

II. Command and Management

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-a. Most Incidents Are Managed Locally

NIMS: *The initial response to most domestic incidents is typically handled by local "911" dispatch centers, emergency responders within a single jurisdiction, and direct supporters of emergency responders. Most responses need go no further. In other instances, incidents that begin with a single response discipline within a single jurisdiction may rapidly expand to multidiscipline, multijurisdictional incidents requiring significant additional resources and operational support. Whether for incidents in which additional resources are required or are provided from different organizations within a single jurisdiction or outside the jurisdiction, or for complex incidents with national-level implications (such as an emerging infectious disease or a bioterror attack), the ICS provides a flexible core mechanism for coordinated and collaborative incident management. **When a single incident covers a large geographical area, multiple local ICS organizations may be required. Effective cross-jurisdictional coordination using processes and systems described in the NIMS is absolutely critical in this instance.** [II-A-1-a (Page 7)]*

The jurisdiction has implemented and institutionalized processes, systems, _____ YES _____ NO procedures, and/or plans to ensure **effective cross-jurisdictional coordination** between multiple local ICS organizations responding to an incident covering a large geographical area.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-b. Field Command and Management Functions

NIMS: *The NIMS requires that field command and management functions be performed in accordance with a standard set of ICS organizations, doctrine, and procedures. However, Incident Commanders generally retain the flexibility to modify procedures or organizational structure to align as necessary with the operating characteristics of their specific jurisdictions or to accomplish the mission in the context of a particular hazard scenario. [II-A-1-b (Page 8)]*

The jurisdiction has implemented and institutionalized processes and/or plans to ensure: _____YES _____NO

- field command and management functions are performed in accordance with a standard set of ICS **organizations, doctrine, and procedures.**
- Incident Commanders have the authority and flexibility to **modify procedures and organizational structure** as necessary to align with the operating characteristics of their specific jurisdiction or to accomplish the mission in the context of a particular hazard scenario.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-c. ICS Is Modular and Scalable

NIMS: *ICS is designed to have the following operating characteristics; it should be:*

- *suitable for operations within a single jurisdiction or single agency, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement;*
- *applicable and acceptable to users throughout the country;*
- *readily adaptable to new technology;*
- *adaptable to any emergency or incident to which domestic incident management agencies would be expected to respond; and*
- *have a scalable organizational structure that is based on the size and complexity of the incident.*

[II-A-1-c (Page 8)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS is **modular and scalable** through the following operating characteristics:

_____ YES _____ NO

- suitable for operations within a **single jurisdiction or agency**.
- suitable for operations within a **single jurisdiction with multiagency involvement**.
- suitable for operations within **multiple jurisdictions with multiagency involvement**.
- **readily adaptable to new technology**.
- **adaptable to any emergency or incident** to which domestic incident management agencies would be expected to respond.
- **scalable in organizational structure** based on the size and complexity of the incident.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-d. ICS Has Interactive Management Components

NIMS: *These set the stage for effective and efficient incident management and emergency response. [II-A-1-d (Page 8)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS has **interactive management components**. YES NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-f. ICS Incorporates Measurable Objectives

NIMS: *Measurable objectives ensure fulfillment of incident management goals. Objective setting begins at the top and is communicated throughout the entire organization.*
[II-A-1-f (Page 9)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its: _____ YES _____ NO

- **ICS incorporates measurable objectives** to ensure fulfillment of incident management goals.
- incident management **objective-setting begins at the top and is communicated throughout the entire organization.**

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-g. Minimal Disruption

NIMS: *The implementation of ICS should have the least possible disruption on existing systems and processes. This will facilitate its acceptance across a Nationwide user community and ensure continuity in the transition process from normal operations. [II-A-1-g (Page 9)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS has the **least possible disruption on existing systems and processes.** YES NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-h. Broad Applicability

NIMS: *ICS should be user friendly and be applicable across a wide spectrum of emergency response and incident management disciplines. This will enable the communication, coordination, and integration critical to an effective and efficient NIMS. [II-A-1-h (Page 9)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS is **user-friendly and applicable** across a wide spectrum of emergency response and incident management disciplines.

_____ YES _____ NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-a. Common Terminology

NIMS: *ICS establishes common terminology that allows diverse incident management and support entities to work together across a wide variety of incident management functions and hazard scenarios. This common terminology covers the following:*

- *Organizational Functions. Major functions and functional units with domestic incident management responsibilities are named and defined. Terminology for the organizational elements involved is standard and consistent.*
- *Resource Descriptions. Major resources--including personnel, facilities, and major equipment and supply items--used to support incident management activities are given common names and are "typed" with respect to their capabilities, to help avoid confusion and to enhance interoperability. The process for accomplishing this task is specified in Chapter IV.*
- *Incident Facilities. Common terminology is used to designate the facilities in the vicinity of the incident area that will be used in the course of incident management activities.*

[II-A-2-a (Page 9)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS uses **common terminology** for organizational functions, resource descriptions, and incident facilities.

_____YES _____NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-b. Modular Organization

NIMS: *The incident command organizational structure develops in a top-down, modular fashion that is based on the size and complexity of the incident, as well as the specifics of the hazard environment created by the incident. When needed, separate functional elements can be established, each of which may be further subdivided to enhance internal organizational management and external coordination. **Responsibility for the establishment and expansion of the ICS modular organization ultimately rests with the Incident Commander (IC), who bases these on the requirements of the situation. As incident complexity increases, the organization expands from the top down as functional responsibilities are delegated. Concurrently with structural expansion, the number of management positions expands to adequately address the requirements of the incident.** [II-A-2-b (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS: _____ YES _____ NO

- places responsibility for the **establishment and expansion of the ICS modular organization** on the IC.
- **expands from the top down** as incident complexity increases and functional responsibilities are delegated.
- **expands the number of management positions concurrently with structural expansion** to adequately address the requirements of the incident.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-c. Management by Objectives

NIMS: *Management by objectives represents an approach that is communicated throughout the entire ICS organization. This approach includes the following:*

- *establishing overarching objectives;*
- *developing and issuing assignments, plans, procedures, and protocols;*
- *establishing specific, measurable objectives for various incident management functional activities, and directing efforts to attain them, in support of defined strategic objectives; and*
- *documenting results to measure performance and facilitate corrective action.*

[II-A-2-c (Page 10)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its approach to management by objectives includes:

____ YES ____ NO

- **establishing overarching objectives.**
- **developing and issuing assignments, plans, procedures, and protocols.**
- **establishing and directing efforts to attain specific, measurable objectives** for various incident management functional activities in support of defined strategic objectives.
- **documenting results to measure performance and facilitate corrective action.**

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-d. Reliance on an Incident Action Plan

NIMS: *Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities. [II-A-2-d (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its **ICS relies upon an IAP** to provide a coherent means of communicating the overall incident objectives in the context of operational and support activities.

_____ YES _____ NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-e. Manageable Span of Control

NIMS: *Span of control is key to effective and efficient incident management. **Within ICS, the span of control of any individual with incident management supervisory responsibility should range from three to seven subordinates.** The type of incident, nature of the task, hazards and safety factors, and distances between personnel and resources all influence span-of-control considerations. [II-A-2-e (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS provides for a **manageable span of control** where supervisors are expected to manage a range of three to seven subordinates.

____ YES ____ NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-f. Predesignated Incident Locations and Facilities

NIMS: *Various types of operational locations and support facilities are established in the vicinity of an incident to accomplish a variety of purposes, such as decontamination, donated goods processing, mass care, and evacuation. **The IC will direct the identification and location of facilities based on the requirements of the situation at hand.** Typical predesignated facilities include incident command posts, bases, camps, staging areas, mass casualty triage areas, and others, as required. [II-A-2-f (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS designates the IC to direct the **identification and location of facilities** based on the requirements of the situation at hand.

_____YES _____NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-g. Comprehensive Resource Management

NIMS: *Maintaining an accurate and up-to-date picture of resource utilization is a critical component of domestic incident management. Resource management includes processes for categorizing, ordering, dispatching, tracking, and recovering resources. It also includes processes for reimbursement for resources, as appropriate. Resources are defined as personnel, teams, equipment, supplies, and facilities available or potentially available for assignment or allocation in support of incident management and emergency response activities. [II-A-2-g (Page 11)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for **categorizing, ordering, dispatching, tracking, and recovering resources** to maintain an accurate, up-to-date picture of resource use.

_____YES _____NO

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-h. Integrated Communications

NIMS: *Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures. This integrated approach links the operational and support units of the various agencies involved and is necessary to maintain communications connectivity and discipline and enable common situational awareness and interaction. Preparedness planning must address the equipment, systems, and protocols necessary to achieve integrated voice and data incident management communications. [II-A-2-h (Page 11)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure an integrated communications capability, which includes:

_____YES _____NO

- the development and use of a **common communications plan**.
- the development and use of **interoperable communications processes and architectures**.

The jurisdiction's preparedness planning addresses **equipment, systems, and protocols** necessary to achieve integrated voice and data incident management communications.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-i. Establishment and Transfer of Command

NIMS: *The command function must be clearly established from the beginning of incident operations. The agency with primary jurisdictional authority over the incident designates the individual at the scene responsible for establishing command. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations. [II-A-2-i (Page 11)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure: _____ YES _____ NO

- the **command function is clearly established** at the beginning of incident operations.
- the agency with primary jurisdictional authority over the incident **designates the individual at the scene responsible for establishing command.**
- the **process for transferring command includes a briefing** that captures all essential information for continuing safe and effective operations.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-k. Unified Command

NIMS: *In incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement, Unified Command allows agencies with different legal, geographic, and functional authorities and responsibilities to work together effectively without affecting individual agency authority, responsibility, or accountability. [II-A-2-k (Page 11)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure in incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement:

____ YES ____ NO

- its Unified Command structure allows agencies with different legal, geographic, and functional authorities and responsibilities to **work together effectively**.
- its Unified Command structure **does not affect individual agency authority, responsibility, or accountability**.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-I. Accountability

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

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

[II-A-2-I (Page 12)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure:

____ YES ____ NO

- all responders, regardless of agency affiliation, **report in to receive an assignment** in accordance with procedures established by the IC.
- response operations are **directed and coordinated** as outlined in the IAP.
- **each individual involved in incident operations is assigned to only one supervisor.**
- supervisors **adequately supervise and control** their subordinates.
- supervisors **communicate with and manage** all resources under their supervision.
- supervisors **record and report** resource status changes as they occur.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-m. Deployment

NIMS: *Personnel and equipment should respond only when requested or when dispatched by an appropriate authority. [II-A-2-m (Page 12)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure personnel and equipment **respond only when requested or dispatched** by an appropriate authority.

____ YES ____ NO

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-n. Information and Intelligence Management

NIMS: *The incident management organization must establish a process for gathering, sharing, and managing incident-related information and intelligence. [II-A-2-n (Page 12)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for **gathering, sharing, and managing** incident-related information and intelligence.

____ YES ____ NO

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-a. Command and General Staff Overview

NIMS: *The ICS organization has five major functions. These are: command, operations, planning, logistics, and finance and administration (with a potential sixth functional area to cover the intelligence function. (1) Command. Command comprises the IC and Command Staff. Command Staff positions are established to assign responsibility for key activities not specifically identified in the General Staff functional elements. These positions may include the Public Information Officer (PIO), Safety Officer (SO), and Liaison Officer (LNO), in addition to various others, as required and assigned by the IC. (2) General Staff. The General Staff comprises incident management personnel who represent the major functional elements of the ICS including the Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief. **Command Staff and General Staff must continually interact and share vital information and estimates of the current and future situation and develop recommended courses of action for consideration by the IC.***
[II-A-3-a (Page 12)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its Command Staff and General Staff **continually interact and share vital information** and estimates of the current and future situation and develop recommended courses of action for consideration by the IC.

____ YES ____ NO

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-a. Single Command IC

NIMS: *Command Staff is responsible for overall management of the incident. This includes Command Staff assignments required to support the command function. (1) The Command Function. The command function may be conducted in two general ways: (a) Single Command IC. When an incident occurs within a single jurisdiction and there is no jurisdictional or functional agency overlap, a single IC should be designated with overall incident management responsibility by the appropriate jurisdictional authority. (In some cases in which incident management crosses jurisdictional and/or functional agency boundaries, a single IC may be designated if all parties agree to such an option.) Jurisdictions should consider predesignating ICs in their preparedness plans. The designated IC will develop the incident objectives on which subsequent incident action planning will be based. The IC will approve the Incident Action Plan (IAP) and all requests pertaining to the ordering and releasing of incident resources. [II-A-3-b-1-a (Page 13)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure:

____ YES ____ NO

- the Command Staff is responsible for the **overall management of an incident.**
- **a single IC is designated** for incidents that occur within a single jurisdiction with no functional agency overlap or when all parties to a cross-jurisdictional or multifunctional response agree to a single IC.
- has considered **predesignating ICs** in its preparedness plans.
- the IC **develops incident objectives** on which subsequent incident action planning will be based.
- the IC **approves the IAP and all requests pertaining to the ordering and releasing of incident resources.**

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-b. Unified Command

NIMS: *UC is an important element in multijurisdictional or multiagency domestic incident management. It provides guidelines to enable agencies with different legal, geographic, and functional responsibilities to coordinate, plan, and interact effectively. As a team effort, UC overcomes much of the inefficiency and duplication of effort that can occur when agencies from different functional and geographic jurisdictions, or agencies at different levels of government, operate without a common system or organizational framework. **All agencies with jurisdictional authority or functional responsibility for any or all aspects of an incident and those able to provide specific resource support participate in the UC structure and contribute to the process of determining overall incident strategies; selecting objectives; ensuring that joint planning for tactical activities is accomplished in accordance with approved incident objectives; ensuring the integration of tactical operations; and approving, committing, and making optimum use of all assigned resources.** The exact composition of the UC structure will depend on the location(s) of the incident (i.e., which geographical administrative jurisdictions are involved) and the type of incident (i.e., which functional agencies of the involved jurisdiction(s) are required). In the case of some multijurisdictional incidents, the designation of a single IC may be considered to promote greater unity of effort and efficiency. [II-A-3-b-1-b (Page 14)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure **all agencies** with jurisdictional authority or functional responsibility for any or all aspects of an incident and those able to provide specific resource support **participate in the UC structure.** _____YES _____NO

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure it is prepared to participate in the Unified Command structure by contributing to the process of:

- **determining overall incident strategies.**
- **selecting objectives.**
- **jointly planning tactical activities** in accordance with approved incident objectives.
- **integrating tactical operations.**
- **approving, committing, and making optimum use of all assigned resources.**

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-b-iii. Incident Action Plan

NIMS: *Under UC, the IAP is developed by the Planning Section Chief and is approved by the UC. A single individual, the Operations Section Chief, directs the actual implementation of the IAP. The Operations Section Chief will normally come from the agency with the greatest jurisdictional involvement. UC participants will agree on the designation of the Operations Section Chief. [II-A-3-b-1-b-iii (Page 15)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure, when operating under a UC structure:

_____ YES _____ NO

- the **Planning Section Chief develops the IAP**, which is approved by the UC.
- the **Operations Section Chief directs the tactical implementation of the IAP.**
- **all participants agree** on the designation of the Operations Section Chief.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-b-iv. Command Practices

NIMS: *UC works best when the participating members of the UC collocate at the Incident Command Post and observe the following practices: select an Operations Section Chief for each operational period; keep each other informed of specific requirements; establish consolidated incident objectives, priorities, and strategies; coordinate to establish a single system for ordering resources; develop a consolidated IAP, written or oral, evaluated and updated at regular intervals; and establish procedures for joint decisionmaking and documentation. [II-A-3-b-1-b-iv (Page 15)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure participating members of the UC: _____YES _____NO

- **collocate** at the Incident Command Post.
- **select an Operations Section Chief** for each operational period.
- **keep each other informed** of specific requirements.
- **develop a consolidated IAP**, written or oral, that is evaluated and updated at regular intervals.
- **establish procedures for joint decisionmaking and documentation.**

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2. Command Staff Responsibilities

NIMS: *In an Incident Command organization, the Command Staff consists of the Incident Command and various special staff positions. The special staff positions are specifically designated, report directly to the Incident Command, and are assigned responsibility for key activities that are not a part of the ICS General Staff functional elements. **Three special staff positions are typically identified in ICS: Public Information Officer, Safety Officer, and Liaison Officer. Additional positions may be required, depending on the nature, scope, complexity, and location(s) of the incident(s), or according to specific requirements established by the IC.** [II-A-3-b-2 (Page 16)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure **necessary special staff positions** (such as a Public Information Officer, Safety Officer, and Liaison Officer) are **specifically designated, report directly to the Incident Command, and are assigned responsibility for key activities** that are not a part of the ICS General Staff functional elements.

_____YES _____NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2-a. Public Information Officer

NIMS: *The PIO is responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements. The PIO develops accurate and complete information on the incident's cause, size, and current situation; resources committed; and other matters of general interest for both internal and external consumption. The PIO may also perform a key public information-monitoring role. **Whether the command structure is single or unified, only one incident PIO should be designated. Assistants may be assigned from other agencies or departments involved. The IC must approve the release of all incident-related information.** [II-A-3-b-2-a (Page 16)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure when a PIO is designated:

____ YES ____ NO

- the **PIO develops accurate and complete information** on the incident for both internal and external consumption.
- **only one incident PIO** is designated (even under Unified Command).
- the IC **approves the release** of all incident-related information.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2-b. Safety Officer

NIMS: *The SO monitors incident operations and advises the IC on all matters relating to operational safety, including the health and safety of emergency responder personnel. The ultimate responsibility for the safe conduct of incident management operations rests with the IC or UC and supervisors at all levels of incident management. **The SO is, in turn, responsible to the IC for the set of systems and procedures necessary to ensure ongoing assessment of hazardous environments, coordination of multiagency safety efforts, and implementation of measures to promote emergency responder safety, as well as the general safety of incident operations. The SO has emergency authority to stop and/or prevent unsafe acts during incident operations. In a UC structure, a single SO should be designated, in spite of the fact that multiple jurisdictions and/or functional agencies may be involved. Assistants may be required and may be assigned from other agencies or departments constituting the UC. The SO, Operations Section Chief, and Planning Section Chief must coordinate closely regarding operational safety and emergency responder health and safety issues. The SO must also ensure the coordination of safety management functions and issues across jurisdictions, across functional agencies, and with private-sector and nongovernmental organizations. It is important to note that the agencies, organizations, or jurisdictions that contribute to joint safety management efforts do not lose their individual identities or responsibility for their own programs, policies, and personnel. Rather, each entity contributes to the overall effort to protect all responder personnel involved in incident operations. [II-A-3-b-2-b (Page 17)]***

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure when a Safety Officer is designated:

____ YES ____ NO

- the **SO monitors incident operations and advises the IC** on all matters relating to operational safety.
- the SO is responsible to the IC for the **set of systems and procedures** necessary to ensure ongoing assessment of hazardous environments, coordination of multiagency safety efforts, implementation of measures to promote emergency responder safety, and the general safety of incident operations.
- the SO has **emergency authority** to stop and/or prevent unsafe acts during incident operations.
- **only one incident SO** is designated (even under Unified Command).
- the **SO, Operations Section Chief, and Planning Section Chief coordinate closely** regarding **operational safety and emergency responder health and safety** issues.
- the **SO coordinates** safety management functions and issues **across jurisdictions, across functional agencies, and with private-sector and nongovernment organizations.**

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2-c. Liaison Officer

NIMS: *The LNO is the point of contact for representatives of other governmental agencies, nongovernmental organizations, and/or private entities. In either a single or UC structure, representatives from assisting or cooperating agencies and organizations coordinate through the LNO. **Agency and/or organizational representatives assigned to an incident must have the authority to speak for their parent agencies and/or organizations on all matters, following appropriate consultations with their agency leadership.** Assistants and personnel from other agencies or organizations (public or private) involved in incident management activities may be assigned to the LNO to facilitate coordination. [II-A-3-b-2-c (Page 17)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure when a Liaison Officer is designated:

____ YES ____ NO

- the LNO is the point of contact for representatives of other government agencies, nongovernmental organizations, and/or private entities, in either a single or UC structure.
- **agency and organizational representatives** have the authority to **speak for their parent agencies on all matters**, following appropriate consultations with their agency leadership.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-a. Operations Section Chief

NIMS: *The Operations Section Chief is responsible to the IC or UC for the direct management of all incident-related operational activities. **The Operations Section Chief will establish tactical objectives for each operational period, with other section chiefs and unit leaders establishing their own supporting objectives.** The Operations Section Chief may have one or more deputies assigned, with the assignment of deputies from other agencies encouraged in the case of multijurisdictional incidents. **An Operations Section Chief should be designated for each operational period and should have direct involvement in the preparation of the IAP for the corresponding period of responsibility.** [II-A-3-c-1-a (Page 19)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the Operations Section Chief:

____ YES ____ NO

- is responsible to the IC or UC for the direct **management of all incident-related operational activities.**
- **establishes tactical objectives** for each operational period.
- **is designated** for each operational period.
- **has direct involvement in the preparation of the IAP** for their operational period of responsibility.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-b. Branches

NIMS: *Branches may be used to serve several purposes, and may be functional or geographic in nature. In general, branches are established when the number of divisions or groups exceeds the recommended span of control of one supervisor to three to seven subordinates for the Operations Section Chief (a ratio of 1:5 is normally recommended, or 1:8 to 1:10 for many larger-scale law enforcement operations). [II-A-3-c-1-b (Page 19)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure **branches are established** when the number of divisions or groups exceeds the recommended span of control for the Operations Section Chief.

____ YES ____ NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-c. Divisions and Groups

NIMS: *Divisions and Groups are established when the number of resources exceeds the manageable span of control of the IC and the Operations Section Chief. Divisions are established to divide an incident into physical or geographical areas of operation. Groups are established to divide the incident into functional areas of operation. For certain types of incidents, for example, the IC may assign intelligence-related activities to a functional group in the Operations Section. There also may be additional levels of supervision below the Division or Group level. [II-A-3-c-1-c (Page 19)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure: _____YES _____NO

- **Divisions and Groups are established** when the number of resources exceeds the manageable span of control of the IC and the Operations Section Chief.
- **Divisions are established** to divide an incident into physical or geographical areas of operation.
- **Groups are established** to divide the incident into functional areas of operation.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-d. Resources

NIMS: *Resources refer to the combination of personnel and equipment required to enable incident management operations. Resources may be organized and managed in three different ways, depending on the requirements of the incident: (i) Single Resources. These are individual personnel and equipment items and the operators associated with them. (ii) Task Forces. A Task Force is any combination of resources assembled in support of a specific mission or operational need. All resource elements within a Task Force must have common communications and a designated leader. (iii) Strike Teams. Strike Teams are a set number of resources of the same kind and type that have an established minimum number of personnel. The use of Strike Teams and Task Forces is encouraged, wherever possible, to optimize the use of resources, reduce the span of control over a large number of single resources, and reduce the complexity of incident management coordination and communications. [II-A-3-c-1-d (Page 20)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to **ensure resources are organized and managed**, depending on the requirements of the incident, as either **single resources, Task Forces, or Strike Teams**. YES NO

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-2. Planning Section

NIMS: *The Planning Section collects, evaluates, and disseminates incident situation information and intelligence to the IC or UC and incident management personnel, prepares status reports, displays situation information, maintains status of resources assigned to the incident, and develops and documents the IAP based on guidance from the IC or UC. The Planning Section comprises four primary units, as well as a number of technical specialists to assist in evaluating the situation, developing planning options, and forecasting requirements for additional resources. The Planning Section is normally responsible for gathering and disseminating information and intelligence critical to the incident, unless the IC places this function elsewhere. The Planning Section is also responsible for developing and documenting the IAP. The IAP includes the overall incident objectives and strategies established by the IC or UC. In the case of UC, the IAP must adequately address the mission and policy needs of each jurisdictional agency, as well as interaction between jurisdictions, functional agencies, and private organizations. The IAP also addresses tactical objectives and support activities required for one operational period, generally 12 to 24 hours. The IAP also contains provisions for continuous incorporation of "lessons learned" as incident management activities progress. An IAP is especially important when (a) resources from multiple agencies and/or jurisdictions are involved; (b) multiple jurisdictions are involved; (c) the incident will effectively span several operational periods; (d) changes in shifts of personnel and/or equipment are required; or there is a need to document actions and/or decisions. [II-A-3-c-2 (Page 20)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the Planning Section:

____ YES ____ NO

- **collects, evaluates, and disseminates** incident situation information and intelligence to the IC or UC and incident management personnel.
- **prepares status reports, displays situation information, and maintains status of resources** assigned to the incident.
- **develops and documents the IAP** based on guidance from the IC or UC.
- **gathers and disseminates information and intelligence** critical to the incident, unless the IC places this function elsewhere.

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the IAP:

- includes the **overall incident objectives and strategies** established by the IC or UC.
- **adequately addresses the mission and policy needs** of each jurisdictional agency in the case of UC.
- **adequately addresses the interaction** between jurisdictions, functional agencies, and private organizations in the case of UC.
- **addresses tactical objectives and support activities** required for each operational period, generally 12 to 24 hours.
- contains provisions for **continuous incorporation of "lessons learned"** as incident management activities progress.
- is developed when **resources or authorities from multiple agencies and/or jurisdictions** are involved.
- is developed when the incident will **effectively span several operational periods**.
- is developed when **changes in shifts of personnel and/or equipment are required**.
- is developed when there is a **need to document actions and/or decisions**.

II. Command and Management

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-3. Logistics Section

NIMS: *The Logistics Section is responsible for all support requirements needed to facilitate effective and efficient incident management, including ordering resources from off-incident locations. It also provides facilities, transportation, supplies, equipment maintenance and fuel, food services, communications and information technology support, and emergency responder medical services, including inoculations, as required. [II-A-3-c-3 (Page 22)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the Logistics Section:

_____YES _____NO

- is responsible for **all support requirements** needed to facilitate effective and efficient incident management, including ordering resources from off-incident locations.
- provides **facilities.**
- provides **transportation.**
- provides **supplies.**
- provides **equipment maintenance and fuel.**
- provides **food services.**
- provides **communications and information technology support.**
- provides **emergency responder medical services, including inoculations,** as required.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-4. Finance/Administration Section

NIMS: *A Finance/Administration Section is established when the agency(s) involved in incident management activities require(s) finance and other administrative support services. Not all incidents will require a separate Finance/Administration Section. In cases that require only one specific function (e.g., cost analysis), this service may be provided by a technical specialist in the Planning Section. [II-A-3-c-4 (Page 23)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure: _____ YES _____ NO

- **a Finance/Administration Section is established** when the agency(s) involved in incident management activities require(s) finance and other administrative support services.
- a technical specialist is assigned to the Planning Section **when only one specific Finance/Administration function is required.**

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-5. Information and Intelligence Function

NIMS: *The analysis and sharing of information and intelligence are important elements of ICS. In this context, intelligence includes not only national security or other types of classified information but also other operational information, such as risk assessments, medical intelligence (i.e., surveillance), weather information, geospatial data, structural designs, toxic contaminant levels, and utilities and public works data, that may come from a variety of different sources. Traditionally, information and intelligence functions are located in the Planning Section. However, in exceptional situations, the IC may need to assign the information and intelligence functions to other parts of the ICS organization. **In any case, information and intelligence must be appropriately analyzed and shared with personnel, designated by the IC, who have proper clearance and a "need-to-know" to ensure that they support decision-making.** [II-A-3-c-5 (Page 23)]*

The jurisdiction has implemented and institutionalized processes, _____ YES _____ NO
procedures, and/or plans to ensure **information and intelligence** is
appropriately analyzed and shared with personnel, designated by the IC,
who have a **proper clearance and a "need-to know"** to ensure that they
support decisionmaking.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-5-a. Information and Intelligence Function (organization)

NIMS: *The intelligence and information function may be organized in one of the following ways: (a) **Within the Command Staff.** This option may be most appropriate in incidents with little need for tactical or classified intelligence and in which incident-related intelligence is provided by supporting Agency Representatives, through real-time, reach-back capabilities. (b) **As a Unit Within the Planning Section.** This option may be most appropriate in an incident with some need for tactical intelligence and when no law enforcement entity is a member of the UC. (c) **As a Branch Within the Operations Section.** This option may be most appropriate in incidents with a high need for tactical intelligence (particularly classified intelligence) and when law enforcement is a member of the UC. (d) **As a Separate General Staff Section.** This option may be most appropriate when an incident is heavily influenced by intelligence factors or when there is a need to manage and/or analyze a large volume of classified or highly sensitive intelligence or information. This option is particularly relevant to a terrorism incident, for which intelligence plays a crucial role throughout the incident life cycle. **Regardless of how it is organized, the information and intelligence function is also responsible for developing, conducting, and managing information related security plans and operations as directed by the IC. These can include information security and operational security activities, as well as the complex task of ensuring that sensitive information of all types (e.g., classified information, sensitive law enforcement information, proprietary and personal information, or export-controlled information) is handled in a way that not only safeguards the information but also ensures that it gets to those who need access to it so that they can effectively and safely conduct their missions. The information and intelligence function also has the responsibility for coordinating information and operational-security matters with public awareness activities that fall under the responsibility of the PIO, particularly where such public awareness activities may affect information or operations security.** [II-A-3-c-5-a (Page 24)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to **organize the intelligence and information function** either within the Command Staff, as a unit within the Planning Section, as a branch within the Operations Section, or as a separate General Staff Section.

____ YES ____ NO

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the information and intelligence function is responsible for:

- **developing, conducting, and managing** information-related security plans and operations as directed by the IC, including safeguarding sensitive information of all types.
- **coordinating information and operational security matters** with the public awareness activities of the PIO.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-4-a. Description

NIMS: *An Area Command is activated only if necessary, depending on the complexity of the incident and incident management span-of-control considerations. An agency administrator or other public official with jurisdictional responsibility for the incident usually makes the decision to establish an Area Command. **An Area Command is established either to oversee the management of multiple incidents that are each being handled by a separate ICS organization or to oversee the management of a very large incident that involves multiple ICS organizations, such as would likely be the case for incidents that are not site specific, geographically dispersed, or evolve over longer periods of time, (e.g., a bioterrorism event).** In this sense, acts of biological, chemical, radiological, and/or nuclear terrorism represent particular challenges for the traditional ICS structure and will require extraordinary coordination between Federal, State, local, tribal, private-sector, and nongovernmental organizations. **Area Command is also used when there are a number of incidents in the same area and of the same type, such as two or more hazardous material (HAZMAT) or oil spills, and fires.** These represent incidents that may compete for the same resources. When incidents do not have similar resource demands, they are usually handled separately and are coordinated through an Emergency Operations Center (EOC). **If the incidents under the authority of the Area Command are multijurisdictional, then a Unified Area Command should be established.** This allows each jurisdiction to have representation in the command structure. Area Command should not be confused with the functions performed by an EOC. An Area Command oversees management of the incident(s), while an EOC coordinates support functions and provides resources support. [II-A-4-a (Page 25)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure an Area Command is established, when necessary, to:

_____ YES _____ NO

- **oversee the management of multiple incidents** that are each being handled by a separate ICS organization.
- **oversee the management of a very large incident** that involves multiple ICS organizations.
- **manage a number of incidents** in the same area and of the same type.

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure if incidents under the authority of an Area Command are multijurisdictional, **a Unified Area Command is established.**

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-4-b. Responsibilities

NIMS: *For incidents under its authority, an Area Command has the responsibility to set overall incident-related priorities; allocate critical resources according to priorities; ensure that incidents are properly managed; ensure that incident management objectives are met and do not conflict with each other or with agency policy; identify critical resource needs and report them to EOCs and/or multiagency coordination entities; and ensure that short-term emergency recovery is coordinated to assist in the transition to full recovery operations. [II-A-4-b (Page 25)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure an Area Command has the responsibility to:

_____YES _____NO

- **set overall incident-related priorities.**
- **allocate critical resources** according to priorities.
- ensure incidents are **properly managed.**
- ensure **incident management objectives are met and do not conflict** with each other or with agency policy.
- **identify critical resource needs** and report them to EOCs and/or multiagency coordination entities.
- ensure **short-term emergency recovery is coordinated** to assist in the transition to full recovery operations.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-B-2-a. Emergency Operations Center (see paragraph 3)

NIMS: *EOCs may be permanent organizations and facilities or may be established to meet temporary, short-term needs. The physical size, staffing, and equipping of an EOC will depend on the size of the jurisdiction, resources available, and anticipated incident management workload. EOCs may be organized and staffed in a variety of ways. **Regardless of the specific organizational structure used, EOCs should include the following core functions: coordination; communications; resource dispatch and tracking; and information collection, analysis, and dissemination.** [II-B-2-a (Page 27)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for its EOC to include the following core functions:

_____YES _____NO

- **coordination.**
- **communications.**
- **resource dispatch and tracking.**
- **information collection, analysis, and dissemination.**

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-B-2-b. Multiagency Coordination Entities

NIMS: ...Regardless of form or structure, the principal functions and responsibilities of multiagency coordination entities typically include the following: ensuring that each agency involved in incident management activities is providing appropriate situational awareness and resource status information; establishing priorities between incidents and/or Area Commands in concert with the IC or UC(s) involved; acquiring and allocating resources required by incident management personnel in concert with the priorities established by the IC or UC; anticipating and identifying future resource requirements; coordinating and resolving policy issues arising from the incident(s); and providing strategic coordination as required. Following incidents, multiagency coordination entities are also typically responsible for ensuring that improvements in plans, procedures, communications, staffing, and other capabilities necessary for improved incident management are acted on. These improvements should also be coordinated with appropriate preparedness organizations, if these organizations are constituted separately. [II-B-2-b (Page 28)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for multiagency coordination entities, when established, to be responsible for the following functions:

_____YES _____NO

- ensure each agency involved in incident management activities is providing **appropriate situational awareness and resource status** information.
- **establish priorities** between incidents and/or Area Commands in concert with the IC or UC(s) involved.
- **acquire and allocate resources** required by incident management personnel in concert with the priorities established by the IC or UC.
- **anticipate and identify** future resource requirements.
- **coordinate and resolve** policy issues arising from the incident(s).
- **provide strategic coordination** as required.
- **ensure improvements** in plans, procedures, communications, staffing, and other capabilities are acted on, following the incident(s).
- **ensure necessary improvements** are coordinated with appropriate preparedness organizations following the incident(s).

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-1-a. The PIO Supports the Incident Command

NIMS: *Under the ICS, the Public Information Officer (PIO) is a key staff member supporting the Incident Command structure. **The PIO represents and advises the Incident Command on all public information matters relating to the management of the incident. The PIO handles media and public inquiries, emergency public information and warnings, rumor monitoring and response, media monitoring, and other functions required to coordinate, clear with appropriate authorities, and disseminate accurate and timely information related to the incident, particularly regarding information on public health and safety and protection. The PIO is also responsible for coordinating public information at or near the incident site and serving as the on-scene link to the Joint Information System (JIS). In a large-scale operation, the on-scene PIO serves as a field PIO with links to the Joint Information Center (JIC), which is typically collocated with the Federal, regional, State, local, or tribal EOC tasked with primary incident coordination responsibilities. The JIS provides the mechanism for integrating public information activities among JICs, across jurisdictions, and with private-sector and nongovernmental organizations. [II-C-1-a (Page 28)]***

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for the PIO to:

_____YES _____NO

- **represent and advise** the Incident Command on all public information matters relating to the management of the incident.
- handle functions required to coordinate, clear with appropriate authorities, and disseminate accurate and timely information related to the incident, including handling **media and public inquiries, emergency public information and warnings, rumor monitoring and response, and media monitoring.**
- **coordinate public information** at or near the incident site.
- serve as the **on-scene link to the Joint Information System (JIS).**
- serve as a **field PIO with links to the Joint Information Center (JIC)** during a large-scale operation.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-1-b. Coordination and Integration

NIMS: *Public information functions must be coordinated and integrated across jurisdictions and across functional agencies; among Federal, State, local, and tribal partners; and with private sector and nongovernmental organizations. [II-C-1-b (Page 29)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to coordinate and integrate public information functions: _____ YES _____ NO

- across **jurisdictions** and across **functional agencies**.
- among **Federal, State, local, and tribal partners**.
- with **private sector and nongovernmental organizations**.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-2-a. Joint Information System

NIMS: *The JIS provides an organized, integrated, and coordinated mechanism to ensure the delivery of understandable, timely, accurate, and consistent information to the public in a crisis. It includes the plans, protocols, and structures used to provide information to the public during incident operations, and encompasses all public information operations related to an incident, including all Federal, State, local, tribal and private organization PIOs, staff, and JICs established to support an incident. Key elements include the following: interagency coordination and integration; developing and delivering coordinated messages; support for decision-makers; and flexibility, modularity, and adaptability. [II-C-2-a (Page 30)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for its Joint Information System to: _____YES _____NO

- **provide an organized, integrated, and coordinated mechanism** to ensure the delivery of understandable, timely, accurate, and consistent information to the public in a crisis.
- include **plans, protocols, and structures** used to provide information to the public during incident operations.
- **encompass all public information operations related to an incident**, including all Federal, State, local, tribal, and private organization PIOs, staff, and JICs established to support an incident.
- **perform interagency coordination and integration.**
- **develop and deliver coordinated messages.**
- **provide support for decisionmakers.**
- **be flexible, modular, and adaptable.**

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-2-b. Joint Information Center

NIMS: *A JIC is a physical location where public affairs professionals from organizations involved in incident management activities can collocate to perform critical emergency information, crisis communications, and public affairs functions. It is important for the JIC to have the most current and accurate information regarding incident management activities at all times. The JIC provides the organizational structure for coordinating and disseminating official information. JICs may be established at each level of incident management, as required. Note the following:*

- **The JIC must include representatives of each jurisdiction, agency, private sector, and nongovernmental organization involved in incident management activities.**
- **A single JIC location is preferable, but the system should be flexible and adaptable enough to accommodate multiple JIC locations when the circumstances of an incident require. Multiple JICs may be needed for a complex incident spanning a wide geographic area or multiple jurisdictions.**
- **Each JIC must have procedures and protocols to communicate and coordinate effectively with other JICs, as well as with other appropriate components of the ICS organization.**

[II-C-2-b (Page 30)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for: _____YES _____NO

- the JIC to include representatives of each **jurisdiction, agency, private sector organization, and nongovernmental organization** involved in incident management activities.
- **multiple JIC locations** when required by the circumstances of an incident.
- each JIC **to communicate and coordinate** with other JICs and other appropriate components of the ICS organization.