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# Unit 2: ICS and the Emergency Management Program

INSTRUCTOR GUIDE

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## Objectives

By the end of this unit, participants should be able to:

- Describe what is meant by the term comprehensive emergency management program.
  - Explain the relationship of the Incident Command System (ICS) to the overall emergency management program.
  - Provide an overview of the Incident Command System (ICS) implementation process.
  - Describe how the Incident Command System (ICS) uses management by objectives.
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## Scope

- Unit Introduction and Objectives
  - Comprehensive and Integrated Emergency Management
  - Emergency Operations Plans
  - Emergency Management Programs for Healthcare Organizations
  - Knowledge Review
  - ICS Management Process
  - Initial Response: Conduct a Situation Assessment
  - Objectives in ICS
  - Activity
  - Objectives, Strategies, and Tactics
  - Elements of an Incident Action Plan
  - Knowledge Review
  - Summary
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## Methodology

The instructor will introduce the unit by displaying a visual which outlines the unit objectives.

The instructor will then introduce the concepts of comprehensive emergency management and integrated emergency management systems, especially in relationship to healthcare organizations.

The instructor should then explain Emergency Operations Plans (EOPs) and then lead participants in the mid-unit Knowledge Review. The Knowledge Review will challenge participants to draw on unit content to determine whether statements are true or false.

After the Knowledge Review, the instructor will introduce the ICS management process, including the concepts of incident demands, incident lifecycle, and the characteristics of effective incident objectives. The instructor will then lead participants in an activity in which they are asked to review a description of a sample incident and describe control objectives.

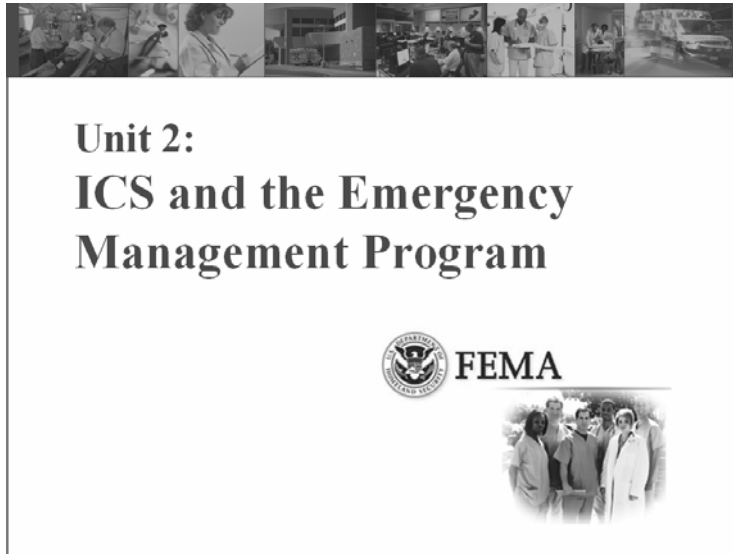
Two final Knowledge Reviews will also challenge participants to draw on unit content to determine whether statements are true or false.

The instructor will then summarize course content and transition to Unit 3.

### Time Plan

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

<b>Topic</b>	<b>Time</b>
Unit Introduction & Objectives	5 minutes
Comprehensive and Integrated Emergency Management	15 minutes
Emergency Operations Plans	5 minutes
Emergency Management Programs for Healthcare Organizations	5 minutes
Knowledge Review	10 minutes
ICS Management Process	15 minutes
Initial Response: Conduct a Situation Assessment	5 minutes
Objectives in ICS	15 minutes
Activity	15 minutes
Objectives, Strategies, and Tactics	5 minutes
Elements of an Incident Action Plan	5 minutes
Knowledge Review	15 minutes
Summary	5 minutes
<b>Total Time</b>	<b>2 hours</b>



**Visual Description:** Title Slide

### Key Points

Explain that the intent of this unit is to explain how the Incident Command System (ICS) is incorporated within the overall emergency management program.



### Unit Objectives

By the end of this unit, you should be able to:

- Describe what is meant by the term comprehensive emergency management program.
- Explain the relationship of ICS to the overall emergency management program.
- Provide an overview of the ICS implementation process.
- Describe how ICS uses management by objectives.



**Visual Description:** Unit Objectives

### Key Points

By the end of this unit, participants should be able to:

- Describe what is meant by the term comprehensive emergency management program.
- Explain the relationship of the Incident Command System (ICS) to the overall emergency management program.
- Provide an overview of the Incident Command System (ICS) implementation process.
- Describe how the Incident Command System (ICS) uses management by objectives.



### Comprehensive Emergency Management

The concept of Comprehensive Emergency Management (CEM) was a founding principle for the Federal Emergency Management Agency (FEMA) when it was created in 1979.

CEM defined four phases that apply to all hazards:

- Mitigation (including prevention) – reduce or eliminate impact of hazards.
- Preparedness – build capabilities to respond and recover from the impacts of those hazards.
- Response – gain control over on-going negative effects of the hazards.
- Recovery – return to pre-disaster condition.

ICS is used to manage the response and recovery activities.



**Visual Description:** Comprehensive Emergency Management

### Key Points

Explain the concept of Comprehensive Emergency Management (CEM) was developed by the National Governor's Association and was a founding principle for the Federal Emergency Management Agency (FEMA) when it was created in 1979.

CEM defined four phases that apply to all hazards: mitigation (including prevention), preparedness, response, and recovery. Mitigation activities are those that eliminate or reduce the impact of hazards; preparedness activities build the capabilities of an organization or a jurisdiction to respond and recover from the impacts of those hazards; response activities gain control over the on-going negative effects of the hazards; and recovery activities return the organization or jurisdiction back to its pre-disaster condition.

Emphasize that the Incident Command System (ICS) is used to manage the response and recovery activities.



### Integrated Emergency Management System

IEMS was created by FEMA to explain how comprehensive emergency management programs are developed. IEMS provided two key directions:

- Emergency management program through a multi-year development process.
- Emergency Operations Plans should be based on functions, not hazards or agencies.



**Visual Description:** Integrated Emergency Management System (1 of 2)

### Key Points

Explain that the Integrated Emergency Management System (IEMS) was created by FEMA to explain how comprehensive emergency management programs are developed. Stress that IEMS provided two key directions:

- Emergency management program development occurs through a multi-year development process.
- Emergency Operations Plans should be based on functions, not hazards or agencies.





### Integrated Emergency Management System

IEMS articulated a framework of steps that can be used to develop emergency management programs. They are:

- Hazards Vulnerability Analysis.
- Capability Assessment.
- Emergency Operations Planning.
- Capability Maintenance.
- Mitigation Efforts.
- Emergency Operations or Exercises.
- Evaluation.
- Capability Shortfall or Gap Analysis.
- Multi-year Development Planning.
- Annual Development Increment and Work Plan (which leads back to Capability Assessment).



**Visual Description:** Integrated Emergency Management System (2 of 2)

### Key Points

Explain that the Integrated Emergency Management System (IEMS) articulated a framework of steps that can be used to develop emergency management programs. These steps are:

- Hazards Vulnerability Analysis.
- Capability Assessment.
- Emergency Operations Planning.
- Capability Maintenance.
- Mitigation Efforts.
- Emergency Operations or Exercises.
- Evaluation.
- Capability Shortfall or Gap Analysis.
- Multi-year Development Planning.
- Annual Development Increment and Work Plan (which leads back to Capability Assessment).



## Emergency Operations Plans

IEMS called for Emergency Operations Plans based on functions and an “all-hazards” format. There are at least three sections to an Emergency Operations Plan:

- Basic Plan.
- Functional Annexes.
- Incident-Specific Appendices.



**Visual Description:** Emergency Operations Plans

### Key Points

Explain that the IEMS called for Emergency Operations Plans based on functions and an “all-hazards” format, a significant shift in thinking. Emphasize that there are at least three sections to an Emergency Operations Plan:

1. **Basic Plan.** The Basic Plan provides an overview of how the organization or jurisdiction will organize and coordinate response and recovery activities. The use of the Incident Command System would be discussed in this document.
2. **Functional Annexes.** The Functional Annexes, also known as Emergency Support Functions, explain how particular functions will be organized and implemented. Some organizations use the functional areas of the Incident Command System (Command, Operations, Planning, Logistics, and Finance/Administration) as the basis for the functional annexes.
3. **Incident-Specific Appendices.** These documents include short, concise guidance on how to recognize and initiate a response to the priority hazards identified through the organization's Hazards Vulnerability Analysis. This guidance would include initiating an ICS organization and the incident action planning process.



### Emergency Management Programs for Healthcare Organizations

In January 2001, JCAHO updated the emergency management standards for hospitals. Since then, it has extended them to all care settings.

Other standards organizations, including the NFPA and ASTM, have advocated the use of an all-hazards, comprehensive emergency management approach.



**Visual Description:** Emergency Management Programs for Healthcare Organizations

### Key Points

Provide the recent history of ICS as it relates to healthcare organizations: in January 2001, the Joint Commission on the Accreditation of Healthcare Organizations (JCAHO) updated the emergency management standards for hospitals. Since then, it has extended them to all care settings.

Explain that other standards organizations, including the National Fire Protection Association (NFPA) and the American Society for Testing and Materials (ASTM) have advocated the use of an all-hazards, comprehensive emergency management approach and have advocated use of an Incident Command System (ICS) consistent with that used by the local community.

Reference the National Fire Protection Association (NFPA) 1600, Standard for Disaster/Emergency Management and Business Continuity Programs (recommended by the 9/11 Commission as the national preparedness standard).



## Knowledge Review

**Instructions:** Determine whether each statement is true or false.

1. Comprehensive emergency management consists of four steps: Preparedness, Response, Recovery and Restoration.
2. The Integrated Emergency Management System is the same thing as the Incident Command System.
3. The Incident Command System can be integrated into an organization's Emergency Operations Plan.
4. According to IEMS, Emergency Operations Plans should be based on hazards, not functions or agencies.



**Visual Description:** Knowledge Review

## Key Points

**Instructions:** Ask participants to review each statement and then determine if it is true or false.

1. Comprehensive emergency management consists of four steps: Preparedness, Response, Recovery and Restoration.
2. The Integrated Emergency Management System is the same thing as the Incident Command System.
3. The Incident Command System can be integrated into an organization's Emergency Operations Plan.
4. According to IEMS, Emergency Operations Plans should be based on hazards, not functions or agencies.



### ICS Management Process (1 of 3)

Disaster researchers have identified two separate sets of demands that occur during emergencies:

- Agent-generated demands.
- Response-generated demands.

Broader application of the Incident Command System by all of the organizations involved in emergency response should help resolve response-generated problems.



**Visual Description:** Incident Command System (ICS) Management Process (1 of 3)

### Key Points

Explain that disaster researchers have identified two separate sets of demands that occur during emergencies:

- **Agent-generated demands**, or those caused by the particular hazard, such as deaths and injuries, evacuation, and mass care.
- **Response-generated demands**, or those created within and between the organizations as they respond to the impacts of the hazard. Response-generated demands include coordination, exercise of authority, and communications.

Stress that broader application of the Incident Command System (ICS) by all of the organizations involved in emergency response should help resolve response-generated problems.



### ICS Management Process (2 of 3)

The “lifecycle” of an Incident includes a number of stages, such as:

- Event recognition.
- Notifications.
- Mobilization.
- Incident operations.
- Demobilization.
- Transition.
- Return-to-readiness.



**Visual Description:** Incident Command System (ICS) Management Process (2 of 3)

### Key Points

Provide an overview of the “lifecycle” of an incident, including the stages below:

- **Event recognition.**
- **Notifications** of key staff and the decision to activate the Emergency Operations Plan / Incident Command System.
- **Mobilization** and assignment of staff.
- **Incident operations**, managed through the Incident Command System (ICS) organization.
- **Demobilization.**
- **Transition** to long-term recovery activities.
- **Return-to-readiness** activities including post-incident critique, debriefing, after action review, and corrective action.



### ICS Management Process (3 of 3)

- During the mobilization stage of incident response, the initial ICS organization takes shape, based on the type of incident.
- For many healthcare organizations, this is a pre-designated level of staffing. At this point, the organization is reacting to the incident.
- The main focus of the ICS management process is to get in a position to proactively manage the incident response and recovery.



**Visual Description:** Incident Command System (ICS) Management Process (3 of 3)

### Key Points

Emphasize the following key points:

- During the mobilization stage of incident response, the initial Incident Command System (ICS) organization takes shape, based on the type of incident.
- For many healthcare organizations, this is a pre-designated level of staffing derived from the Incident-Specific Guidance that was developed for that particular hazard. At this point, the organization is reacting to the incident.
- The main focus of the Incident Command System (ICS) management process is to get in a position to proactively manage the incident response and recovery. This is accomplished through the incident action planning process.



### Initial Response: Conduct a Situation Assessment

One of the first tasks for the initial IC is to conduct a situation assessment.

An initial assessment would include:

- The type of incident, its location, magnitude, and expected duration.
- Any on-going hazards and safety concerns.
- Determining the initial priorities, categorized as follows:
  - **First Priority:** Life Saving.
  - **Second Priority:** Incident Stabilization.
  - **Third Priority:** Property Preservation.
- A location for the Incident Command Post.



**Visual Description:** Initial Response: Conduct a Situation Assessment

### Key Points

Explain that one of the first tasks for the initial Incident Commander is to conduct a situation assessment. Emphasize that an initial assessment would include:

- The type of incident, its location, magnitude, and expected duration.
- Any on-going hazards and safety concerns, including entrance and exit routes for responders.
- Determining the initial priorities, categorized as follows:
  1. **First Priority:** Life Saving.
  2. **Second Priority:** Incident Stabilization.
  3. **Third Priority:** Property Preservation.
- A location for the Incident Command Post.





### ICS Uses “Management by Objectives”

The incident action planning process uses management by objectives, which includes:

- Setting the operational period.
- Determining priorities.
- Establishing objectives.
- Selecting effective strategies and tactics.
- Identifying the resource requirements.
- Issuing assignments.
- Directing, monitoring, and evaluating response efforts.
- Documenting results.



**Visual Description:** Incident Command System (ICS) Uses “Management by Objectives”

### Key Points

Introduce the concept of management by objectives in the incident action planning process.

Explain that the initial Incident Commander sets objectives for the immediate period of time (e.g. first several hours). If it appears that the incident will last longer than this, the initial Incident Commander will establish the future operational period. Operational periods are timeframes within which objectives are established that guide response and recovery activities. Operational periods are not always associated with shift length, and can be 8-, 12-, or 24-hours in length.

Outline the management by objectives process, including:

- Setting the operational period.
- Determining overall priorities.
- Establishing specific, measurable, and attainable objectives.
- Selecting the most effective strategies and tactics to accomplish the objectives.
- Identifying the resource requirements needed to carry out the tactics.
- Developing and issuing assignments.
- Directing, monitoring, and evaluating response efforts in order to adjust strategies, objectives, and assignments for the next operational period.
- Documenting results to facilitate corrective action.



### Effective Incident Objectives

For full effectiveness, incident objectives must be:

- Specific.
- Measurable.
- Attainable.
- Compliant with the IC's authorities.
- Evaluated.



**Visual Description:** Effective Incident Objectives

### Key Points

Explain that for full effectiveness, incident objectives must be:

- Specific and state what is to be accomplished.
- Measurable and include a standard and timeframe.
- Attainable and reasonable.
- In accordance with the Incident Commander's authorities.
- Evaluated to determine effectiveness of strategies and tactics.



### Activity

**Instructions:** Read the sample incident description. Next, describe control objectives.

You have been pre-designated as an Incident Commander for your organization and this week you are in an “on call” status for this assignment. At noon, all computer/information technology systems supporting patient care and some financial services went down. You have been directed to establish an Incident Command System (ICS) structure and Incident Action Plan for this incident.

**What are some control objectives?**



**Visual Description:** Activity

### Key Points

**Instructions:** Ask participants to read the sample incident description in their Student Manuals (below). Next, ask them to describe control objectives. Participants may work individually or in small groups.

Sample incident description:

You have been pre-designated as an Incident Commander for your organization and this week you are in an “on call” status for this assignment. At noon, all computer/information technology systems supporting patient care and some financial services went down. You have been directed to establish an Incident Command System (ICS) structure and Incident Action Plan for this incident.



## Objectives, Strategies, and Tactics

Three fundamental pieces of a successful incident response are:

- Incident Objectives.
- Strategies.
- Tactics.



**Visual Description:** Objectives, Strategies, and Tactics

### Key Points

Explain the three fundamental pieces of a successful incident response:

- **Incident Objectives** state what will be accomplished.
- **Strategies** establish the general plan or direction for accomplishing the incident objectives.
- **Tactics** specify how the strategies will be executed.

Stress that the Incident Commander is responsible for establishing objectives and selecting strategies and that the Operations Section, if it is established, is responsible for determining appropriate tactics for an incident.



### Elements of an Incident Action Plan

An IAP covers an operational period and includes:

- What must be done.
- Who is responsible.
- How information will be communicated.
- What should be done if someone is injured.



**Visual Description:** Elements of an Incident Action Plan

### Key Points

Review the topic of Incident Action Plans (IAPs), emphasizing that they cover an operational period and include:

- What must be done.
- Who is responsible.
- How information will be communicated.
- What should be done if someone is injured.

Discuss how the operational period is the period of time scheduled for execution of a given set of tactical actions as specified in the Incident Action Plan. The exact length of an operational period is set by the Incident Commander, based on the incident.



## Knowledge Review

Instructions: Select the true statement from the list below.

The incident action planning process:

1. Is used to reactively manage incident response and recovery activities.
2. Is based on the proven "management by objectives" process.
3. Is not used for terrorism-related incidents.
4. Requires approximately an hour to complete correctly.



**Visual Description:** Knowledge Review (1 of 2)

### Key Points

**Instructions:** Ask participants to review the list in their Student Manuals (below) and select the true statement.

The incident action planning process:

1. Is used to reactively manage incident response and recovery activities.
2. Is based on the proven "management by objectives" process.
3. Is not used for terrorism-related incidents.
4. Requires approximately an hour to complete correctly.



## Knowledge Review

**Instructions:** Select the true statement from the list below.

1. The main focus of the Incident Command System (ICS) management process is to get in a position to proactively manage the incident response and recovery.
2. The operational period is a fixed 12-hour period within which tactics must be completed.
3. Coordination, exercise of authority, and communication are never problems identified in After Action Reviews.
4. From most to least important, overall incident priorities for all incidents are incident stabilization, life saving, and property preservation.



**Visual Description:** Knowledge Review (2 of 2)

### Key Points

**Instructions:** Ask participants to review the list in their Student Manuals (below) and select the true statement.

1. The main focus of the Incident Command System (ICS) management process is to get in a position to proactively manage the incident response and recovery.
2. The operational period is a fixed 12-hour period within which tactics must be completed.
3. Coordination, exercise of authority, and communication are never problems identified in After Action Reviews.
4. From most to least important, overall incident priorities for all incidents are incident stabilization, life saving, and property preservation.



## Summary

You have completed the ICS and the Emergency Management Program lesson. You should now be able to understand:

- The relationship of ICS to the organization's emergency management program.
- How ICS is integrated into the structure of an Emergency Operations Plan (EOP).
- The lifecycle of incident response and recovery.
- The incident action planning process.
- How ICS is implemented during the initial response.



**Visual Description:** Summary

## Key Points

Summarize the key topics in the Incident Command System (ICS) and the Emergency Management Program unit.

Participants should now be able to understand:

- The relationship of the Incident Command System (ICS) to the organization's emergency management program.
- How the Incident Command System (ICS) is integrated into the structure of an Emergency Operations Plan (EOP).
- The lifecycle of incident response and recovery.
- The incident action planning process.
- How the Incident Command System (ICS) is implemented during the initial response.

Explain that the next unit will discuss functional areas and positions.