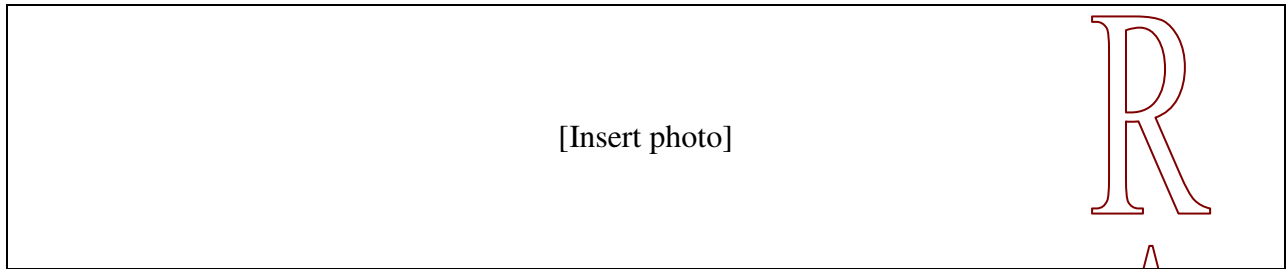


Model Response-Plan Guidelines
For Law Enforcement
Utilizing the Incident Command System



Prepared by the
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Executive Summary

For ICS to be effective on major incidents, it must become incorporated into everyday operations of all responders.

*National Incident Management Consortium
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The National Incident Management System Consortium (NIMSC www.ims-consortium.org) desires to collaborate with national law enforcement groups to develop model response-plan guidelines for law enforcement that incorporate the principals of the Incident Command System (ICS)—as defined by the National Incident Management System (NIMS)—to be used in field operations following the successful process of NIMSC for document development.

Experience has shown that the best method to achieve NIMS compliance requires integration of ICS into day—to—day operations. The need to merge discipline-specific operational guidelines with ICS principals, as described in Appendix A, is foundational to achieving the intent of an effective incident command system across the nation. The NIMSC has demonstrated both institutional knowledge of ICS and a proficient capability in developing model guidelines of this sort, yet it is aware of a lack of internal technical knowledge to address details of law enforcement operations. NIMSC recognizes that national law enforcement organizations is best poised to share their operational expertise so that it can be married with the NIMSC's expertise in developing relevant ICS response-plan guidelines and documents.

What follows is a proposal for a collaborative effort wherein national law enforcement organizations join to provide subject matter experts with the NIMSC to develop model response-plan guidelines for law enforcement operations utilizing ICS principals. Additionally, the NIMSC welcomes membership from all disciplines who strive to implement ICS into their organizations.

Background:

Since 9/11, the Federal Government has implemented a series of policies and legislated regulations to address the issue of Homeland Security. One salient point in these directives has been the need for collaboration between the multi-disciplinary agencies that comprise Homeland Security efforts nationwide. In March of 2004, Homeland Security Presidential Directive #5 established the method for managing incidents nationwide as the National Incident Management System (NIMS). NIMS compliance is required by all levels of government in order to improve efficiency of multi-disciplinary emergency operations. NIMS is also a requirement to qualify for Federal Homeland Security grant funding.

The National Incident Management System Consortium (NIMSC) is a not-for-profit group of dedicated professionals focused on the philosophy of the Incident Command System (ICS) as the foundation of the multi-disciplinary, multi-agency response to major incidents. NIMSC also recognizes that ICS response-plan guidelines developed specifically for the fire services are not necessarily applicable to other disciplines. NIMSC desires to develop discipline specific ICS model response-plan guidelines for law enforcement with the intent of improving joint operations and in agencies achieving NIMS compliance nationwide.

NIMSC has developed ICS model guidelines compliant with NIMS for the fire service nationally. NIMSC background and experience in that document developmental process spans years and includes provisions for the revision of existing guidelines continuing on a 5-year cycle. NIMSC is committed to the development of new model response-plan guidelines with all core first responder disciplines. NIMSC has historically been an organization of fire service professionals whose goals included merging the two most popular incident command systems used by the American fire service into a single common system. Those two systems are the Fire Ground Command System, developed by the Phoenix, Arizona, Fire Department, and the Incident Command System, developed in California by the FIRESCOPE program. Their effort involved the participation of 23 major fire service organizations, including FIRESCOPE, Phoenix Fire Department, National Fire Academy, International Association of Fire Chiefs, The International Society of Fire Services Instructors, the Emergency Management Institute, IFSTA/Fire Protection Publications, among others. The merger, achieved through a consensus process, represents the American fire service. The implementation of NIMS has achieved the goal of one incident management system for the nation. We anticipate that a similar consensus process is expandable to embrace members of the response discipline of law enforcement for the betterment of all.

It is important to identify funding opportunities to support such a project. The NIMSC document development process does not provide for funds to compensate participating staff; there will be a need to secure funds to reimburse travel expenses for those participating in this project.

The following national law enforcement groups have been identified as potential organizations who may be interested in collaborating together to form a workgroup with the intent of developing model response-plan guidelines that apply the principles and relevant concepts of ICS to routine law enforcement incidents (groups presented alphabetically):

- Fraternal Order of Police (FOP) www.grandlodgefop.org
- International Association of Chiefs of Police (IACP) www.theiacp.org
- Major Cities Chiefs Association (MCCA) www.majorcitieschiefs.org
- Major County Sheriffs' Association (MCSA) www.mcsheriffs.com
- National Narcotics Officers' Associations' Coalition (NNOAC) www.natlnarc.org
- National Sheriffs' Association (NSA) www.sheriffs.org

Vision:

Engage in a formal collaborative effort between leading law enforcement national organizations, as a source of subject matter experts, and NIMSC in the development of model response-plan guidelines for the application of the ICS to routine law enforcement incidents. One objective of establishing model response-plan guidelines is to provide law enforcement organizations examples of how the principals of ICS to be used in everyday operations that will result in meeting the intent of NIMS. We anticipate that the model response-plan guidelines will include a strong integration of both strategy and tactics, with deliverables that will permit early implementation of ICS to ensure the smooth escalation of the command organization to meet the needs of small medium and large-scale incidents. Each of the law enforcement national organizations invited are recognized as leaders in their field and serve as the most appropriate partners to engage in this type of collaborative mission with clear benefits to the first responder community and public, nationwide.

Summary of Action Plan:

Current Situation: Development of the National Response Framework for emergency services organizations in the United States requires adoption of NIMS/ICS. The NIMSC has been developing incident management system model guidelines for more than 1½ decades, and has updated all its manuals to be NIMS/ICS compliant. The first responder discipline of law enforcement is among those who do not presently have nationally recognized NIMS/ICS compliant response-plan guidelines.

Proposal: The NIMSC would facilitate efforts to develop model NIMS/ICS compliant response-plan guidelines through the integral use of law enforcement subject matter experts provided by national law enforcement organizations. Small working group of Consortium members and law enforcement subject matter experts would form the workgroup to develop the model response-plan guidelines.

Cost and Time Analysis: The NIMSC document development process does not provide for funds to compensate participating staff and the costs involved are largely limited to reimbursement of travel expenses for those participating in this project. The mission of this project is intended to be congruent existing grant opportunities to recognize and develop inter-disciplinary collaboration among first responder organizations. Funding opportunities to support such a project may come from either public or private sources and to be administered by one of the project partners who would act as the fiduciary for the project.

Based on a similar project in which the Consortium joined with the Department of Transportation, to develop an ICS Model Procedure Guide for Transportation Incidents, the Consortium would expect this project to have costs and timelines as follows:

<u>Cost Analysis:</u>	Travel, lodging and meeting expenses based on eight meetings: \$80,000
<u>Administrative Support Expenses:</u>	\$26,000-\$30,000
<u>Organization Overhead Expenses:</u>	\$25,000
<u>Time Analysis:</u>	A final draft document could be developed within 6-9 months of the project being funded.

Projections are that, following a philosophical agreement by the partners in the venture to work together and the securing of grant funding to support the project, the work group would meet once every 2 months until completed either in person or by teleconferences. NIMSC encourages all law enforcement organizations to consider full membership in the Consortium as it strives to be the umbrella organization with foci including keeping the application ICS congruent with the needs of practitioners.

Next Steps: Beginning in the fall of 2008, the NIMSC will extend formal invitations to the various national law enforcement groups to secure commitments to further define and develop the concepts outlined in this white paper and to join as partners in the project. The desire is to identify participative partners for the process and begin the process to secure grant funding by early 2009.

Appendix A

Fourteen ICS Principals

1. **Common Terminology:** Using common terminology helps to define organizational functions, incident facilities, resource descriptions, and position titles.
2. **Modular Organization:** The Incident Command organizational structure develops in a top-down, modular fashion based on the size and complexity of the incident, as well as the specifics of the hazard environment created by the incident.
3. **Management by Objectives:** Includes 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 the established objectives.
4. **Reliance on an Incident Action Plan:** Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities.
5. **Chain of Command and Unity of Command:** Chain of command refers to the orderly line of authority within the ranks of the incident management organization. Unity of command means that every individual has a designated supervisor to whom he or she reports at the scene of the incident. These principles clarify reporting relationships and eliminate the confusion caused by multiple, conflicting directives. Incident managers at all levels must be able to control the actions of all personnel under their supervision.
6. **Unified Command:** In incidents involving multiple jurisdictions, a single jurisdiction with multi-agency involvement, or multiple jurisdictions with multi-agency 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.
7. **Manageable Span of Control:** Span of control is crucial 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.
8. **Pre-designated Incident Locations and Facilities:** Establish various types of operational locations and support facilities near an incident to accomplish a variety of purposes. Typical pre-designated facilities include Incident Command Posts, Bases, Camps, Staging Areas, Mass Casualty Triage Areas, and others as required.

9. **Resource 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.

10. **Information and Intelligence Management:** The incident management organization must establish a process for gathering, sharing, and managing incident-related information and intelligence.

11. **Integrated Communications:** Facilitate incident communications through the development and use of a common communications plan and interoperable communications processes and architectures.

12. **Transfer of Command:** Clearly establish the command function from the beginning of an incident. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations.

13. **Accountability:** 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 Incident Commander.
- **Incident Action Plan:** Response operations must be directed and coordinated as outlined in the IAP.
- **Unity of Command:** Assign each individual involved in incident operations 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.

14. **Deployment:** Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.