

INCIDENT COMMAND SYSTEM (ICS) INCIDENT COMMANDER

SELF-STUDY WORKBOOK



WELCOME!

This workbook examines the emergency preparedness and response process from the NiSource point of view and builds on the training you have received up to this point. It provides an opportunity for you to explore incident command and emergency preparedness topics from a NiSource Incident Commander's perspective.

Keep in mind that this workbook is not scored. Its purpose is to prepare you for the next phases of your training where you will be coached through scenario-based exercises with other Incident Commanders and then attend ICS scenario training.

Tips for Completing the Workbook

- For this workbook to function properly, you must download it to your computer and work with that copy.
- Read through this document and answer each question by typing your response in the box provided. Click the **Click for Answer** button to reveal the correct or suggested answer.
- Use the Bookmarks on the left if you want to go directly to a topic.
- Use the Notes box at the end of each section to add notes, if desired.
- Save the workbook when you have completed it.

Resources

To complete this workbook, you need to have access to the following documents, which are accessible from the Emergency Preparedness and Response site on MySource:

- *NiSource Gas Segment Emergency Preparedness and Response Plan (EPRP)*
- *FEMA Incident Action Planning Guide*
- *FEMA Incident Commander Checklist*
- *FEMA Incident Management Team Position Task Book All Hazards Incident Commander*
- *National Incident Management System Incident Command System ICS Forms Booklet FEMA 502-2*

An additional source of useful information that is not used to answer questions in this workbook is the *U.S. Fire Administration/National Fire Academy Field Operations Guide ICS 420-1*.

Bring your completed workbook in either electronic or printed form to your upcoming position-specific coaching class.

PREREQUISITES

This workbook builds on the skills and concepts taught in the prerequisite courses, so make sure that you have completed the following courses before starting the workbook:

NiSource Courses

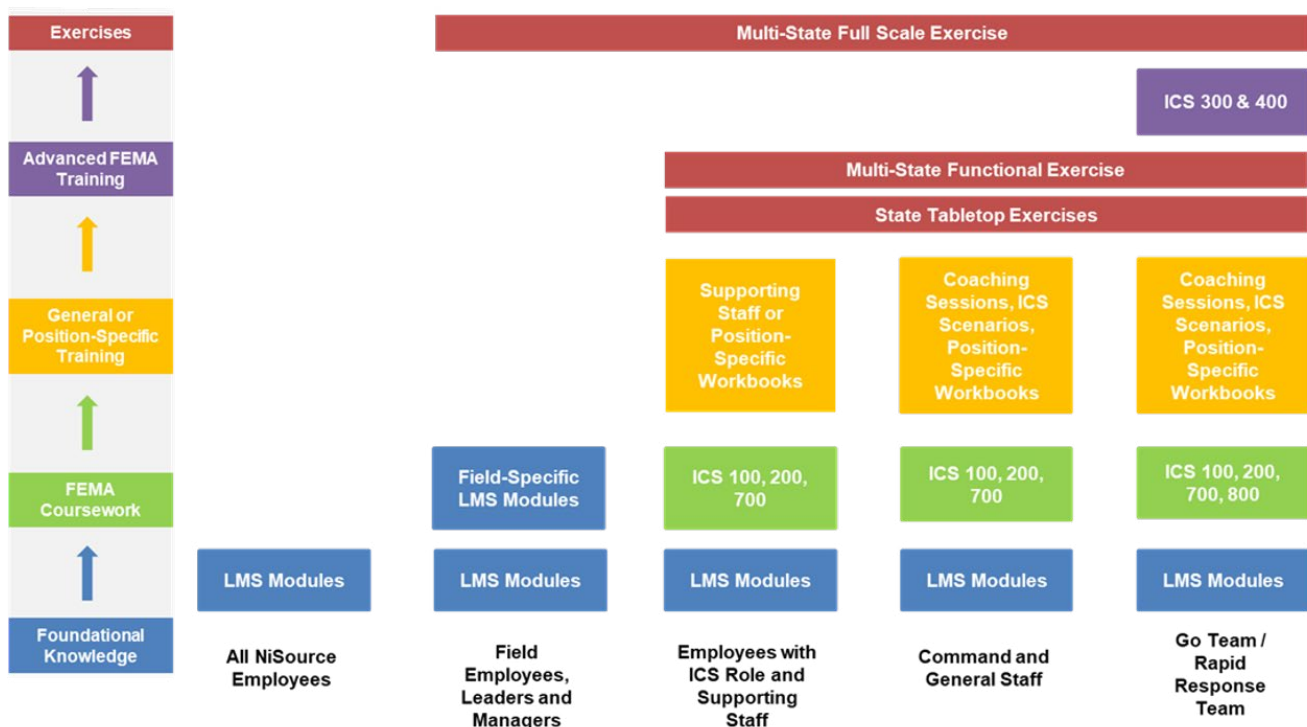
- NISMS0007: *NiSource Gas Segment Emergency Preparedness and Response Foundations*
- NISM0008: *Overview of the Gas Segment Incident Command System*

FEMA Courses

- NIFEMA0001: *IS-100.C: Introduction to the Incident Command System, ICS 100*
- NIFEMA0003: *IS-200.C: Basic Incident Command System for Initial Response, ICS 200*
- NIFEMA0005: *IS-700.B: An Introduction to the National Incident Management System*

Emergency Management Training and Exercise Progression

***Continuous training cycle with employees at various points at all times



YOU'VE JUST BEEN ACTIVATED...

It is January 22nd, and you receive a phone call saying there is an outage affecting at least 1,200 customers, including a major hospital and medical campus. Damage assessments are taking place in order to provide an accurate estimated time of restoration.

What do you do?



Throughout this workbook, you will explore resources to help you in your position as the ICS Incident Commander during incidents like these.

Depending on your background, the tasks you perform as the Incident Commander during an incident might be similar to your daily tasks or they might be completely new to you.

Aside from learning any new task(s), it is important for you to learn how to collaborate and work with others in the ICS organizational structure, including outside agencies. This involves an understanding of your specific responsibilities (and what is NOT your responsibility), proper communication channels, and standard terminology that might be different from what you are used to.

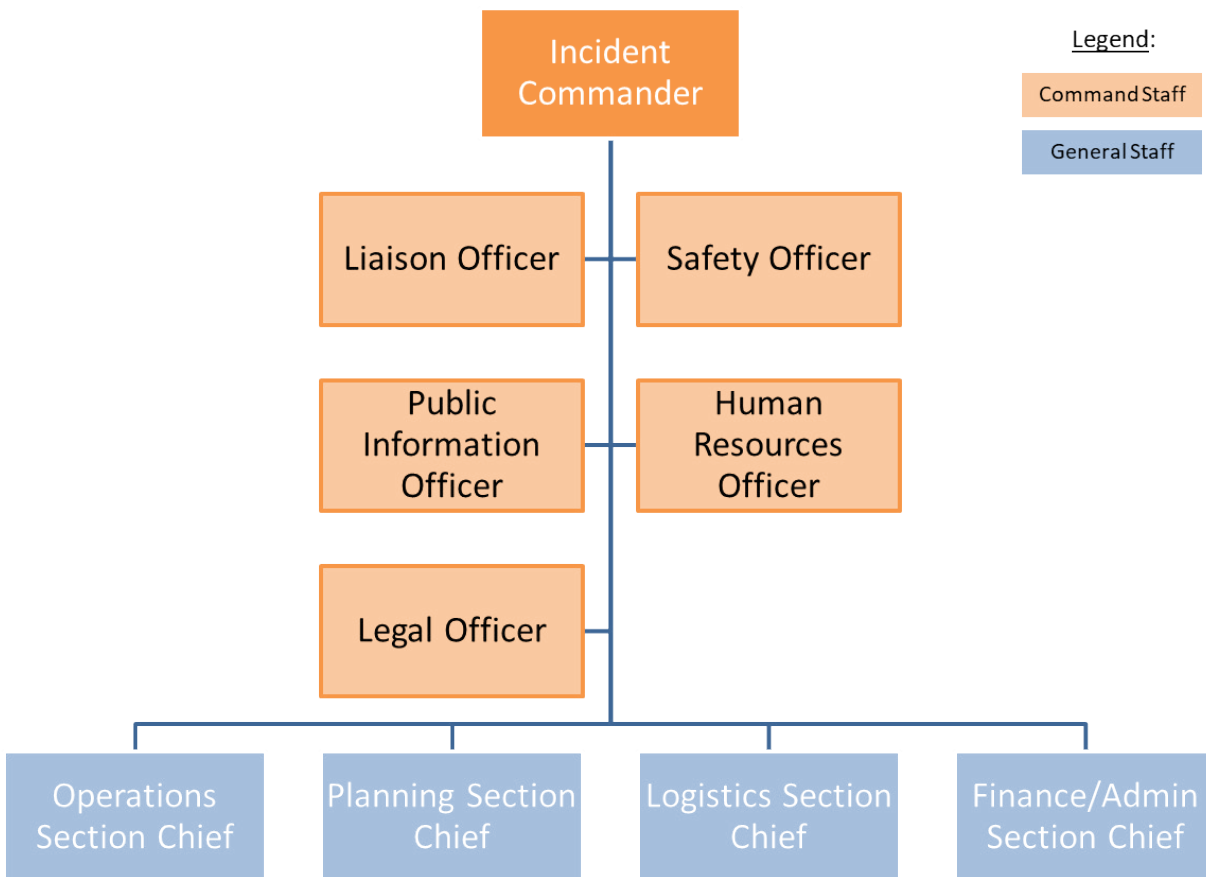
This workbook guides you through the ICS incident process from mobilization to demobilization. You will begin by reviewing general information about the ICS and then learn about resources to help you prepare for an incident. The remaining sections of the workbook cover guidelines for your initial response to an incident, what to do during the incident, and steps to take after the incident.

ICS ORGANIZATIONAL STRUCTURE

In the FEMA course *IS-100.C: Introduction to the Incident Command System, ICS 100*, you learned about the history, features and principles, and organizational structure of the Incident Command System (ICS). Let's see how much you remember about the organizational structure of the Command and General Staff and your position in particular.

Command and General Staff

Clearly defined leadership positions are critical to successfully managing an incident. The NiSource ICS organizational structure is based on FEMA guidelines.

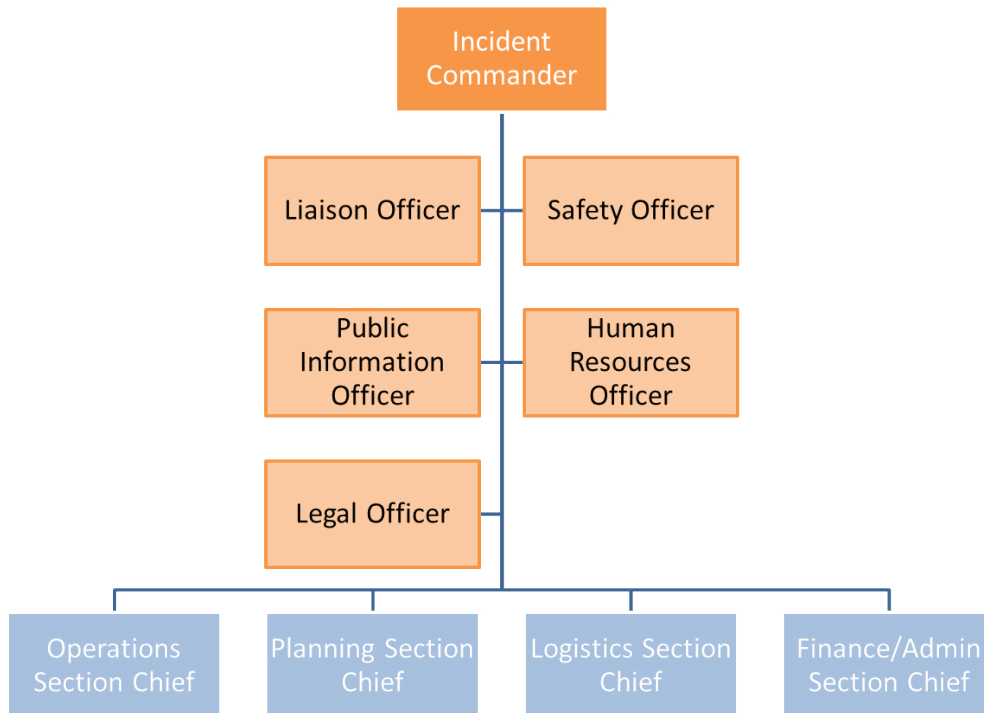


ICS ORGANIZATIONAL STRUCTURE, Continued



Which incident command position (Command Staff) is activated for each of the scenarios below?

Click and type the letter matching the scenario in the box next to each position.



Scenarios

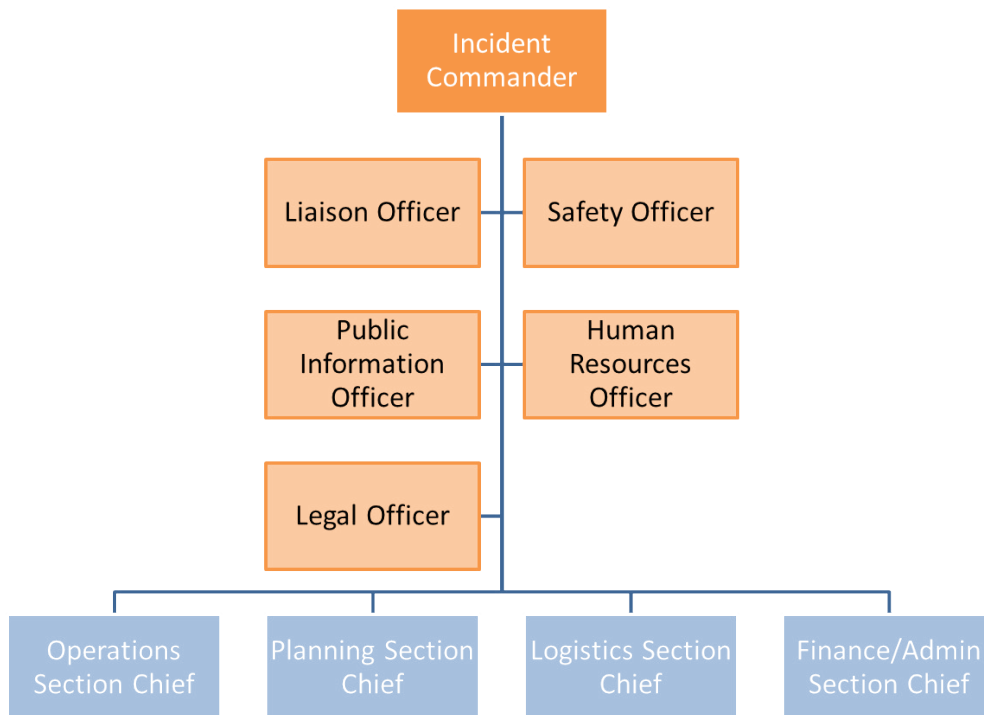
- A.** Reporters are on the scene and are asking questions about the incident. Additionally, the local NiSource call center is calling the site and wants an update.
- B.** Two different unions have members working in the area of the incident, and each is asking for a say in how NiSource responds to the incident.
- C.** Both the Mayor and a City Council Member have shown up on site and want to know what NiSource is doing to resolve the incident.
- D.** There was a hard freeze the night of the incident, and the parking area near the Incident Command Center is covered under a sheet of ice. Two employees reporting to the site have slipped but were not injured.
- E.** A formal complaint associated with the incident has been filed against the Company.
- F.** This is the only person who can mobilize or demobilize staff during an incident and has final approval on all decisions related to the planning and execution during an incident.

ICS ORGANIZATIONAL STRUCTURE, Continued



Which incident command position (General Staff or Incident Commander) is activated for each of the scenarios below?

Click and type the letter matching the scenario in the box next to each position.



Scenarios

- A.** If the Incident Commander is not able to prepare *ICS Form 201, Incident Briefing*, this person steps in and completes it.
- B.** The incident has displaced families in 20 homes, the temperature is below freezing, and NiSource needs to arrange temporary shelter for them. Employees are arriving at the airport but have no way to get to the site.
- C.** During damage assessment, it was determined that 500 feet of pipe and several meters need to be replaced.
- D.** Prepaid claims cards need to be issued to families who have been displaced by an incident.

ICS ORGANIZATIONAL STRUCTURE, Continued

Incident Command Positions

As the Incident Commander, you must understand your essential functions as well as the functions of all team members that report to you during an incident.

Additionally, the Incident Commander is responsible for periodically communicating incident progress to the appropriate State Operating Company President, who, in turn, informs and consults with the NiSource Executive Leadership Team (ELT). This is called Incident Command Authority.



When and what do you think the Incident Commander should report to the appropriate State Operating Company President?

Click and type your answer in the box below.

ICS ORGANIZATIONAL STRUCTURE, Continued

The Incident Commander is the only position that is always staffed on emergency response and incident management efforts—from routine incidents (Level 5) to catastrophic incidents (Level 1).



What are some examples of situations that require activation of specific ICS sections?

Click and type your answer in the box below.

ICS ORGANIZATIONAL STRUCTURE, Continued

The Incident Commander is responsible for activating its subordinate positions, as well as the Command and General Staff positions. The positions subordinate to the Incident Commander are as follows:

- Deputy Incident Commander
- Emergency Manager
- Executive Assistant

It is important to note that the activation and/or demobilization of resources is controlled by the Incident Commander. The Planning Section Chief may be called upon to pass the decisions along to other teams, but that position does not decide when to activate or demobilize on its own.

Additionally, no other section has the authority to activate or demobilize resources on its own. A section can do so only under the direction of the Incident Commander or the Planning Section Chief (when you have instructed the Planning Section Chief to do so).

If the decision is made not to activate sections of a team, the Section Chief is responsible for the duties that those unfilled positions perform.

For example, if the decision is made not to activate the Resource Management Branch Director position (and, subsequently, subordinate positions under that position), then the Planning Section Chief is responsible for performing all those duties, if needed.

As Incident Commander, you assume the duties of each unfilled Command and General Staff position during an incident.

ICS ORGANIZATIONAL STRUCTURE, Continued

Unified Command, Chain of Command, and Unity of Command

FEMA course *IS-200.C: Basic Incident Command System for Initial Response*, *ISC 200* introduces you to the terms **Unified Command**, **Chain of Command**, and **Unity of Command** as one of the 14 NIMS Management Characteristics. FEMA defines each term as follows:

Unified Command is only used when multiple agencies and/or multiple jurisdictions work together on an incident and command is shared across the different organizations. The common language, structure and framework allow them to work together efficiently and communicate effectively.

Chain of Command is the orderly command hierarchy within an incident management response team. Knowing who reports to whom is critical, and respecting span of control ensures response staff are not overwhelmed with too many direct reports.

Unity of Command means that each individual will report to only one designated supervisor within the Chain of Command structure. Each person has only one leader during the entire length of incident. He or she cannot be assigned work or released from working the incident by anyone other than their incident supervisor or the Incident Commander.

Maintaining Unity and Chain of Command are critical to effectively managing any incident. Historically, in the Chain of Command and Unity of Command structures, incident response teams tend to break down. See how well you understand these command structures by answering the questions on the following pages.

ICS ORGANIZATIONAL STRUCTURE, Continued



One of your team members receives a call from her manager in her home location saying he is short-handed. The manager tells your team member to come back to the home location to complete a work assignment that is not part of the incident. What should your team member do, and how should you support her?

Click and type your answer in the box below.

ICS ORGANIZATIONAL STRUCTURE, Continued



What are some ways the Unity of Command might be threatened during an incident?

Click and type your answer in the box below.

INCIDENT CLASSIFICATIONS

Review the Incident Level Classifications in the EPRP to answer the following questions.



How do you classify the following scenario?

An overpressurization event occurs, and there are several fires and explosions reported along the gas lines in three states. The exact cause is yet to be determined, but early estimates say it could be affecting 1,200 or more residential customers and approximately 3,000 commercial customers.

[Click and type your answer in the box below.](#)



How do you classify the following scenario?

A 20-inch transmission line explodes, and an 800' section of a major interstate is impassable.

[Click and type your answer in the box below.](#)

INCIDENT CLASSIFICATIONS, Continued



How do you classify the following scenario?

A gas pipeline explodes at 1:00 a.m. and severely damages 20 homes, burning barns, and causing one fatality. The 30-inch natural gas pipeline is about 100 feet from the highway and buried 30 feet underground. When it explodes, large rocks and sections of pipeline fly into the air, leaving a 60-foot crater.

[Click and type your answer in the box below.](#)



How do you classify the following scenario?

A residential customer reports smelling gas in an open field when she was out walking her dog. The Integration Center sends out a crew to investigate for leaks, and they discover that the field has been recently mowed. Apparently, the person who mowed it struck the gas line, causing the leak. There have been no reports of fire, explosion, or fatalities, and the initial team estimates they can have the leak repaired within four hours.

[Click and type your answer in the box below.](#)

PEOPLE LEADERSHIP

It is easy to get swept up in the urgency and chaos that surrounds an incident, but don't forget that it takes teams of people to effectively manage an incident. This section helps you explore the people leadership aspects of what it takes to effectively manage an incident and the staff that has been assigned to you.

Leadership Principles

Leadership principles provide the basics of being a good people leader. They guide what you do every day in your regular job, and it is important not to forget about them during an incident.



What are some leadership principles that you should practice during incident?

Click and type your answer in the box below.

PEOPLE LEADERSHIP, Continued

Safety, Accountability, and Welfare

Just as when you are at your home location, as a leader, you are responsible for the safety, accountability, and welfare of the employees under your command during an incident.



What are some actions you can take to ensure the safety of your team members during an incident?

Click and type your answer in the box below.

PEOPLE LEADERSHIP, Continued



In your experience, what leadership strategies encourage accountability in a team?

Click and type your answer in the box below.

PEOPLE LEADERSHIP, Continued



What are some actions you can take to ensure the welfare of your employees during an incident?

Click and type your answer in the box below.

PEOPLE LEADERSHIP, Continued

Personnel Management

Managing staff during an incident is no different from managing them at your home location, and the NiSource Leadership Competencies are a great reminder of how you are expected to lead every day.



Which of the NiSource Leadership Competencies are particularly helpful during an incident? Why?

Click and type your answer in the box below.

PEOPLE LEADERSHIP, Continued

Operational Period Change

Historically, one of our greatest pain points during an incident is a breakdown or lack of communication when operational period changes occur.



What information do you think is critical for staff to pass along during an operational period change?

Click and type your answer in the box below.

PEOPLE LEADERSHIP, Continued

Staffing

Section Chiefs and Officers are responsible for ensuring that all activated positions for each operational period are covered at all times. This includes unexpected illnesses, planned vacation/time off, and personal leave.



What can you do to ensure that assigned staff understands expectations and accepts personal accountability for staffing their shifts during an incident?

Click and type your answer in the box below.

NOTES

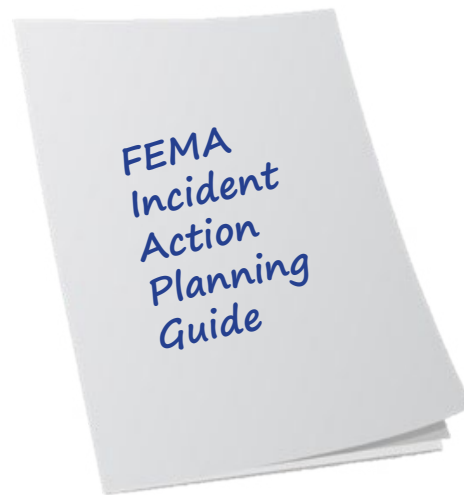
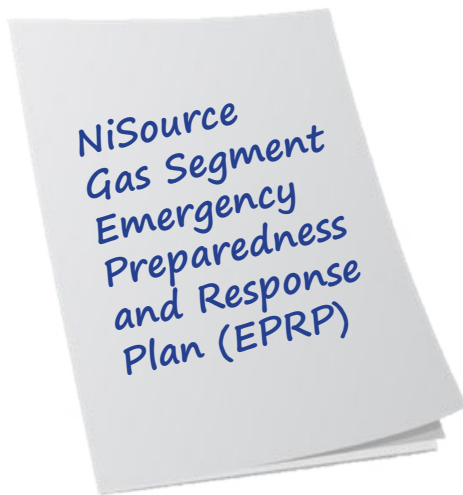
Use the box below to record your notes and questions about the General Information section of this workbook.

COMING UP: PREPARATION

Next, you'll explore resources to help you prepare for an incident.

REFERENCE MATERIALS

Reference materials are available to help answer any questions you might have about the Incident Command System or the Emergency Preparedness and Response Plan NiSource has put into place. Prior to being activated on an incident, you should review the following documents:



These documents are located on the Emergency Preparedness and Response site on MySource.

Use them to answer the questions on the following pages.

REFERENCE MATERIALS, Continued

The following sections of the EPRP are particularly helpful for Incident Commanders:

Guiding Principles	Helps you keep important principles in mind as you perform the duties of your position.
Operational Stages	Contains lots of information about each of the operational stages that occur during an incident (one of the largest sections of the document).
Organization and Assignment of Responsibilities	<p>Helps you clearly understand what all of the various sections in the response team do. It explains all the positions and responsibilities of each section the Incident Commander has the most direct contact with.</p> <p>Having a deep understanding of how each section is structured and what it does is critical to the Incident Commander because you delegate critical tasks to each Section Chief and are responsible for their progress and performance. In addition, you assume all duties of unfilled positions during an incident.</p> <p>It is strongly recommended that you commit this section to memory before you are activated on an incident.</p>
Policy, Coordination and Command	Lists the groups within NiSource you can engage with for policy guidance and resource support while managing an incident.
Information Collection, Analysis and Dissemination	Outlines how operational information and incident situational awareness data is tracked and disseminated to various stakeholders.
Communications	Details the importance of timely, accurate, and unified messaging to internal and external groups. This section outlines how to work with the Public Information Officer and the Logistics Section Chief to deliver and maintain communications to various stakeholders.
Finance and Administration	Explains how to work with the Finance and Administration Officer to manage financial data and provide administrative support for an incident.
If you are new to incident command, Section 14 Incident Command System (ICS) is a great resource for understanding the principles and features of the ICS, and, more specifically, how it is applied at NiSource.	

REFERENCE MATERIALS, Continued



The FEMA position checklist lists responsibilities that are not included in the EPRP. Are you accountable for those as well? Why or why not?

Click and type your answer in the box below.



What is the *FEMA Incident Action Planning Guide*, and how can it be used by the Incident Commander?

Click and type your answer in the box below.

REFERENCE MATERIALS, Continued

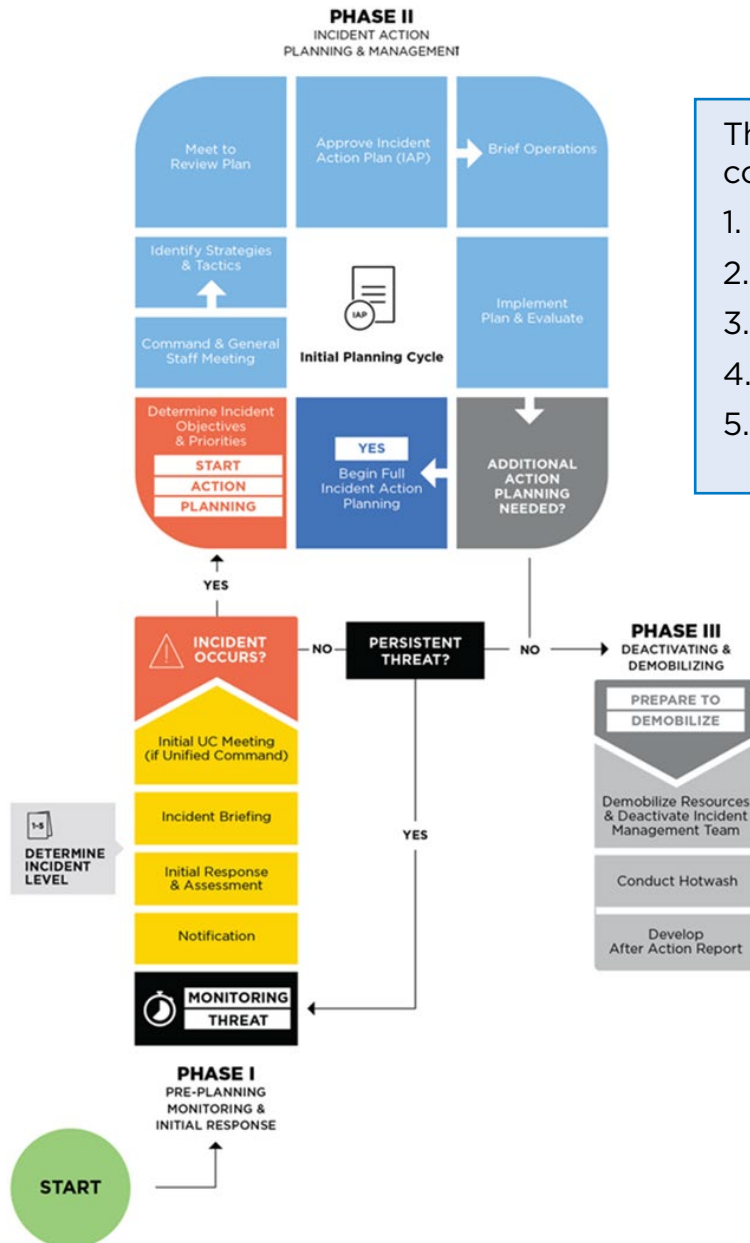


What is the *FEMA Position Task Book Incident Commander*, and how can it be useful to you in preparing for your position during an incident?

Click and type your answer in the box below.

INCIDENT ACTION PLANNING PROCESS

FEMA has recognized the need for teams to follow a common process for the way they respond to an incident, especially in circumstances in which multiple agencies are involved. The Incident Action Planning Process addresses this need by minimizing confusion and increasing efficiency among incident responders. It is critical that you understand this process and follow it whenever you are activated for an incident.



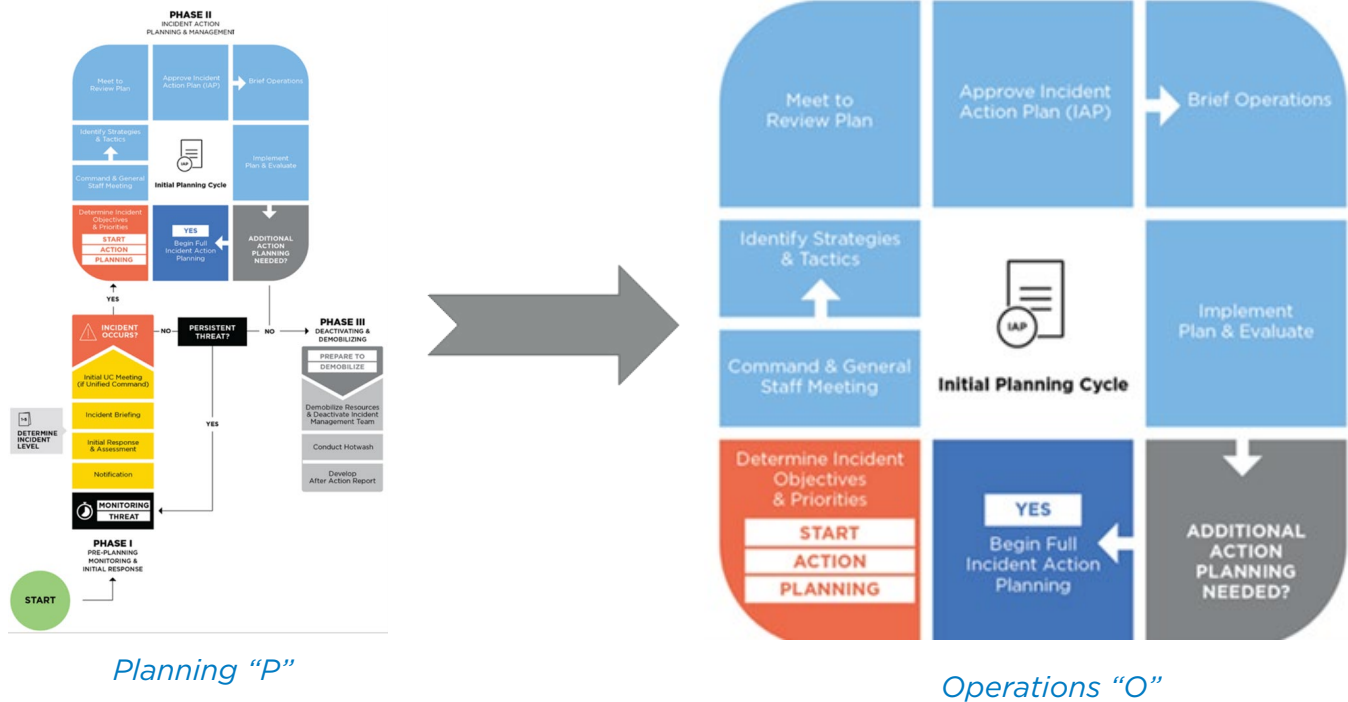
The incident action planning process consists of the following phases:

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

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

INCIDENT ACTION PLANNING PROCESS, Continued

The first cycle through the process is referred to as the Planning “P,” while the subsequent cycles are referred to as the Operations “O.” This is because the IAP is continually updated at the end of each operational period, and the process starts again. Think of it as a continuous improvement cycle that never stops until the incident is fully resolved.



Does every step in the Planning P and Operations O apply to every incident? Why or why not?

Click and type your answer in the box below.

ICS FORMS

Various members of the Command and General Staff create the forms that make up the IAP, and they continue to revise them throughout the incident. The Planning Section Chief is responsible for collecting and assembling these forms into the IAP or the most recent version of it. The IAP is then distributed to the Command and General Staff at each Operational Period Briefing, which occurs at the end each planning cycle (Planning P or Operations O).

The table below presents a FEMA recommended list of forms to use while creating the Incident Action Plan. As Incident Commander, you use your discretion to determine whether to use each of the documents listed. Take the time to familiarize yourself with each of the FEMA recommended forms, so you can determine in advance which forms may be useful during an incident. For more information on how to use the forms listed and a complete list of all FEMA ICS forms, refer to the *National Incident Management System Incident Command System ICS Forms Booklet FEMA 502-2*.

ICS FORM #	FORM TITLE	TYPICALLY PREPARED BY
<i>ICS 201</i>	<i>Incident Briefing</i>	Initial Incident Commander
<i>ICS 202</i>	<i>Incident Objectives</i>	Planning Section Chief
<i>ICS 203</i>	<i>Organization Assignment List</i>	Resource Tracking Unit Leader
<i>ICS 204</i>	<i>Assignment List</i>	Resource Tracking Unit Leader and Operations Section Chief
<i>ICS 205</i>	<i>Incident Radio Communications Plan</i>	IT & Telecom Branch Director
<i>ICS 205A</i>	<i>Communications List</i>	Resource Tracking Unit Leader
<i>ICS 206</i>	<i>Medical Plan</i>	Safety Officer
<i>ICS 208</i>	<i>Safety Message/Plan</i>	Safety Officer

ICS FORMS, Continued



Why are the ICS forms significant?

Click and type your answer in the box below.



How do the ICS forms relate to your duties as Incident Commander?

Click and type your answer in the box below.

ICS FORMS, Continued



What information is provided by the following forms?

Click and type the letter of the description matching the form.

- A.** Provides information on currently activated units, including names and positions of activated positions.



Incident Briefing

- B.** Used to communicate decisions made by a Section Chief concerning resource assignments and needs for the next operational period.



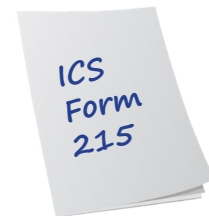
Incident Objectives

- C.** Consists of an initial action worksheet with basic incident situation information and resources allocated to the incident.



Organization Assignment List

- D.** Describes the basic incident strategy, command emphasis/priorities, and safety consideration for the next operational period. Completed by the Planning Section following each Command and General Staff meeting.



Operational Planning Worksheet

BRIEFINGS

FEMA's Incident Command System introduces new terms that may be used in a slightly different context from how you are used to using them at NiSource. As pointed out in FEMA course *IS-200.C Basic Incident Command System for Initial Response, ICS 200*, there are four types of briefings/meetings conducted in the ICS: staff level, field level, section level, and operational period.

Staff-Level Briefings	Delivered to resources assigned to non-operational and support tasks at the Incident Command Center Base.
Field-Level Briefings	Delivered to individual resources or crews who are assigned to operational tasks and/or work at or near the incident site.
Section-Level Briefings	Delivered to an entire Section (frequently includes information from the Operational Period briefing).
Operational Period Briefings	Delivered by the Planning Section Chief to the Incident Commander and Command and General Staff members to review updates to the IAP.

Operational Period Briefings

Operational period changes occur at the end of each operational period, which generally occurs every 12 hours. A critical task during the change is for the departing staff to brief the incoming staff on what has taken place during the ending operational period.

BRIEFINGS, Continued



What information should an operational period briefing contain?

Click and type your answer in the box below.

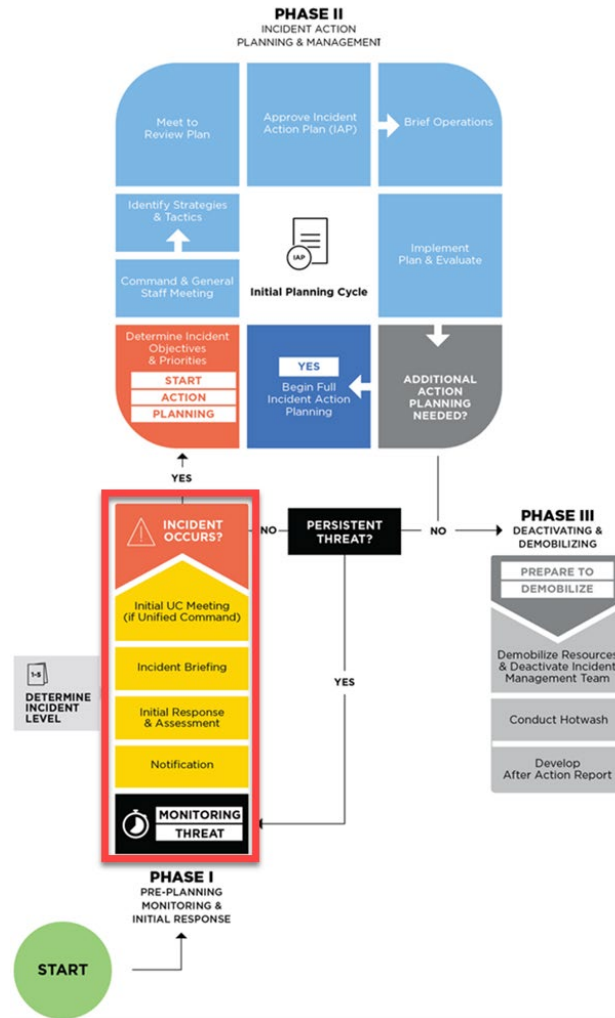
NOTES

Use the box below to record your notes and questions about the Preparation section of this workbook.

COMING UP: INITIAL RESPONSE

Next, you'll review guidelines for your initial response to an incident.

THE PLANNING “P”



FEMA ICS Operational Period Planning Cycle (Planning P) Phase 1: Understand the Situation

The first NiSource employee to arrive on site assumes the role of Incident Commander, and he or she begins by:

- Making the situation safe.
- Performing a size-up to assess the situation by:
 - Determining how serious the incident is.
 - Identifying the resources required to resolve it.
 - Providing an estimate of how long it will take to resolve it.

Typically, the Operations Section Chief and Planning Section Chief are the first positions activated by the Incident Commander. Once the Incident Commander finishes assessing the situation, the rest of the Command and General Staff positions are activated, as needed.

This section of the workbook walks you through the Planning P process as the Incident Action Plan is first developed.

THE PLANNING “P,” Continued

The initial response for the Incident Commander is different from most of the other positions in the Incident Command System because he or she is always activated during an incident (including routine emergencies). The initial Incident Commander is the first person on scene.

Transfer of Command

You have just arrived on scene and have reported to the initial Incident Commander for an initial briefing. The initial Incident Commander conducts a transfer of command, including an initial briefing. Once the transfer of command has occurred, you assume the position of Incident Commander and have full authority over the incident.



When does transfer of command take place during an incident?

Click and type your answer in the box below.

THE PLANNING “P,” Continued



What are some requirements of the transfer of command meeting?

Click and type your answer in the box below.

THE PLANNING “P,” Continued



What questions might you ask during the transfer of command?

Click and type your answer in the box below.

THE PLANNING “P,” Continued



If the incident involves working with other agencies and/or municipalities, what are some additional questions you might ask?

Click and type your answer in the box below.

THE PLANNING “P,” Continued

Corrective Action Program (CAP) Documentation

A Corrective Action Program needs to be entered 24–48 hours after a situation is made safe. A CAP is a tool used for anyone in the company to identify risks and concerns. Each time a risk occurs or is identified, a CAP needs to be entered—this includes routine and major incidents.

As Incident Commander, you are accountable for ensuring that a CAP has been entered.

At Levels 4–5, it is the responsibility of the initial Incident Commander (first responder) to enter the CAP.

At Levels 3–1, the Damage Assessment Branch Director or the Planning Section Chief enters the CAP for the incident you oversee, if either of those positions is activated. Otherwise, it is your responsibility.

CAPs are separate and distinct from the After Action Review.

THE PLANNING “P,” Continued

Determine Immediate Needs

After the transfer of command and the initial briefing, one of your next steps is to determine the immediate needs of the incident. Using the information provided in the initial briefing, your observations of the incident, and your prior operational knowledge, you assess the state of the incident and begin action.



What are some of the first actions you should take after assuming control of the incident?

Click and type your answer in the box below.

THE PLANNING “P,” Continued



If you determine the incident classification to be a Level 1 or 2, whom else within NiSource must you notify?

Click and type your answer in the box below.

THE PLANNING “P,” Continued

Establish Incident Objectives

Once you have classified the incident, you determine the initial objectives based on the three priority levels, as defined in *FEMA course IS-200.C Basic Incident Command System for Initial Response, ICS 200*.



What are the three priorities, and how do they help with sequencing work during an incident?

Click and type your answer in the box below.

THE PLANNING “P,” Continued



Service restoration is a key part of the incident stabilization priority. What are the three basic steps of service restoration with an emphasis on safety?

Click and type your answer in the box below.

THE PLANNING “P,” Continued

Objectives define what must be accomplished to achieve incident priorities. Objectives are based on the best, most current knowledge of the situation and resources available. However, objectives are often general during the initial stages of the incident and become more specific as you learn more about the incident and work with the Command and General Staff.

Your initial incident objectives should consider:

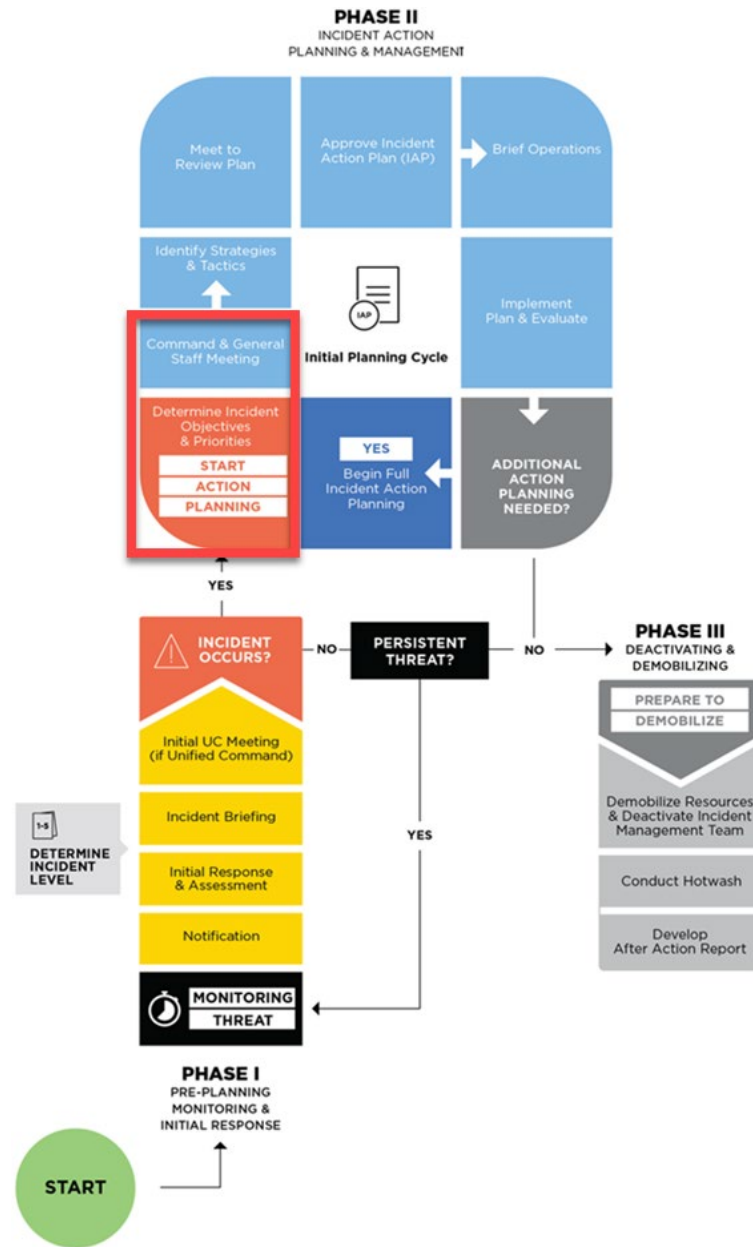
- The most important tasks that need to be performed now.
- What resources (human and physical) are needed to maintain safe operations.



What are your responsibilities, as Incident Commander, regarding ICS Form 201, Incident Briefing?

Click and type your answer in the box below.

ACTIVATION



Activate the EPRP and the ICS

Once you have been briefed, undergone a transfer of command, assumed authority as Incident Commander, and established your initial incident objectives, it is time to activate and notify the resources needed to resolve the incident.

ACTIVATION, Continued



Do you need to activate the entire NiSource ICS during an incident?

Click and type your answer in the box below.

ACTIVATION, Continued



Which positions do you activate first according to FEMA?

Click and type your answer in the box below.

ACTIVATION, Continued



What is the purpose of an Incident Command Center (ICC)?

Click and type your answer in the box below.



What are your responsibilities for the ICC as Incident Commander?

Click and type your answer in the box below.

ACTIVATION, Continued

Command and General Staff Initial Briefing

When the NiSource ICS organizational structure is activated, you must prepare the Command and General Staff to assume control of the areas of the incident for which each member is responsible.

Brief the Planning Section Chief on the current state of the incident. Then, work closely with the Planning Section Chief to brief the Command and General Staff. Have the Planning Section Chief lead this briefing and reinforce appropriate position divisions during the incident.



What information is included in the Command and General Staff initial briefing?

Click and type your answer in the box below.

ESTABLISH INCIDENT OBJECTIVES

After the initial response and after the team has been activated, the Incident Commander and Command and General Staff develop the incident objectives. You rely on the expertise of the Section Chiefs and advice from the Officers to turn the objectives into SMART (Specific, Measurable, Achievable, Relevant, and Time-oriented) objectives.

The Planning Section Chief is responsible for setting up and conducting this meeting, capturing the final set of objectives, updating *ICS Form 201, Incident Briefing*, and distributing it to the Incident Commander, Command Staff, and General Staff, who communicate it to their respective teams.



Why is objective creation a collaborative process?

Click and type your answer in the box below.

ESTABLISH INCIDENT OBJECTIVES, Continued

SMART Objectives

A SMART objective has the following characteristics:

- S Specific:** It is clear, precise, and unambiguous.
- M Measurable:** You can determine whether the objective has been achieved.
- A Achievable:** It is possible to complete the objective. If an objective cannot be completed with the available resources within a reasonable timeframe, then the objective is invalid.
- R Relevant:** It is broad enough to allow departments to determine how to accomplish each objective in the field.
- T Time-oriented:** It is tied to a reasonable timeframe for completion.

ESTABLISH INCIDENT OBJECTIVES, Continued

It is important for the incident objectives to be SMART objectives. Practice this by rewriting the following preliminary objectives so that they are SMART objectives, as described in Lesson 3 of FEMA course *IS-200.C Incident Command System for Initial Response, ICS 200*.

Click and type your answers in the boxes below.

Preliminary Objective

SMART Objective

Evacuate the area.

Contain the leak.

Restore service.

ESTABLISH INCIDENT OBJECTIVES, Continued

Responsibilities

Rely on the Planning Section Chief to capture the final set of objectives and update *ICS Form 201, Incident Briefing*. The Planning Section Chief is responsible for completing and distributing *ICS Form 202, Incident Objectives* and *ICS Form 201, Incident Briefing* with the final list of objectives to you and the Command and General Staff.



Where do you locate the template for *ICS Form 202, Incident Objectives*, and who should receive copies when it is completed?

Click and type your answer in the box below.

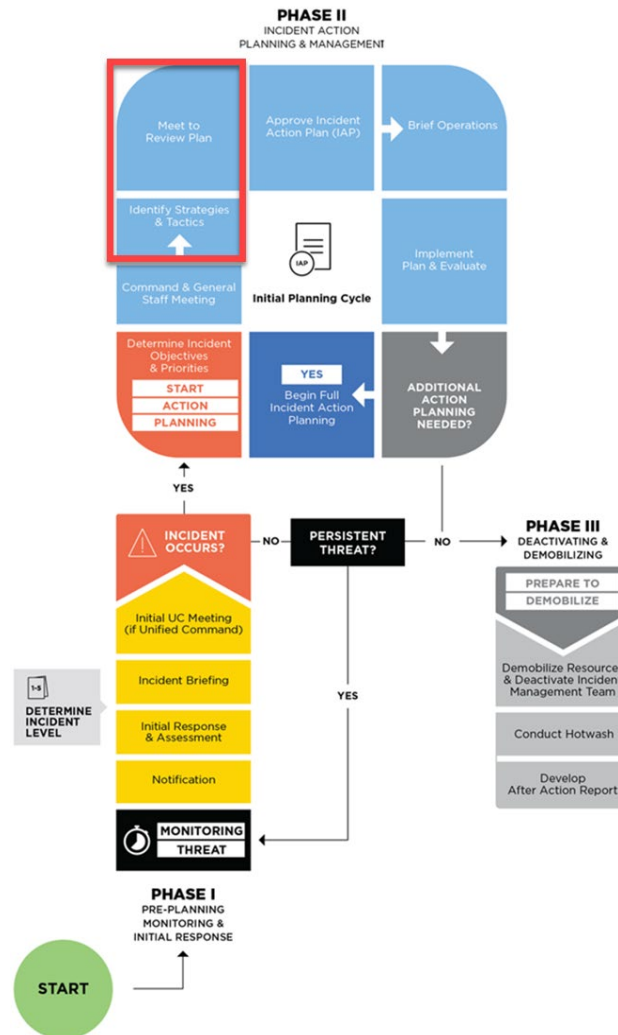
ESTABLISH INCIDENT OBJECTIVES, Continued



Do you need to update *ICS Form 201, Incident Briefing*? Why or why not?

Click and type your answer in the box below.

DEVELOP THE PLAN



*FEMA ICS Operational Period Planning Cycle (Planning P)
Phase 3: Develop the Plan*

Prepare for Tactics Meeting

As you learned in course *IS-200.C Basic Incident Command System for Initial Response, ICS 200*, a successful response includes three fundamental pieces of information:

- **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.

You are responsible for establishing objectives and selecting strategies. The Planning and Operations Sections, if established, are responsible for determining appropriate tactics for an incident. This is typically done via a Tactics meeting, which is scheduled and run by the Planning Section Chief prior to the development of the Incident Action Plan.

DEVELOP THE PLAN, Continued



What tactics can Planning employ to help achieve the following stated objectives?

Click and type your answers in the boxes below.

Objective	Tactics
Evacuate a three-block area surrounding the Kingwood Estates Apartment complex by 8:00 p.m. local time.	
Verify incident personnel arriving to the scene are checked in within one hour of arriving.	
Identify the extent of damage caused by the dig-in within two hours.	

DEVELOP THE PLAN, Continued

Tactics Meeting

The Planning Section Chief is responsible for setting up and running the Tactics meeting with Command and General Staff. Typically, only the Planning Section Chief and Operations Section Chief are responsible for developing the tactics, but it may be helpful to engage the other members of the Command and General Staff.



Which member of the Command and General Staff should be engaged for the scenarios below?

Click and type the letter matching the scenario in the box next to each position.

Liaison Officer

Legal Officer

Safety Officer

Logistics Section Chief

Public Information Officer

**Finance/Admin
Section Chief**

Human Resources Officer

Scenarios

- A.** The objectives call for interaction with other agencies, utilities, or municipalities, so you seek advice from the _____.
- B.** The objectives involve setting up facilities for the response team, securing food and lodging (for response team and the general public), Technology, Telecom or Radio, and Fleet or Supplies of Goods and Services, so you seek advice from the _____.
- C.** The objectives involve communicating to the public, working with the media, and responding via social media or the web, so you seek advice from the _____.
- D.** The objectives involve working around a mercury spill, so you seek advice from the _____.
- E.** The objectives involve corporate credit cards, prepaid claims cards, and time/cost tracking, so you seek advice from the _____.
- F.** The objectives involve potential sources of litigation (e.g., accidents, injuries, and damages to property), so you seek advice from the _____.
- G.** The objectives involve using union labor and have an impact on compensation and benefits, so you seek advice from the _____.

DEVELOP THE PLAN, Continued

Finalize Tactics

Once the team has finalized the tactics needed to achieve the objectives and you have approved the tactics, the Planning Section Chief records them on *ICS Form 201, Incident Briefing*, page 2, item 8.

Prepare for Planning Meeting

The Planning Section Chief is responsible for scheduling and holding the Planning meeting.



Who should attend the Planning meeting and why?

Click and type your answer in the box below.

DEVELOP THE PLAN, Continued

According to FEMA course *IS-201: Forms Used for the Development of the Incident Action Plan*, the following forms are helpful in preparing for the Planning meeting.

(Note: Course IS-201 was not part of your learning plan. The information shown here is for reference only.)



Incident Objectives
(created by the Planning
Section Chief)



*Operational Planning
Worksheet*
(created by the Operations
Section Chief)



Incident Check-In List
(if applicable and required)

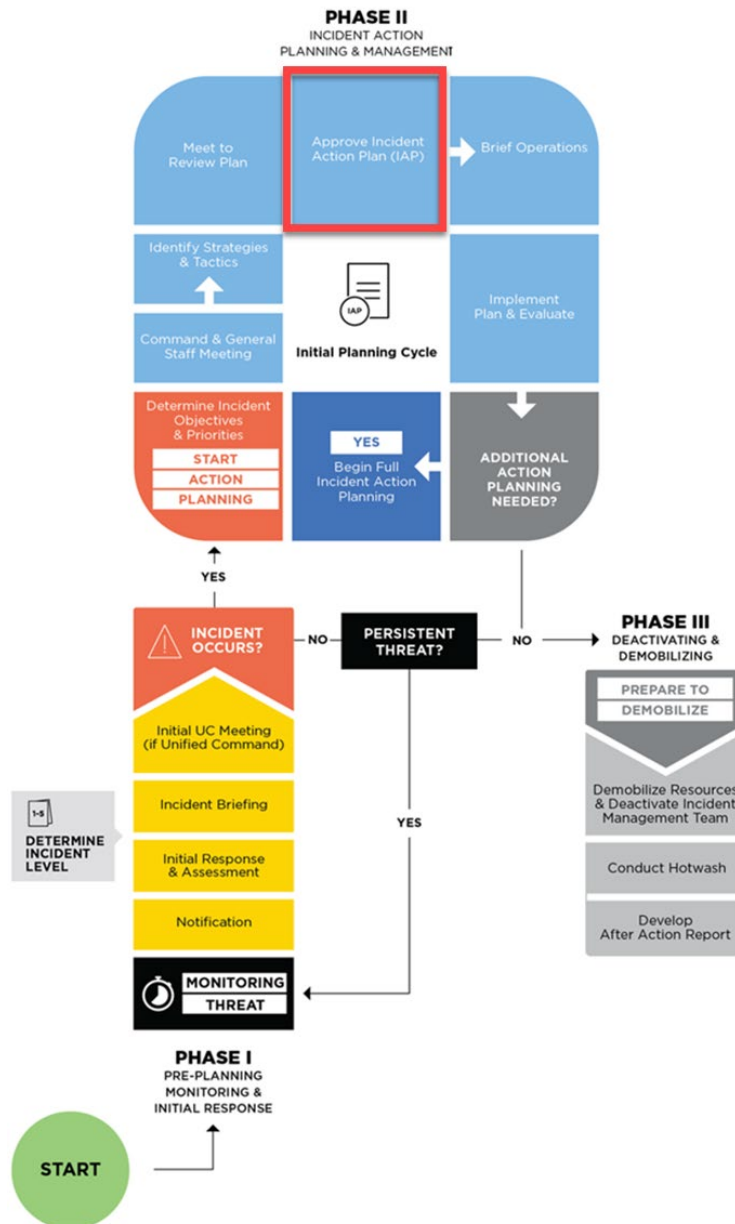


*Incident Action Plan
Safety Analysis*
(created by the Safety
Officer)



Activity Log
(if applicable and required)

PREPARE AND DISSEMINATE THE PLAN



*FEMA ICS Operational Period Planning Cycle (Planning P)
Phase 4: Prepare and Disseminate the Plan*

Planning Meeting

Now that the incident objectives, strategies, tactics, and work assignments are finalized, it is time to close any outstanding gaps in incident response. Here, the Incident Action Plan is compiled and approved for the next operational period.

As Incident Commander, you must provide guidance to each Section Chief involved in the creation and compilation of the IAP. Check in on members as they are assembling their required parts of the IAP before, during, and after the Planning meeting.

PREPARE AND DISSEMINATE THE PLAN, Continued

As previously mentioned, the Planning Section Chief is responsible for setting up and running the Planning meeting. The purpose of the meeting is to approve the Incident Action Plan for the next operational period.

The meeting provides the opportunity for the Command and General Staff, as well as other incident management personnel, agency officials, and cooperating/assisting agencies and organizations, to discuss and resolve any outstanding issues before approving the IAP. After the review has been completed and updates have been made, Command and General Staff affirm their commitment to support the plan.

Although the Planning Section Chief may run the meeting, you have full authority over the incident. At any point during the Planning meeting you may veto topics, change the course of the meeting, and seek counsel from the Command Staff on various topics and operations to ensure overall incident safety and compliance.

PREPARE AND DISSEMINATE THE PLAN, Continued

IAP Preparation and Approval

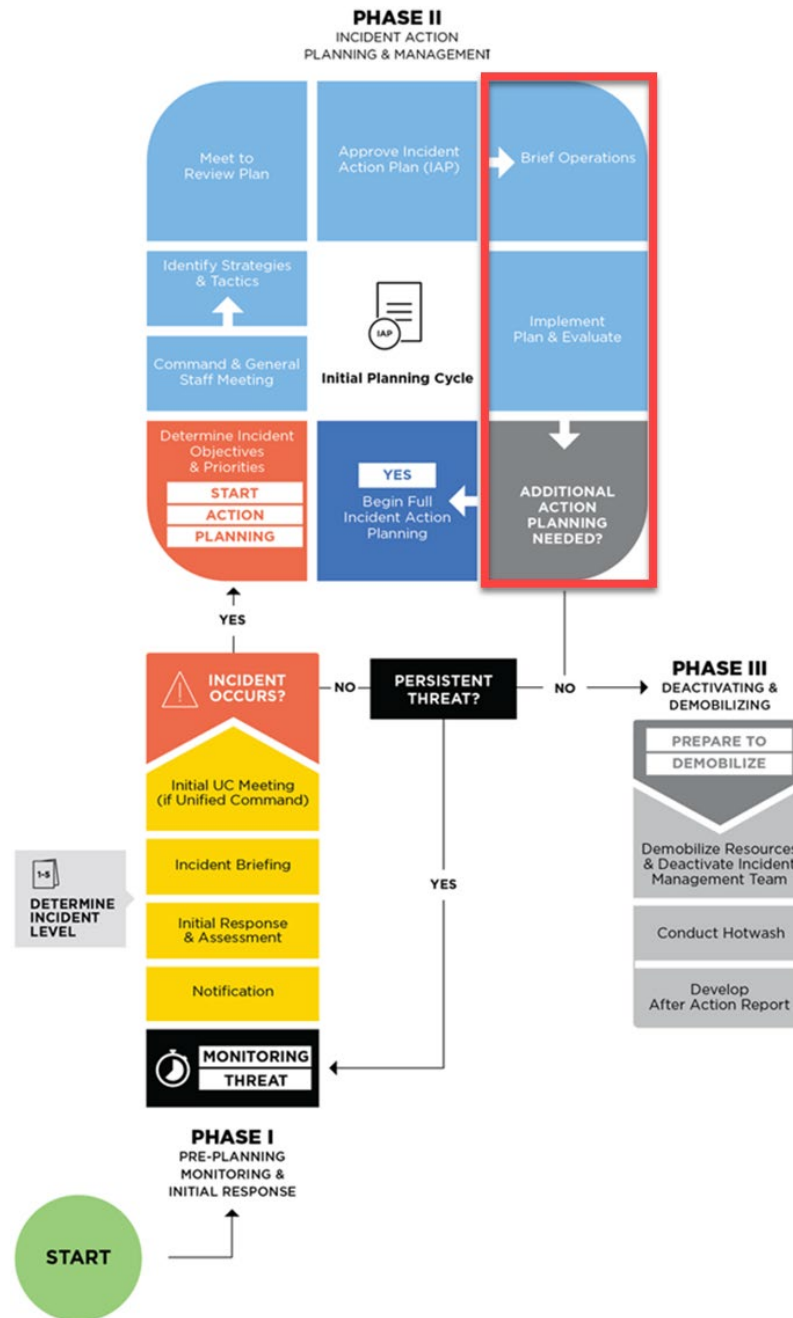
After the Planning meeting, the Planning Section Chief is responsible for collecting the various forms that make up the IAP and presenting it to you to get your approval. As previously mentioned, not all forms are used during every incident. You determine which forms are to be included in the IAP and in which order they are shown. Once you have finalized and approved the IAP, communicate the plan to the appropriate State Operating Company President.



What IAP gaps may surface that need to be closed at the Planning meeting?

Click and type your answer in the box below.

EXECUTE THE IAP



*FEMA ICS Operational Period Planning Cycle (Planning P)
Phase 5: Execute and Evaluate the Plan*

Distribute and Post the Plan

Once the IAP is approved by the Incident Commander, the Planning Section Chief distributes copies to the Command and General Staff, who are then responsible for communicating the plan to their respective teams.

EXECUTE THE IAP, Continued



Which form(s) may be shared with Incident Command personnel?

Click and type your answer in the box below.

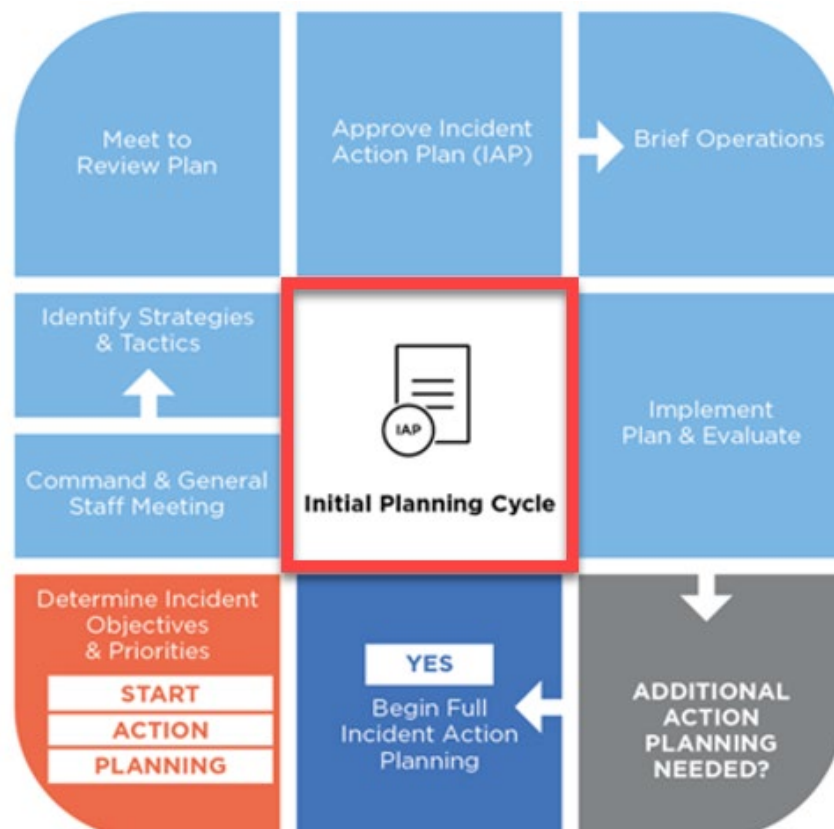
NOTES

Use the box below to record your notes and questions about the Initial Response section of this workbook.

COMING UP: DURING THE INCIDENT

Next, you'll review guidelines for steps to take during the incident.

THE OPERATIONS “O”



FEMA ICS Operational Period Planning Cycle (Operations O)

After the initial IAP is developed, approved, and distributed, incident management shifts into a cycle of planning and operations, informed by ongoing situational awareness, that continues and is repeated each operational period.

Command and General Staff continually monitor their team’s progress against the plan and meet regularly to refine and adjust the plan as needed. This continuous improvement cycle is known as the Operations O.

As the Incident Commander, you also monitor and update the progress of the Command and General Staff.

MANAGE THE TEAM

Most of your time as Incident Commander will be spent overseeing the incident response, assisting the Command and General Staff in achieving their incident goals, and maintaining the safety and security of all people and property involved in the incident.

You accomplish this by driving the approach to mitigate and resolve the incident, monitoring progress on incident goals, and adjusting strategies and tactics as necessary to meet changes in situation, scope, and complexity.



Who can assist you with these duties?

Click and type your answer in the box below.

MANAGE THE TEAM

Span of Control

One of the key components of the ICS is effective span of control, or how many people should report to a leader in the chain of command. As a general rule, the ICS states that the optimal span of control for incident management is five subordinates to one supervisor.



Is it okay to deviate from the span of control guidance? Why or why not?

Click and type your answer in the box below.

MANAGE THE TEAM, Continued

Issues and Roadblocks

As the Incident Commander, you will spend time helping your team resolve issues and removing roadblocks they encounter during the incident.



Based on your experience as a leader, what are some techniques you can use to help the team resolve issues?

Click and type your answer in the box below.

MANAGE THE TEAM, Continued

Communication

Clear communication is critical during an incident and is based on the use of common terminology.

Formal communication follows the lines of authority (Chain of Command and Unity of Command) and must be used when:

- Receiving and giving work assignments.
- Requesting support or additional resources.
- Reporting progress of assigned tasks.

Informal communication is used for passing information concerning the incident or event horizontally or vertically within the organization without restriction.

Incident communications should be clear and concise (not complex decisions or long discussions) and include:

WHAT

is to be done
- the task

WHY

is it to be done

HOW

is it to be done

MONITOR PROGRESS AND UPDATE IAP

Operational Periods

Schedule time with each member of the Command and General Staff during an operational period to check in on incident objective progress. During these meetings, ask your staff about any issues, concerns and questions related to their work.

As previously stated, the operational period for an incident varies, based on the size and duration of the incident. Operational periods are generally 12 hours, and each time an operational period ends, the Operations O cycle starts over. This means objectives, strategies, tactics, and various forms used in the IAP are to be updated to reflect the latest status of the incident.



Why is 12 hours the maximum time for an operational period?

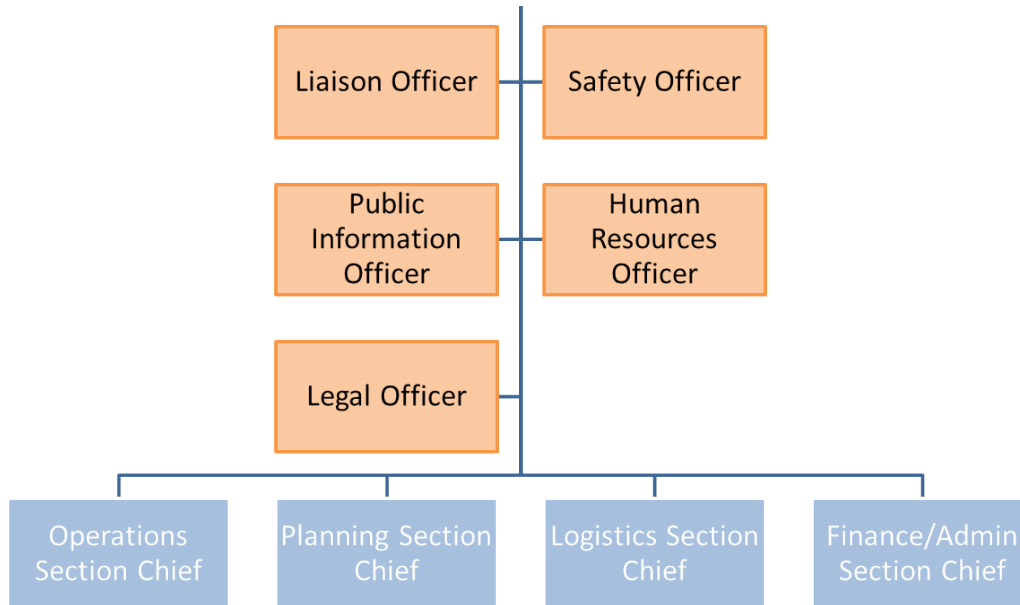
[Click and type your answer in the box below.](#)

MONITOR PROGRESS AND UPDATE IAP, Continued



During incident progress check-ins with the Command and General Staff within a given operational period, what should you discuss with each member of the Command and General Staff? *(This question is continued on the following page.)*

Click and type the letter matching the discussion in the box next to each position.



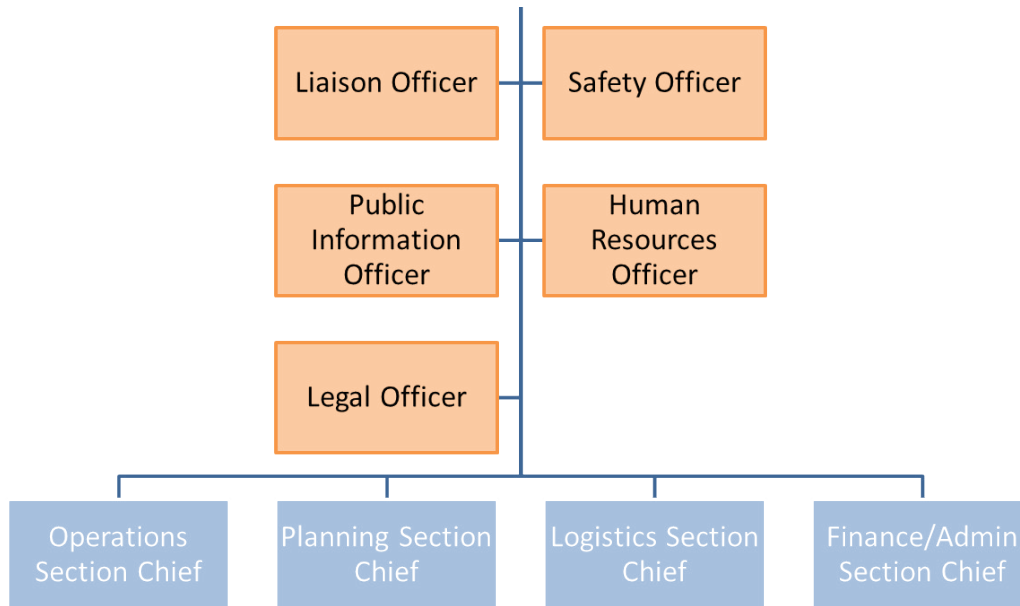
The following discussions are recommendations. Each incident is unique and should be responded to as such. Adjust your check-in topics to reflect the nature of the incident.

Discussions

- A.** Identify the number needed and location of appropriate facilities, such as food and lodging; fleet support; equipment, tool, and supply stations; medical tents; and other facilities. Discuss and solve transportation, supply, and other logistical needs. Ensure that each facility location is safe, secure, and protected.
- B.** Ensure the timely release of essential incident information to the appropriate state and federal agencies. Assess the cadence and efficiency of communications between NiSource and outside agencies, commissions, legislators, municipalities, and the affected community. Determine if community feedback is being received and addressed.
- C.** Ensure that communications around time, pay, expenses, lodging, etc., are clear and understood by the intended audience. Assess the types of grievances being issued, as well as the efficiency of resolving grievances. Ensure that collective bargaining agreements are maintained to the best of your ability.
- D.** Assess the effectiveness of time and pay (payroll) reporting. Ensure that incident cash flow, costs, and expenses are being accurately tracked and accounted for. Find safe, cost-effective solutions to incident issues.

MONITOR PROGRESS AND UPDATE IAP, Continued

Click and type the letter matching the discussion in the box next to each position.



Discussions

- E.** Receive updated damage assessment and situational awareness reports. Assist in the assembly of the IAP. Ensure that all maps and records are up-to-date and accurate. Review and discuss the demobilization plan. Assess the progress of incident objectives. Discuss resource requests, releases, and work assignments.
- F.** Assess the effectiveness of incident strategies and tactics related to field operations.
- G.** Review and approve messages to the public and press. Determine what incident information can be shared with incident personnel. Assess the cadence and efficiency of information releases to various stakeholders. Ensure unified messaging. Check-in on the success of the customer care center and the rate at which customer inquiries are being handled. Monitor NiSource's brand perception in the press and on social media.
- H.** Ensure that all company employees, labor unions, mutual aid, and contractor personnel comply with NiSource's safety standards and procedures. Discuss how to prevent, mitigate, and resolve hazards. Assess the effectiveness of the onboarding process.
- I.** Know the key legal risks and the consequences of each risk. Discuss potential solutions for these risks. Assess the status of all litigation. Review internal and external messaging for legal risks.

DEMOBILIZATION

Demobilization is the orderly, safe, and efficient return of an incident resource no longer required to manage the incident. Resources should be demobilized as soon as practical. It is a planned process that begins at the start of an incident to ensure that releases are completed properly, safely, cost-effectively, and with minimal legal or fiscal impacts. Demobilization is initiated only at your discretion.

Planning for demobilization begins in the first operational period and continues throughout the incident because the goal of incident response is a return to normalcy. Once incident objectives are nearing completion, begin the demobilization process.

At this point in time, advise the Planning Section Chief—in collaboration with the Operation Section Chief and the Logistics Section Chief—to draft and submit a demobilization plan for your approval. This is a preliminary plan that dictates the process for the approval of the controlled release of resources.

Resources include both human and physical resources, such as equipment and tools.

As resources are demobilized, *ICS Form 221, Demobilization Check-Out* ensures that resources checking out of the incident have completed all appropriate incident business and provides the Logistics Section with information on resources released from the incident.

DEMOBILIZATION, Continued



Why do you think the Command and General Staff begin planning demobilization at the beginning of an incident?

Click and type your answer in the box below.



Based on your background and experience, when is demobilization necessary?

Click and type your answer in the box below.

NOTES

Use the box below to record your notes and questions about the During the Incident section of this workbook.

COMING UP: AFTER THE INCIDENT

Next, you'll review guidelines for steps to take after the incident.

AFTER ACTION REVIEW (AAR)

Lessons Learned

The After Action Review is designed to help NiSource become more effective and efficient as we respond to incidents. While the operational periods focus on what happens during a specific timeframe, the AAR takes a wholistic look back from the point of activation to demobilization. It is the final step in our ongoing continuous improvement process.

The focus of an AAR should be on how we responded to the incident, not about what caused the incident or how we might have prevented it. A separate team focuses on determining the cause of the incident.

INCIDENT	Root Cause Analysis (RCA)	INCIDENT CAUSE
	Apparent Cause Analysis (ACA)	
	After Action Review (AAR)	PERFORMANCE AND PLAN EXECUTION

The AAR for your team concentrates on how your team responded to the incident from the time it was activated to the time it was demobilized. When you hold an AAR, discuss how well the team performed against the plan. Do not discuss anything related to the cause of the incident.

Remember: Everything you write down, create, document, and/or photograph—even on sticky notes or scraps of paper—must be retained. Focus more on the content you create rather than the material used to document it.

Our obligations under the Company’s records management policies and the legal hold policy require thoughtful preservation of business records and materials, which includes materials created as part of the AAR process.

AFTER ACTION REVIEW (AAR), Continued



Which of the following statements are applicable to the RCA/ACA (cause) and which are applicable to the AAR (plan)?

Select **Cause** or **Plan** for each scenario.

Cause **Plan**

Scenario

The maps for the subdivision were incorrect and did not reflect the relocation of a main line to the other side of the road.

Team members were well trained and knew their roles and responsibilities without having to refer to manuals or ask for help.

Operations and Planning were not well aligned, and there were gaps in communicating expectations and plans to the other teams.

The main line that ruptured had been marked for replacement due to a known defect in the manufacturing process. Unfortunately, we were unable to replace it before the incident occurred.

AFTER ACTION REVIEW (AAR), Continued

Using what you just learned, focus on what you should consider when documenting incident information.



What are some best practices for documenting an AAR?

Click and type your answer in the box below.

AFTER ACTION REVIEW (AAR), Continued

An honest assessment of the strengths of your team's performance and opportunities presented during the incident help others by providing a blueprint for successfully responding to an incident and what should be avoided. This exercise is not about placing blame. Rather, it is about identifying areas for improvement so that we can respond better in the future.



What are some examples of properly documented strengths and opportunities during an AAR discussion?

Click and type your answer in the box below.

AFTER ACTION REVIEW (AAR), Continued

AAR Meetings

AARs are typically conducted by each section after an incident. As the Section Chief, you need to collect the information shared during your section's AAR meeting.

Once these section-specific AARs are completed, you bring your team's findings to the combined AAR session to be scheduled by the Emergency Manager.



True or False? You do not need to keep the notes you took during the AAR.

Click and type your answer in the box below.

RECORDS MANAGEMENT & RETENTION AND LEGAL HOLD

The corporate records management and legal departments have policies that govern records management, records retention, and legal hold:

- *NiSource Records Management Policy*
- *NiSource Legal Hold Policy*

These departments provide guidance during an incident. The policies apply to all employees, agents, vendors, temporary employees, contractual providers of services, and others who perform any business activity for the company.

Here are some key points to remember during an incident:

A **record** is any type of information or data created or maintained by or on behalf of the Company in the transaction of business or the conduct of its affairs and kept as evidence of such activity.

Examples of **storage media** include, but are not limited to, paper, email, instant messaging systems, voice mail systems, electronic documents, CDs, DVDs, zip drives, BlackBerry® or PDA devices, computer diskettes, USB flash memory drives (a/k/a thumb drives), and other electronic media.

Records shall be **retained and disposed of** in a systematic manner, in accordance with the Company's approved retention schedule.

All records will be **maintained in an organized manner**, must **remain readable, retrievable, and accessible** throughout the applicable retention period, and shall be **protected in safe and secure conditions**.



During a coffee break, you write down some incident notes on a paper napkin. Is this an incident document?

Click and type your answer in the box below.

NOTES

Use the box below to record your notes and questions about the After the Incident section of this workbook.

NEXT STEPS

Now that you have been introduced to your position in the ICS organizational structure, you are prepared to apply this knowledge and develop your skills during your upcoming training.

Keep the following in mind:

- Collaborate with other members of Command and General Staff.
- Look for opportunities to practice managing incidents at various levels.
- Access documents on the Emergency Preparedness and Response site on MySource.

Remember that this workbook is not scored and serves only as a tool to help you succeed on the job.

Here are your next steps:

1. Review the workbook to make sure that you answered all of the questions. It's okay if you did not answer some of them correctly.
2. Make sure that the workbook is saved. (Click File > Save.)
3. Bring your completed workbook in either electronic or printed form to your upcoming position-specific coaching class.