.	

8.	Identify which of the 15 core components of your response plan were exercised during this particular exercise (see following page):
	<input type="checkbox"/> Notifications
	<input type="checkbox"/> Staff Mobilization
	<input type="checkbox"/> Ability to Operate Within the Response Management System Described in the Plan
	<input type="checkbox"/> Source Control
	<input type="checkbox"/> Assessment
	<input type="checkbox"/> Containment
	<input type="checkbox"/> Mitigation (formerly Recovery)
	<input type="checkbox"/> Protection
	<input type="checkbox"/> Disposal
	<input type="checkbox"/> Communications
	<input type="checkbox"/> Transportation
	<input type="checkbox"/> Personnel Support
	<input type="checkbox"/> Equipment Maintenance and Support
	<input type="checkbox"/> Procurement
<input type="checkbox"/> Documentation	
Report Prepared By:	Preparer Signature:
Email:	Phone Number:

 Certifying Official Signature

Company and Title

Printed Name: _____

Core Components for Exercising Response Plans

During each triennial (quadrennial for ACPs) cycle, the following 15 core components must be exercised at least once for a response plan. All of these components may not be contained in each response plan. As such, the plan holder shall identify those that are applicable from this list, adding or deleting as appropriate.

Notifications: Test the notifications procedures identified in the response plan being exercised.

Staff Mobilization: Demonstrate the ability to assemble the response organization identified in the response plan being exercised.

Ability To Operate Within the Response Management System Described in the Plan:

1. Unified Command: Demonstrate the ability of the response organization to work within a UC.
 - a. Federal Representation: Demonstrate the ability to consolidate the concerns and interests of the other members of the UC into a unified strategic plan with tactical operations.
 - b. State Representation: Demonstrate the ability to function within the UC structure.
 - c. Local Representation: Demonstrate the ability to function within the UC structure.
 - d. Responsible Party Representation: Demonstrate the ability to function within the UC structure.
2. Response Management System: Demonstrate the ability of the response organization to operate within the framework of the response management system identified in their respective plans.
 - a. Operations: Demonstrate the ability to coordinate or direct operations related to the implementation of action plans contained in the respective response and contingency plans developed by the UC.
 - b. Planning: Demonstrate the ability to consolidate the various concerns of the members of the UC into joint planning recommendations and specific

long-range strategic plans. Demonstrate the ability to develop short-range tactical plans for the Operations Section.

- c. Logistics: Demonstrate the ability to provide the necessary support of both the short-term and long-term action plans.
- d. Finance: Demonstrate the ability to document the daily expenditures of the organization and provide cost estimates for continuing operations.
- e. Public Affairs: Demonstrate the ability to form a Joint Information Center (JIC) and provide the necessary interface between the UC and the media.
- f. Safety Affairs: Demonstrate the ability to monitor all field operations and ensure compliance with safety standards.
- g. Legal Affairs: Demonstrate the ability to provide the UC with suitable legal advice and assistance.

Source Control: Demonstrate the ability of the response organization to control and stop the discharge at the source, and to effectively coordinate source control activities within the response management system used for the overall incident. Source control actions may involve specialized operations including, as applicable:

- 1. Salvage: Demonstrate the ability to assemble and deploy salvage resources identified in the VRP for the following salvage services:
 - a. Hull and bottom survey;
 - b. Emergency towing;
 - c. External emergency transfer operations;
 - d. Emergency lightering;
 - e. Other refloating methods;
 - f. Making temporary repairs;
 - g. Diving services support;
 - h. Subsurface product removal; and
 - i. Heavy lift.

2. Marine Firefighting (vessels): Demonstrate the ability to assemble and deploy the firefighting resources identified in the VRP for fire suppression.
 - a. External firefighting teams; and
 - b. External vessel firefighting systems.
3. Lightering: Demonstrate the ability to assemble and deploy the lightering resources identified in the response plan.
 - a. Emergency lightering (not applicable to NTVs under 250-barrel capacity).
4. Other Salvage Equipment and Devices: Demonstrate the ability to assemble and deploy the other salvage devices identified in the response plan.
 - a. Specialized salvage operations;
 - b. Special salvage operations plan;
 - c. Subsurface product removal; and
 - d. Heavy lift.
5. Well Control: Where applicable, demonstrate the ability to regain well control and secure the source of a discharge.

Assessment: Demonstrate the ability of the response organization to provide an initial assessment of the discharge or potential discharge and provide continuing assessments of the effectiveness of the tactical planning.

1. Salvage (vessels): Demonstrate the ability to assemble and deploy salvage assessment and consultation resources identified in the VRP for the following salvage services:
 - a. Remote salvage assessment and consultation;
 - b. On-site salvage assessment;
 - c. Assessment of structural stability;
 - d. Salvage plan; and
 - e. Special salvage operations plan.

2. Marine firefighting (vessels): Demonstrate the ability to assemble and deploy the firefighting assessment and planning resources identified in the VRP for the fire assessment and planning.

a. Remote fire assessment and consultation; and

b. On-site fire assessment.

Containment: Demonstrate the ability of the response organization to contain the discharge at the source or in various locations for recovery operations.

Mitigation (formerly Recovery): Demonstrate the ability of the response organization to mitigate the discharged product through the use of oil spill countermeasures, including, but not limited to, dispersants, *in-situ* burning, and bioremediation, in addition to mechanical oil recovery.

1. Protection: Demonstrate the ability of the response organization to protect the environmentally and economically sensitive areas identified in the ACP and the respective industry response plan.

2. Protective Booming: Demonstrate the ability to assemble and deploy sufficient resources to implement the protection strategies contained in the ACP and the respective industry response plan.

3. Water Intake Protection: Demonstrate the ability to quickly identify water intakes and implement the proper protection procedures from the ACP or develop a plan for use.

4. Wildlife Recovery and Rehabilitation: Demonstrate the ability to quickly identify these resources at risk and implement the proper protection procedures from the ACP to develop a plan for use.

5. Population Protection (Protect Public Health and Safety): Demonstrate the ability to quickly identify health hazards associated with the discharged product and the population at risk from these hazards, and to implement the proper protection procedures from the ACP to develop a plan for use.

Disposal: Demonstrate the ability of the response organization to dispose of the recovered material and contaminated debris.

Communications: Demonstrate the ability to establish an effective communications system for the response organization.

1. Internal Communications: Demonstrate the ability to establish an intra-organization communications system. This encompasses communications at the command post and between the command post and deployed resources.

2. External Communications: Demonstrate the ability to establish communications both within the response organization and other entities; e.g., RRT, claimants, media, regional or headquarters agency offices, and nongovernmental organizations.

Transportation: Demonstrate the ability to provide effective multimode transportation, both for execution of the discharge and support functions.

1. Land Transportation: Demonstrate the ability to provide effective land transportation for all elements of the response.

2. Waterborne Transportation: Demonstrate the ability to provide effective waterborne transportation for all elements of the response.

3. Airborne Transportation: Demonstrate the ability to provide effective airborne transportation for all elements of the response.

Personnel Support: Demonstrate the ability to provide the necessary support of all personnel associated with the response.

1. Management: Demonstrate the ability to provide administrative management of all personnel involved in the response. This requirement includes the ability to move personnel into or out of the response organization with established procedures.

2. Berthing: Demonstrate the ability to provide overnight accommodations on a continuing basis for a sustained response.

3. Messing: Demonstrate the ability to provide suitable feeding arrangements for personnel involved with the management of the response.

4. Operational and Administrative Spaces: Demonstrate the ability to provide suitable operational and administrative spaces for personnel involved with the management of the response.

5. Emergency Procedures: Demonstrate the ability to provide emergency services for personnel involved in the response.

Equipment Maintenance and Support: Demonstrate the ability to maintain and support all equipment associated with the response.

1. Response Equipment: Demonstrate the ability to provide effective maintenance and support for all response equipment.
2. Support Equipment: Demonstrate the ability to provide effective maintenance and support for all equipment that supports the response. This requirement includes communications equipment, transportation equipment, administrative equipment, etc.

Procurement: Demonstrate the ability to establish an effective procurement system.

1. Personnel: Demonstrate the ability to procure sufficient personnel to mount and sustain
 2. Response Equipment: Demonstrate the ability to procure sufficient response equipment to mount and sustain an organized response.
 3. Support Equipment: Demonstrate the ability to procure sufficient support equipment to support and sustain an organized response.

Documentation: Demonstrate the ability of the response organization to document all operational and support aspects of the response and provide detailed records of decisions and actions taken.

Appendix H - The Qualified Individual Go-Kit

(This is not an all-inclusive list, but it is start – take the time to add to it and make it your own.)

QI Designation Letter	Flashlight(s) Spare Batteries
Vest / Jacket with ID Markings	Caution / Barrier Tape
Admin Supplies – (Pens, Pads, folders, highlighters, paperclips)	Signage
Job Aid	Basic PPE (Hardhat, Ear Protection, Eye Protection, Gloves, Boots ...)
Boiler plate plans / templates	Reference Books / Apps
Lap-top / Thumb-drive(s)	Phone Contact list
Radios / Cellphones (Chargers, extra Batteries)	Blank ICS Forms
Contingency Plans (ERP)	Response Check lists

Appendix I - Incident Typing

Within the Incident Command System, incidents are categorized based on a number of complexity factors. This categorization process is called Incident Typing.

There are a number of factors that can potentially impact incident complexity, including, but not limited to:

- Size and scope
- Nature of incident (spill, fire, terrorism, loss of life, etc.)
- Location
- Operational and technical challenges
- Politics
- Media
- Environmental sensitivity
- Economic impacts
- Public perceptions and expectations
- Legal constraints
- Resource availability
- Weather
- Terrain and geography

Incident Typing allows for an improved understanding of the overall complexity and significance of the incident by combining these factors into a single category. Incidents are categorized as Type 1 through Type 5, with Type 1 being the most complex and challenging. It also helps Qualified Individuals, Incident Commanders, and Agency/Company Executives assign the appropriate level of incident management resources (Type 1 IMT vs. Type 3 IMT).

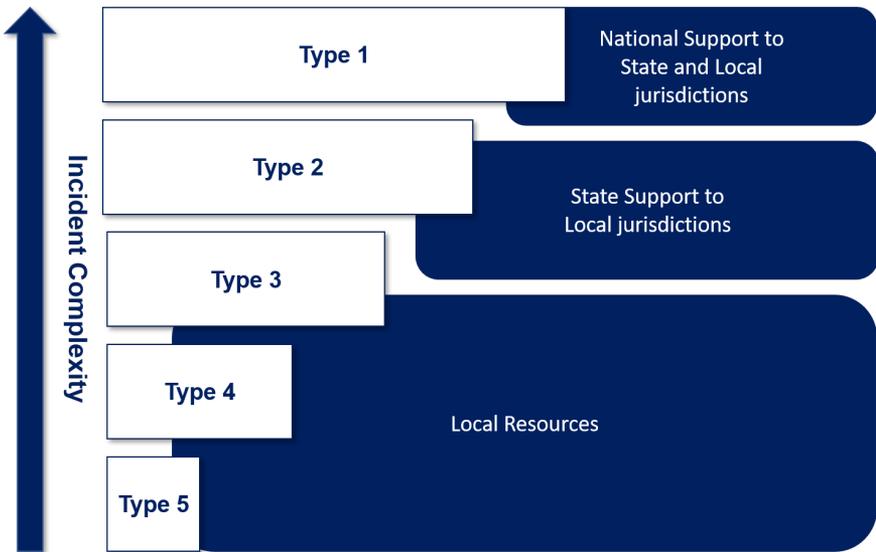
The following is a matrix of incident complexity by type.

ICS Incident Types

Type	Characteristics and Guidelines
Type 5 - Routine	<ul style="list-style-type: none"> • The incident is low in complexity and short in duration. • The incident can be handled with a small number of single resources and personnel. • Primarily an operational focus. • Response actions are in accordance with pre-established standard operating procedures (SOPs). • The Incident Commander is normally the only Command & General Staff position staffed. • A written IAP is not required. • The incident is contained within the first operation period, often within an hour to a few hours after the resources arrive on scene.
Type 4 – Routine; Local Interest	<ul style="list-style-type: none"> • The incident is increased in complexity but is still short in duration. • Typically, still has primarily an operational focus, but other external influences may emerge (media, etc.). • Several resources are required to respond effectively to the incident; operational resources may be organized into Strike Teams and Task Forces to manage span-of-control. • Response actions not addressed in pre-established SOPs may require agency administrator / company executive briefings to clarify delegation of authority and responsibilities. • In addition to the Incident Commander, additional Command & General Staff positions may be staffed; likely positions to staff include Safety Officer, Public Information Officer and Operations Section Chief. • A written IAP is not required but a documented operational briefing may be required for incoming resources; this may be accomplished by using the ICS-201. • Despite the increased size and complexity, the incident is typically contained within the first operational period or two with readily available resources.

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Type 3 – Non-Standard; Local and Regional Interest</p>	<ul style="list-style-type: none"> • The incident is increased in complexity and duration and will likely extend into multiple Operational Periods, lasting several days. There is increased public and media interest. • Additional outside, non-standard resources are required to respond effectively to the incident; the Operations Section may be organized around Divisions and Group to manage span-of-control with upwards of 200 operations personnel. • Some, or all, of the Command & General Staff positions may be staffed, along with Division/Group Supervisor positions and Unit Leader. • A written IAP is required for each Operational Period. • With adequate management and operational resources (such as a Type 3 IMT), the incident can be managed to a successful resolution within a few Operational Periods.
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Type 2 – Very Complex; Regional and National Interest</p>	<ul style="list-style-type: none"> • The incident is very complex and will last several days to weeks, covering multiple Operational Periods. There is considerable public and media interest. • Specialized management and operational resources are required to effectively respond to and manage the incident including resources from outside of the area and a Type 2 IMT. The Operations Section is typically organized with Divisions and Groups, and may require Branches to manage span-of-control with upwards of 600 operations personnel. • Incident-specific procedures may need to be established. • All of the Command & General Staff positions and Unit Leaders are staffed by Type 2 qualified personnel. Some positions may require Deputies or Assistants. • In addition to a written IAP for each Operational Period, additional supporting plans may be required. • With a Type 2 IMT, the incident can be managed to a successful resolution within a few days or weeks, but recovery operations may continue for a longer period of time.

<p>Type 1 – Highly Complex; National and International Interest</p>	<ul style="list-style-type: none"> • The incident is highly complex and will likely last several weeks. There is national public and media interest. • With upwards of 1000 operations personnel, the Operations Section is likely organized with Branches to manage span-of-control. • Incident-specific procedures will need to be established. • All of the Command & General Staff positions and Unit Leaders are staffed by Type 1 qualified personnel. Many positions may require Deputies or Assistants. • In addition to a written IAP, advanced planning tools such as Branch Level Planning, may be utilized. • With a Type 1 IMT, the incident can be managed to a successful resolution within a few weeks, but recovery operations will continue for a longer period of time.
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Tiered Response Concept

The Tiered Response Concept was first developed by the International Petroleum Industry Environmental Conservation Association (IPIECA) in the 1980s as a means to ensure that appropriate response capabilities were available to deal with oil spills. Although designed for spill categorization, today, the Tiered approach is commonly used by industry for all manner of incidents. Similar to incident typing, the tiered response concept helps categorize incidents based on anticipated complexity.

Tier 1 spills are relatively small in terms of spill volume, with the incident only affecting the immediate or local area.

Tier 2 spills are larger in scale and are more of a regional level. The potential impacts from a Tier 2 spill would be greater and a diverse range of response resources would be required with a greater number of stakeholders involved.

Tier 3 spills are those that due to their large scale and likelihood to cause major impacts, call for substantial further resources from a range of national and international sources.

Large Spill			Tier Three
Medium Spill		Tier Two	
Small Spill	Tier One		
	Local	Regional	National

More information on the IPIECA tiered concept can be found at www.ipieca.org.

Appendix J – Commonly Used Acronyms

Slightly different acronyms might be used by other agencies, but the function of the position remains the same.

Acronym	Title
ACP	Area Contingency Plan
AO BD	Air Operations Branch Director
AMPD	Average Most Probably Discharge
AREP	Agency Representative
ASGS	Air Support Group Supervisor
ASTM	American Society for Testing and Materials
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act, also known as the Superfund
CFR	Code of Federal Regulations
COML	Communications Unit Leader
COMP	Compensation/Claims Unit Leader
COTP	Captain of the Port
COST	Cost Unit Leader
CRWB	Crew Boss/Crew Supervisor
CWA	Clean Water Act
DIC	Deputy Incident Commander
DINS	Damage Inspection Technical Specialist
DIVS	Division/Group Supervisor
DMOB	Demobilization Unit Leader
DOCL	Documentation Unit Leader
DOSC	Deputy Operations Section Chief
DPA	Deepwater Port Act
DPRO	Display Processor
EDAC	Effective Daily Application Capacity
ENSP	Environmental Specialist
ENVL/EUL	Environmental Unit Leader

Acronym	Title
EOC	Emergency Operations Center
ERP	Emergency Response Plan
FACL	Facilities Unit Leader
FOBS	Field Observer
FOSC	Federal On-Scene Coordinator
FOSC-R	Federal On-Scene Coordinator Representative
FPP	Fire Protection Plan
FRP	Facilities Response Plan
FSC	Finance Section Chief
FSP	Facilities Security Plan
FDUL	Food Unit Leader
GIUE	Government Initiated Unannounced Exercise
GSUL	Ground Support Unit Leader
IC	Incident Commander
ICS	Incident Command System
INTO	Intelligence/Investigative Officer
LOFR	Liaison Officer
LSC	Logistics Section Chief
MARSEC	Maritime Security
MEDL	Medical Unit Leader
NCP	National Contingency Plan
NIMS	National Incident Management System
NOAA	National Oceanic and Atmospheric Administration
NRC	National Response Center
NRT	National Response Team
NSFCC	National Strike Force Coordination Center
OPA	Oil Pollution Act of 1990
OPBD	Operations Branch Director
OSC	Operations Section Chief
OSC	On-Scene Commander

Acronym	Title
OSHA	Occupational Safety & Health Administration
OSRO	Oil Spill Response Organization
PIO	Public Information Officer
PPE	Personal Protective Equipment
PROC	Procurement Unit Leader
PSC	Planning Section Chief
QI	Qualified Individual
RCP	Regional Contingency Plan
RESL	Resource Unit Leader
RP	Responsible Party
RRT	Regional Response Team
SCKN	Status/Check-In Recorder
SITL	Situation Unit Leader
SMFF	Salvage and Marine Firefighting
SOCS	State On Scene Coordinator
SOFR	Safety Officer
SPUL	Supply Unit Leader
STAM	Staging Area Manager
STVE	Strike Team Leader, Vessel
SUBD	Support Branch Director
SVDB	Service Branch Director
TFLD	Task Force Leader
THSP	Technical Specialist
TIME	Time Unit Leader
UC	Unified Command
USC	United States Code (Laws)
VRP	Vessel Response Plan

Appendix K – Glossary

<i>Affected Party</i>	Any entity that has been affected by the incident or event itself or has been affected in some way by the response effort. They may be private citizens, businesses, public entities, groups, users of systems (roads, waterways and utilities), landowners or a variety of other interests.
<i>Agency Executive</i>	An individual from an agency, company or level of government to whom the member of the UC from that agency or company reports during the response effort; may provide executive level direction to Command that influences the response effort.
<i>Area of Responsibility</i>	The domain within a specified set of boundaries, either geographic, functional or a combination thereof, for which you have been assigned incident management responsibility.
<i>Command</i>	The general term used when referring to Incident Commander or Unified Command.
<i>Command Direction</i>	A general term for the specific information provided by Command to the Command and General staff for action. Examples include priorities, objectives, tasks, policies, decisions and operating procedures.
<i>Critical Resources</i>	A term used to identify response resources that are in high demand and in short supply. Normally, referred to as tactical resources but can also be logistical in nature, such as caterers, shower units, lodging, communications systems and buses.

Elected Official An official at any level of government such as sheriff, judge, city councilmember or senator who holds his/her position by general election by the citizens. Elected Officials represent their constituents, the people in their district or other jurisdiction. An official at any level of government such as sheriff, judge, city councilmember or senator who holds his/her position by general election by the citizens. Elected Officials represent their constituents, the people in their district or other jurisdiction.

Emergency Operations Center (EOC) The predesignated facility established by an agency or jurisdiction to coordinate the overall agency or jurisdictional response and support to an emergency. The emergency operations center coordinates information and resources to support domestic incident management activities.

Environmental Unit Leader (ENVL) The Environmental Unit Leader is responsible for environmental matters during an incident, including strategic assessment, modeling, surveillance, and environmental monitoring and permitting. Generally, the ENVL comes from a public environmental or natural resource management agency to help ensure a response is in compliance with applicable laws, regulations, and ordinances.

Federal On-Scene Coordinator Federal OSCs are the federal officials predesignated by United States Environmental Protection Agency and the United States Coast Guard to coordinate response resources. The OSC, either directly or through his or her staff, monitors, provides technical assistance, and/or directs federal and potentially responsible party (PRP) resources.

Facility Owner Facility Owner is the owner/operator of the facility or source which precipitated an incident.

Facilities Response Plan (FRP) Facilities that could reasonably be expected to cause "substantial harm" to the environment by discharging oil into or on navigable waters are required to prepare and submit Facility Response Plans (FRPs). An FRP demonstrates a facility's preparedness to respond to a worst-case oil discharge.

Government Affairs Assistant Assists the LOFR as a specialist in interfacing with elected officials and their staffs.

Incident Command System (ICS) A standardized on-scene emergency management system specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. ICS is used for all emergency responses and is applicable to small, as well as, large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, or organized field-level incident management.

Incident Priorities Critical factors that influence the allocation of resources or actions necessary to achieve incident objectives, such as life safety, national security, environment, economy, infrastructure and transportation systems.

Interim Direction(s) Specific tasking provided by Command to staff during periods of the response when more formalized direction has not yet been developed, the dynamics of the incident have suddenly changed, or at any other time Command deems necessary to fill gaps in their clarity of direction.

Involved Party Any entity that has a need to interact with the IMT as a direct result of the effects of the incident or event, or as a direct result of response activities. This may be private citizens, businesses, public entities, groups, or a variety of others.

Limitations and Constraints Influences that may hinder carrying out a planned action or something that may adversely affect how or when a task can be performed.

MARSEC Levels (US Coast Guard) The U.S. Coast Guard employs a three-tiered system of Maritime Security (MARSEC) Levels designed to easily communicate to the Coast Guard and our maritime industry partners pre-planned scalable responses for credible threats. If the Secretary of Homeland Security issues a National Terrorism Advisory System (NTAS) Alert, the Commandant of the U.S. Coast Guard will adjust MARSEC Level, if appropriate, based on the commensurate risk, any maritime nexus, and/or Commandant consultation with the Secretary of Homeland Security.

MARSEC Levels are set to reflect the prevailing threat environment to the marine elements of the national transportation system, including ports, vessels, facilities, and critical assets and infrastructure located on or adjacent to waters subject to the jurisdiction of the U.S. MARSEC Levels apply to vessels, Coast Guard-regulated facilities inside the U.S., and to the Coast Guard.

MARSEC Level 1 means the level for which minimum

appropriate security measures shall be maintained at all times.

MARSEC Level 2 means the level for which appropriate additional protective security measures shall be maintained for a period of time as a result of heightened risk of a transportation security incident.

MARSEC Level 3 means the level for which further specific protective security measures shall be maintained for a limited period of time when a transportation security incident is probable, imminent, or has occurred, although it may not be possible to identify the specific target.

MARSEC Level 1 generally applies in the absence of an NTAS Alert or when the Commandant determines that the Alert is not applicable to the Marine Transportation System. If an NTAS Alert is applicable, the Commandant will consider a MARSEC Level change for the maritime industry, Coast Guard, or both.

*Oil Spill
Response
Organization*

Any person or persons who own or otherwise control oil spill removal resources that are designed for, or are capable of, removing oil from the water or shoreline. OSROs provide response equipment and services, individually or in combination with subcontractors or associated contractors. OSROs must be able to mobilize and deploy equipment or trained personnel and remove, store, and transfer recovered oil.

National Incident Management System (NIMS) A system mandated by HSPD-5 that provides a consistent nationwide approach for Federal, State, local, and tribal governments; the private sector; and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, local, and tribal capabilities, the NIMS includes a core set of concepts, principles, and terminology. HSPD-5 identifies these as the ICS; multiagency coordination systems; training; identification and management of resources (including systems for classifying types of resources); qualification and certification; and the collection, tracking, and reporting of incident information and incident resources.

National Response Center (NRC) A national communications center for activities related to oil and hazardous substance response actions. The National Response Center, located at Department of Homeland Security/Coast Guard Headquarters in Washington, DC, receives and relays notices of oil and hazardous substances releases to the appropriate Federal Operations Section Chief.

National Response Framework (NRF) A document that describes the structure and processes comprising a national approach to domestic incident management designed to integrate the efforts and resources of Federal, State, local, tribal, private-sector, and nongovernmental organizations.

National Response System Pursuant to the National Oil and Hazardous Substances Pollution Contingency Plan, the National Response System is a mechanism for coordinating response actions by all levels of government (40 CFR § 300.21) for oil and hazardous substances spills and releases.

Objective A clearly stated direction given by Command (IC or UC) to an Incident Management Team (IMT). This direction forms the basis for the activities and expected outcomes of the IMT and may be categorized as either operationally or management oriented. Objectives must be flexible enough to allow for strategic and tactical alternatives.

Ongoing Operations The period after the initial response phase; all response activities are planned ahead of the operational period in which they will be executed. A continuous cycle of activities that results in development, execution, support and assessment of an IAP. The cycle that repeats until the incident is resolved. The circular portion of the Operational Planning “P” depicted throughout this Job Aid.

Qualified Individual The FRP regulations require facilities to prepare an emergency response action plan and identify a qualified individual that has full authority, including contracting authority, to implement removal actions (40 CFR §112.20(h)(i)). What is the definition of a qualified individual?

The relevant statute, CWA 311(j)(5)(C)(ii) requires that the plan identify the qualified individual (QI) having full authority to implement removal actions, and require immediate communications between that individual and the appropriate federal official and the persons providing personnel and equipment pursuant to clause (iii) [Oil Spill Removal Organizations or first responders].

Stakeholder A general term for any entity that has an interest in a response effort. May include agencies, involved parties, affected parties, and/or interested parties.

Responsible Party Is the person, business, or entity that has been identified as owning the vessel or facility that caused the spill. The term does not imply criminal negligence.

Responsible Party – Onshore Facilities In the case of an onshore facility (other than a pipeline), any person owning or operating the facility, except a Federal agency, State, municipality, commission, or political subdivision of a State, or any interstate body, that as the owner transfers possession and right to use the property to another person by lease, assignment, or permit.

State On-Scene Coordinator (SOSC) A state official designated by the appropriate state agency with jurisdiction to coordinate and direct a state-funded response or oversee a private response to a discharge or spill. This term may be used interchangeably with agency on-scene coordinator.

Strategy A general statement of “how” an operationally oriented objective may be accomplished. Allows an IMT to document and communicate alternatives for accomplishing operationally oriented objectives.

Tactics Clearly stated, detailed work assignments, activities, and specific resource allocations derived from a selected strategy in order to accomplish an operationally oriented objective. Carried out by assigned resources within the Operations Section of an IMT.

Trustee An official of a federal natural resources management agency designated in subpart G of the National Contingency Plan or a designated state official or Indian tribe or, in the case of discharges covered by the OPA, a foreign government official, who may pursue claims for damages under section 107(f) of CERCLA or section 1006 of the OPA.

Appendix L – Environmental Unit Product Matrix

<p>Environmental Unit Products</p> <p>The following are a list of potential products that may be required from the Environmental Unit to support operational planning process and the SIT Unit.</p> <p>This is list is not all inclusive. EULs are highly encouraged to develop an incident specific matrix of required products and expected deliveries.</p>	<p>Unified Command Meeting</p>	<p>Command and Staff Meeting</p>	<p>Prepare for Tactics Meeting</p>	<p>Preparing for the Planning Meeting</p>	<p>For Situation Unit</p>
<p>Weather Forecast</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>
<p>Map of Spill Trajectory</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>
<p>Map of Air Modeling Predictions</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>
<p>Resources at Imminent Risk</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>
<p>Sea state forecast</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>
<p>Tide Table data</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>
<p>Agent (Physical, Chemical, Biological, Radiological) Fate and Transport Budget estimates</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>

<p>Environmental Unit Products</p> <p>The following are a list of potential products that may be required from the Environmental Unit to support operational planning process and the SIT Unit.</p> <p>This list is not all inclusive. EULs are highly encouraged to develop an incident specific matrix of required products and expected deliveries.</p>	<p>Unified Command Meeting</p>	<p>Command and Staff Meeting</p>	<p>Prepare for Tactics Meeting</p>	<p>Preparing for the Planning Meeting</p>	<p>For Situation Unit</p>
<p>Map of predicted flood levels</p>	<p>X</p>	<p>X</p>	<p>X</p>		<p>X</p>
<p>ICS-232, Resources At Risk Summary</p>					
<p>Specific species activities of concern: nesting, mating, migration, hatching, births, spawning, budding, egg-laying, hibernation, etc.</p>	<p>X</p>	<p>X</p>			
<p>Progress on use of alternative technologies and their success or impacts on the environment</p>	<p>X</p>				
<p>Environmental trend data showing progressive air monitoring, water sampling, groundwater monitoring, biological sampling results</p>	<p>X</p>				
<p>Map of sensitive areas within the trajectory of the spill</p>			<p>X</p>	<p>X</p>	<p>X</p>
<p>Map of prioritized areas for protection</p>			<p>X</p>		<p>X</p>

	Unified Command Meeting	Command and Staff Meeting	Prepare for Tactics Meeting	Preparing for the Planning Meeting	For Situation Unit
<p>Environmental Unit Products</p> <p>The following are a list of potential products that may be required from the Environmental Unit to support operational planning process and the SIT Unit.</p> <p>This list is not all inclusive. EULs are highly encouraged to develop an incident specific matrix of required products and expected deliveries.</p>			X	X	X
<p>Map of sensitive areas within the trajectory of the spill</p>			X		X
<p>Map of radiation contamination extent</p>			X		X
<p>Map of pandemic outbreak spread</p>			X		X
<p>Map of surveyed areas for cleanup</p>			X		X
<p>Map of key resources at risk</p>			X		X
<p>Map of fish kills</p>			X		X
<p>Map of multiple pollution sources following a severe weather event</p>			X		X
<p>Map of cleanup progress and estimate of contaminant removal rates by day</p>			X	X	

<p>Environmental Unit Products</p> <p>The following are a list of potential products that may be required from the Environmental Unit to support operational planning process and the SIT Unit.</p> <p>This list is not all inclusive. EULs are highly encouraged to develop an incident specific matrix of required products and expected deliveries.</p> <p>Map of candidate spills for advance response countermeasures such a in-situ burning, chemical application, water treatment, sand washing, bioremediation, phytoremediation, land farming, capping, solidification, absorbent application, etc.</p>	<p>Unified Command Meeting</p>	<p>Command and Staff Meeting</p>	<p>Prepare for Tactics Meeting</p>	<p>Preparing for the Planning Meeting</p>	<p>For Situation Unit</p>
<p>List of IC/UC approved cleanup countermeasures and their net environmental benefit rating</p>			<p>X</p>		
<p>Map of recommended cleanup countermeasures by location as a result of Shoreline Cleanup Assessment Techniques (SCAT) Teams</p>			<p>X</p>	<p>X</p>	<p>X</p>
<p>Map of existing public evacuation zones and recommended precautionary evacuation zones</p>			<p>X</p>		
<p>Environmental impact map</p>				<p>X</p>	<p>X</p>

<p>Environmental Unit Products</p> <p>The following are a list of potential products that may be required from the Environmental Unit to support operational planning process and the SIT Unit.</p> <p>This is list is not all inclusive. EULs are highly encouraged to develop an incident specific matrix of required products and expected deliveries.</p>	<p>Unified Command Meeting</p>	<p>Command and Staff Meeting</p>	<p>Prepare for Tactics Meeting</p>	<p>Preparing for the Planning Meeting</p>	<p>For Situation Unit</p>
<p>Trajectory/forecast map</p>				<p>X</p>	<p>X</p>
<p>Wildlife impact list</p>				<p>X</p>	<p>X</p>
<p>Air monitoring results map</p>				<p>X</p>	<p>X</p>
<p>Air monitoring results log</p>				<p>X</p>	
<p>Sensitive areas map</p>				<p>X</p>	<p>X</p>
<p>Endangered species list</p>				<p>X</p>	
<p>Endangered species habitat map</p>				<p>X</p>	
<p>Pollution Fate Budget Analysis (% cleaned, evaporated, dissolved, etc.)</p>				<p>X</p>	

<p>Environmental Unit Products</p> <p>The following are a list of potential products that may be required from the Environmental Unit to support operational planning process and the SIT Unit.</p> <p>This list is not all inclusive. EULs are highly encouraged to develop an incident specific matrix of required products and expected deliveries.</p>	<p>Unified Command Meeting</p>	<p>Command and Staff Meeting</p>	<p>Prepare for Tactics Meeting</p>	<p>Preparing for the Meeting</p>	<p>For Situation Unit</p>
<p>Cleanup plans</p>				<p>X</p>	
<p>Remediation plans</p>				<p>X</p>	
<p>Sampling plans</p>				<p>X</p>	
<p>Monitoring plans</p>				<p>X</p>	
<p>Alternative countermeasures technique testing plans</p>				<p>X</p>	
<p>Data collection plans and protocols</p>				<p>X</p>	
<p>Scientific data risk communications plans</p>				<p>X</p>	
<p>Endangered Species Act Formal/Informal consultation plans</p>				<p>X</p>	

<p>Environmental Unit Products</p> <p>The following are a list of potential products that may be required from the Environmental Unit to support operational planning process and the SIT Unit.</p> <p>This list is not all inclusive. EULs are highly encouraged to develop an incident specific matrix of required products and expected deliveries.</p>	<p>Unified Command Meeting</p>	<p>Command and Staff Meeting</p>	<p>Prepare for Tactics Meeting</p>	<p>Preparing for the Planning Meeting</p>	<p>For Situation Unit</p>
<p>Cultural/Archeological Formal/Informal Consultation Plans (Section 106)</p>				X	
<p>Disposal plans</p>				X	
<p>Permit Applications</p>			X		
<p>Environmental Messages</p>			X		

Appendix M — ICS Map and Chart Display Symbolology

ICS MAP/CHART DISPLAY SYMBOLOLOGY

<p>MINIMUM RECOMMENDED</p> <p>BLACK</p> <ul style="list-style-type: none"> Proposed Boom Completed Boom Absorbent Material <p>RED</p> <ul style="list-style-type: none"> 10 Aug 1430 Hazard Origin <p>BLUE</p> <ul style="list-style-type: none"> Incident Command Post Incident Base MOBIL Camp (Identify by Name) STAGING Area (Identify by Name) Joint Information Center Helispot (Location & Number) Helibase Mobile Relay <p>OPTIONAL</p> <p>BLUE</p> <ul style="list-style-type: none"> Police Station Telephone Fire Station Mobile Weather Unit Emergency Operations Center First Aid Station Hospital	<p>BLACK</p> <ul style="list-style-type: none"> [I] [II] Branches (Initially numbered clockwise from Incident origin) (A) (B) Divisions (Initially lettered clockwise from Incident origin) Branch Boundary Wind Speed and Direction Safety/Security Zone Boat Ramp <p>ORANGE</p> <ul style="list-style-type: none"> Product Spread Prediction <p>BLACK</p> <ul style="list-style-type: none"> Actual Product or Chemical Plume <p>All overlays must contain registration marks. These may consist of identified road intersections township/range coordinates, map corners etc.</p>
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TO BE USED ON INCIDENT BRIEFING AND ACTION PLAN MAPS/CHARTS

January 5, 2005

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The concept of IMT Gear is simple:
Provide useful and high-quality products to responders.

Founded by incident management and emergency response professionals with over 30 years of experience, we know what it takes to manage an incident. We've searched the offerings and assembled products here that we believe in and know will work well for you as well. Our cadre of seasoned experts have field tested these products in a variety of response environments and the products we carry bear their stamps of approval.

Through a unique partnership with **EMSI**, IMT Gear is the exclusive distributor of several popular EMSI products, including the EMSI ICS position job aids. Additionally, through IMT Gear, EMSI offers registration in open enrollment training courses.



Don't see what you need?
We want to hear about your specific incident management gear needs. Contact us today to talk to a response professional about your needs and we'll track it down for you! Have a custom order or kit requirement? We'll help you build it!

The IMT Gear team understands your needs and is dedicated to serving you



Qualified Individual/Initial Incident Commander Activities

