

## Facilitator/Instructor (I/F) Notes for the Instructional Video:

# Planning for Performance: Applying the Incident Command System's Planning Cycle to a Major Health, Medical, and Law Enforcement Emergency

Notes and video available through <http://www.mchealth.org/emergprep/ICSvideo.shtml>

**Purpose.** Help the Instructor/Facilitator (I/F) to use the instructional video to meet the learning objectives of various individuals or groups. The website cites free and nominal cost sources to obtain the video.

**Instructor/Facilitator.** The I/F ideally is a qualified instructor of the National Incident Management System's (NIMS) Incident Command System's (ICS) intermediate course (ICS-300) who knows the ICS experience and interests of the viewer. The suggested approaches of this document may help preparations.

**Who is the viewer?** This video is for anyone who needs to understand the importance and value of the Incident Command System's Planning Cycle, and how it methodically aligns strategies, resources, and the response organization to attain objectives set for a future Operational Period. The many questions posed in the video allow the I/F to tailor his/her instructional objectives for varying lengths of training, and to viewers of varying experience levels. Categories of viewers and recommended session lengths include:

- **Intermediate ICS Course (ICS-300 or similar level) Participants.** The video may be played straight through (38 minutes long) in order to illustrate the whole planning process which is elaborated on during this 2-3 day course. Or it can be played and paused to address questions posed by the narrator during appropriate parts of the course. The video best illustrates "Unit 5: The Planning Process" of the FEMA ICS-300 course.
- **Experienced Incident Management Team Members** may review Planning Cycle concepts individually or as a team (full response team or a functional team) with pauses for dialog or activities. Plan for 1 to 4 hours depending on activities in response to the questions posed by the narrator.
- **Table top Exercise Participants.** Use the video scenario, or a scenario of the viewer's choice, and planning process to guide injects and discussion during a table-top exercise. Plan for 2 to 4 hours depending on the desired activities done after each posed question.
- **Elected and Agency Executives** have little time for comprehensive training, but may want to understand the ICS process that their incident command leaders (at EOC's and command posts) are expected to apply. The F/I may present the video and give brief explanations when the narrator poses questions. Plan for 1-2 hours depending on degree of elaboration and dialog during posed questions.

**Tailoring the Video to the Viewer.** With such a wide range of prospective viewers, the I/F needs to craft instructional objectives that apply to the viewer's experience and the time available, and present the video in a way that meets those objectives. A suggested approach to planning the instruction is to:

1. *Consider the emergency response role and level of ICS experience of the viewer.* Ideally, the viewer will at least have taken a basic ICS course (ICS-200 level). For less qualified viewers, the I/F will need to fill in more details, such as the basic ICS organization, functions, and position descriptions.
2. *Consider the time available* (An hour for an Executive briefing? A 4 hour short-course? Playing the video straight through for big picture perspective of the Planning Cycle? Play video segments over the length of a several day ICS course?)

## Facilitator/Instructor Notes (continued)

3. *Determine instructional objectives* (In addition to the basic video objective to understand how the ICS Planning Cycle methodically aligns strategies, resources, and the response organization to attain objectives set for a future Operational Period).
4. *Determine whether to use an alternative scenario* of different scope, complexity, disciplines, or risks.<sup>1</sup>
5. *Identify the posed questions that are important* to your instructional objectives.
6. *Determine handouts that will support your objectives*, or that give background that is not presented in the video (e.g. an ICS organization chart)
7. *Prepare your lecture, dialog facilitation, or instructions for group or individual activities to meet your objectives*. Consider the suggested approaches. Modify to suit.

**Handouts/References.** Choose handouts to reinforce and complement instructional objectives. This document and other handouts and references can be downloaded from <http://www.co.multnomah.or.us/health/emergprep/ICSvideo.shtml> .

### Instructor References:

1. Instructor/Facilitator Notes for use of the video (this document)
2. Full documentation of scenario that is briefly described in the video.

### Recommended Handouts:

3. ICS Organization Chart
4. Basic Planning 'P' Graphic <sup>2</sup>

### Optional Handouts (consider the instruction objectives, viewer, and time available):

5. Planning Wheels or Planning 'P's that are customized to ICS functions
6. Incident Briefing Form (ICS 201 and a filled out example)
7. Incident Action Plan (sample filled out ICS forms 202, 203 or 207, 204, 205, 206)
8. Recommended Staffing Guideline Table
9. Work Analysis Matrix
10. Operational Planning Worksheet (Form ICS-215)
11. Planning Cycle Meetings: desired outcome, participants, and agenda for different meetings; agenda of Planning Meeting and Operational Briefing may slightly differ from the agenda presented on the video.

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<sup>1</sup> Note: The posed scenario is large and complex. It affects a metropolitan region and demands a regional, multi-agency approach. An alternative scenario only needs to exceed incident duration, size, and complexity thresholds that would cause your Incident/Unified Commanders (IC/UC) to require that a formal Incident Action Plan be prepared as the blueprint for operations during a future Operational Period.

<sup>2</sup> Adapted from U. S. Coast Guard I-300 curriculum, note the change from video's FEMA version's planning P depicted in the video, that is the formal inclusion of the Command and General Staff meeting as the forum for sharing objectives (and other matters), and a block of time to prepare for the Tactics Meeting.

**Facilitator/Instructor Notes (continued)**

| Segment Start at min:sec | Segment Length min:sec | <p align="center"><b>Segment Summary, Posed Question <i>(in italic font)</i>, and Suggested Instructor/Facilitator (I/F) Approach</b><br/><i>(times do not include pauses for dialog)</i></p>  |
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|                          |                        | <p><u>Suggested I/F Approach before playing the video:</u></p> <ol style="list-style-type: none"> <li>1. Introductions.</li> <li>2. Present the basic objective to, “Understand how the Incident Command System Planning Cycle methodically aligns strategies, resources, and the response organization to meet the most important objectives of a given Operational Period;” and any additional objectives.</li> <li>3. Explain how video will be used as an instructional aid.</li> <li>4. Note whether the group will use the posed scenario as the basis for activities and responses to posed questions, or that another scenario will introduced.</li> </ol>   |
| 00:00                    | 01:45                  | <p><b>Introduction</b></p>   |
| 01:45                    | 02:05                  | <p><b>A. Growing Threat, Inciting Incident</b><br/>           In the past 2 days there have been rapidly increasing numbers of patients with severe flu-like symptoms requiring hospitalization. Yesterday, the State Laboratory confirmed a diagnosis of pneumonic plague, a severe, highly contagious, and usually deadly disease. The disease appears to have been released four days ago at a public festival attended by over 300,000 people. <b>Posed Question:</b> <i>Pause to elaborate on this major health, medical, law enforcement scenario or introduce the scenario that you will develop and discuss during the remaining pauses in this program.</i></p> <p><u>Suggested I/F approach at this pause:</u> Either accept the presented scenario as the basis for activities and responses to future posed questions, or present your alternative scenario. Although there are few details to the presented scenario, those details are adequate for addressing the posed questions. Additional details of the posed scenario may be drawn from reference 2 noted above.</p>  |
| 03:50                    | 02:20                  | <p><b>B. Barriers to an Effective, Efficient Response</b><br/>           The initial response to a large incident may occur in a quickly changing, information poor environment. Many organizations may respond independently and ‘surround the problems’ with poorly coordinated, inefficiently deployed resources. Major incidents may be further complicated if multiple response organizations are activated; for example multiple jurisdictional Emergency Operation Centers, multiple Agency/Department Operation Centers, operation centers at private organizations (e.g. hospitals, corporate offices), and multiple Incident Command Posts. <b>Posed Question:</b> <i>Pause here to consider challenges for Command, Planning, Logistics, and Finance/Admin at this ICP, and how the Incident Command Post functions differ from those of EOCs and DOCs.</i></p> <p><u>Suggested I/F approach at this pause:</u> For a brief pause, the I/F can answer the question or solicit viewer thoughts and comment on them.</p> <p>For a longer group activity, divide viewer into small groups. Each group can do the full task, or to save time assign a piece of the task to each group. First ask each group to identify and justify the top 2 or 3 initial priorities for each Command and General Staff function at this formative</p> |

**Facilitator/Instructor Notes (continued)**

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|       |       | <p>stage of the rapidly expanding response. For example:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> IC/UC - set objectives;</li> <li><input type="checkbox"/> LO - identify supporting and cooperation organizations and their Agency Representatives;</li> <li><input type="checkbox"/> SO – identify immediate hazards and mitigations;</li> <li><input type="checkbox"/> OSC – establish leadership of ongoing operations;</li> <li><input type="checkbox"/> PSC – gather information to establish situational and resource picture;</li> <li><input type="checkbox"/> LSC – Establish ordering points and ordering process</li> <li><input type="checkbox"/> F/ASC – Establish time accounting requirements</li> </ul> <p>Each group reports its results and is critiqued by other groups and the I/F.</p> <p>Then ask groups to identify the response organizations are likely to be activated for this or your major incident [e.g. Emergency Operation Centers (city, county, hospital, law enforcement) (EOCs), Ordering Points, Dispatchers, Department or Agency Operation Centers (DOCs or AOCs), Incident Command Post(s)(ICP), Emergency Coordination Centers (ECC), Area Command(s), and other response organizations]. Define the hierarchy and the nature of relationships between them. Is it a support, coordination, collaboration, command/control relationship? Have the groups develop and report their answers. This is a great opportunity for dialog and teaching. What is the best relationship between the noted organizations? Are the proposed or planned relationships consistent with the National Incident Management System’s (NIMS) Incident Command System? How? Why? If the current reality in your area is not consistent with NIMS ICS, why?</p>                            |
| 06:10 | 03:50 | <p><b>C. Transition from Initial Response Operations to Planning Cycles for Operational Periods</b></p> <p>Factors such as the duration, complexity, and number of assisting and cooperating organizations influence the decision to transition from the verbal or simply documented action plan to a formal planning process. <b>Posed Question:</b> <i>Pause here to consider your criteria for transitioning from a verbal Incident Action Plan (IAP) to a written plan created by a formal process. What additional staff are needed to conduct a formal planning process?</i></p> <p><u>Suggested I/F approach at this pause:</u> For a brief pause, describe the purpose of the IAP, when a verbal or simple written IAP (the ICS 201 Incident Briefing form) is required, and when a formal IAP and planning process is required,. Note staffing levels that are needed to produce a formal IAP (see Handout 8). If viewers are not familiar with an ICS 201 or the components of a full Incident Action Plan (IAP), familiarize them. These can be optional handouts (Handouts 6 and 7).</p> <p>For an extended group activity, after the above brief description, brainstorm criteria and thresholds that suggest that the IC/UC should transition from a:</p> <ul style="list-style-type: none"> <li>➤ verbal IAP to the ICS-201 Incident Briefing form being the written IAP,</li> <li>➤ from an ICS-201 Incident Briefing form serving as the written IAP, to a formal IAP developed using a formal planning process.</li> </ul> <p>When the IC/UC orders a formal planning process to create an IAP for a future operational period, ask if the initial response organization that is mostly comprised of resources assigned to the Operations Section can do this? Why not? Review the functions of the ICS organization</p> |

**Facilitator/Instructor Notes (continued)**

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|  |  | <p>other than ICS and their key contributions to a planning process. There can be general dialog based on previous I-200 level training. For example, that the Planning Section will require personnel to accurately depict the situation and resource deployments. A more experienced group will offer more detail and depth, for example they might suggest that Technical Specialists are needed to develop detailed operational strategies based on plans, conditions, and other factors.</p> <p>The Recommended Staffing Guidelines (Handout 6) illustrate the need to align support functions to the size of expected operations.</p> |
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| 10:00 | 02:00 | <p><b>Step 1. Develop and Share SMART Objectives for Defined Operational Period</b></p> <p>The Incident/Unified Commanders initiate a formal planning process by developing objectives for a specific, defined operational period and sharing that information with the Command and General Staff. Those objectives should be SMART (Specific, Measurable, Assignable, Reasonable, Time-related). <b>Posed Question:</b> <i>Pause to consider the meaning of each component of SMART, and how to change these Objectives, or the objectives of your scenario, to SMART Objectives:</i></p> <ol style="list-style-type: none"> <li>1. Meds to 300,000 people</li> <li>2. Establish 6 Medical Care Points, each doubling its ER capacity</li> <li>3. Investigate 200 cases/day (joint PH/LE)</li> <li>4. Target messages to inform, and reduce fear, support operations.</li> <li>5. Protect responders</li> </ol> <p><u>Suggested I/F approach at this pause:</u> For a brief pause, simply give examples of SMART objectives. The I/F may wish to share a personal favorite variation of the SMART memory aid.</p> <p>For a longer pause, describe the difference between a goal, objective, strategy, and tactic. Protecting a community from flooding if a weakened dam breaches is a common example. The goal is to prevent flooding. An initial objective might be to lower the reservoir water level to 3 feet from overflowing in the next 6 hours. One strategy option might be to use pumps of sufficient capacity to remove water by the deadline. A tactic for executing this strategy is to send 3 crews, each with a truck, 2-4,000 gpm pumps, 600 feet of hose, and a fuel truck (adequately equipped, staffed, and supported to meet the objective). Note the importance of breaking a large objective into pieces that are ultimately assigned to organizational units. The Work Analysis Matrix (see optional handouts) can be presented as a tool to help the process.</p> <p>If time allows more emphasis on this topic, divide viewers into teams and have them develop SMART objectives that are developed using the Work Analysis Matrix.</p> |
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| 12:00 | 01:30 | <p><b>Step 2. Schedule the Planning Cycle</b></p> <p>The Planning Section Chief schedules and facilitates meetings that are milestones of a Planning Cycle. In this scenario, the Planning Cycle is very ambitious. It occurs in the next 8 hours as follows, for a 24 hour Operational Period that begins at 1600.</p> <p>Planning Cycle Schedule for [date]:</p> <p>0700 UC Objectives Meeting</p> <p>0800 Command and General Staff Meeting</p> |
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**Facilitator/Instructor Notes (continued)**

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|       |       | <p>0830 Tactics Meeting<br/>           0900-1200 Planning Meeting Preparation<br/>           1230 Planning Meeting<br/>           1300-1500 Incident Action Plan Completed, Approved<br/>           1530 Operational Briefing<br/>           1600 Operational Period Begins</p> <p><b>Posed Question:</b> <i>Pause here to consider criteria for Planning Cycle schedule. Develop Planning Cycle schedules for different Operational Periods, for example, what if the next Operational Period began in 4 hours? Or 18 hours?</i></p> <p><u>Suggested I/F approach at this pause:</u> For a brief pause, simply note the importance that each scheduled ‘milestone’ of the Planning Cycle needs sufficient time for the staff to adequately prepare. Describe why it may be unreasonable to expect that a quality, well, supported plan can be produced in 4 hours, or even the 8 hours.</p> <p>The remainder of this video emphasizes that time is needed to properly prepare for milestones in the planning process. 12-18 hours is a more reasonable period to develop the first IAP. While the first ‘formal’ IAP is being developed, emphasize that the ICS-201 should continue to be updated and used as the interim IAP.</p>   |
| 13:30 | 01:50 | <p><b>Step 3. Tactics Meeting – Align organization, strategies, resources to the ‘SMART’ Objectives</b></p> <p>The Tactics meeting develops completes the development of the organization, strategies, work assignments and resources required to attain the objectives. <b>Posed Question:</b> <i>Pause here to use the ICS 215 Operational Planning form to design the operational organization, assignments, and resources to meet Operational Period Objectives.</i></p> <p><u>Suggested I/F approach at this pause:</u> Consider handing out a Tactics Meeting agenda (part of Optional Handouts 11). Review the knowledge and experience of meeting participants as they translate objectives into the needed operational organization.</p> <p>During a short pause, describe the process of translating Objectives into an organization, assignments, and resource needs. Note that productivity standards must be known or estimated (see earlier use of the Work Analysis Matrix). A formal plan might detail a staffing, layout, supply standards to meet a productivity expectation. This ‘work unit’ can be replicated as many times as needed to meet the objective.</p> <p>During a longer pause, demonstrate the use of the ICS-215 form (Optional Handout 10). If available, use an enlarged plastic coated version of the form. Note how the pervious use of the Operational Matrix helps to choose the strategies, tactics, and logistics that will be reflected on the ICS-215. Note that the Tactics Meeting can only be brief if participants begin the process before this meeting.</p> |
| 15:05 | 02:05 | <p><b>Step 4. Preparing for the Planning Meeting</b></p> <p>Tactics Meeting outcomes must be quickly shared with Command Post leaders and staff. Now they have a specific organization to staff and support. They have a short time to prepare for a Planning Meeting where they must confirm that the Organization (Resources) + Supporting Supplies/Services + Procedures/Protocols + Facilities will be sufficient to meet Operational</p>   |

**Facilitator/Instructor Notes (continued)**

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|       |       | <p>Period Objectives. <b>Posed Question:</b> <i>For the given scenario, or your own, consider what types of preparations must be made for each of the following positions to balance this equation: Organization (Resources) + Supporting Supplies/Services + Procedures/Protocols + Facilities = Operational Period Objectives</i></p> <p><u>Suggested I/F approach at this pause:</u> For a brief pause, give examples of organizational functions contributing to parts of the equation. You might just play through the next 8 segments without pausing after each one.</p> <p>For a longer pauses at this point and after each of the following pieces on Command and General Staff functions, draw a large matrix. In the left column, label the rows with ICS Command and General Staff functions. On the top row, label each column with an element of the equation. Choose a sample SMART objective to apply to the matrix. At each of the next eight pauses, stop the video and to brainstorm and make brief notes of what that function is expected to contribute to providing or supporting a needed element of the equation. When completed, ask the group if the collective contributions will result in assurance that the objective will be executed.</p>                                   |
| 17:10 | 01:30 | <ul style="list-style-type: none"> <li>• <b>Unified Command</b></li> </ul>  |
| 18:40 | 01:15 | <ul style="list-style-type: none"> <li>• <b>Safety</b></li> </ul>   |
| 19:55 | 00:50 | <ul style="list-style-type: none"> <li>• <b>Liaison</b></li> </ul>  |
| 20:45 | 01:40 | <ul style="list-style-type: none"> <li>• <b>Public Information</b></li> </ul>   |
| 22:25 | 3:30  | <ul style="list-style-type: none"> <li>• <b>Operations</b></li> </ul>   |
|       |       | <ul style="list-style-type: none"> <li>• <b>Planning</b></li> </ul>   |
| 25:25 | 2:10  | <ul style="list-style-type: none"> <li>• <b>Logistics</b></li> </ul>  |
| 27:35 | 02:00 | <ul style="list-style-type: none"> <li>• <b>Finance/Administration</b></li> </ul>   |
| 29:35 | 2:35  | <p><b>Step 5. Planning Meeting – Ensure that Organization will be Aligned to Meet Objectives.</b> The main required outcome of the planning meeting is agreement by all command and general staff that the upcoming Operational Period Objectives can be fully supported and executed, and to adjust objectives that cannot be achieved due to resource shortfalls or changing operational conditions. That is the Planning Meeting confirms that this equation will be balanced at the next Operational Period:</p> $\text{Organization (Resources) + Supporting Supplies/Services + Procedures/Protocols + Facilities = Achieved Operational Period Objectives}$ <p><b>Posed Question:</b> <i>Pause here to create an operations organization, strategies and assignments, and major resources that will meet Operational Period Objectives. What if the Safety Officer imposed respirator standards requiring fit testing the thousands of staff required to dispense medicine to 300,000 persons in the next 24 hours, thereby reducing the medicine dispensed in this period by half?</i></p> <p><u>Suggested I/F Approach:</u> If this pause is brief, introduce a changed condition or a resource scarcity (such as the posed question) that will prevent attaining an objective. Lead dialog to</p> |

## Facilitator/Instructor Notes (continued)

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|       |       | <p>determine what the IC/UC must do to attain the objective through possibly extraordinary means, reduce the scope of the objective, or eliminate or defer the objective.</p> <p>For a longer pause, lead dialog to further review the matrix that may have been completed during the previous pause. What needed contributions by various ICS functions may not have been arranged. What would the impact on the objective be? What choices might the IC/UC have?</p>   |
| 32:10 | 00:10 | <p><b>Step 6. Finalize, Approve, Print Incident Action Plan (IAP)</b><br/>Those responsible for different parts of the Incident Action Plan now finalize their work. The Planning Section Chief assembles the IAP, obtains Incident/Unified Command approval, and prints copies for the Operational Brief.</p>   |
| 32:20 | 03:20 | <p><b>Step 7. Operational Brief – Direct Operations to Execute Supported Incident Action Plan</b><br/>The IAP is briefed to Operations Supervisors and the Command and General Staff who will support Operations. <b>Posed Question:</b> <i>Pause here to consider and list how priorities, objectives, and lead disciplines change over the course of many operational periods.</i></p> <p><u>Suggested I/F approach at this pause:</u> For a short pause, present examples of changes over the course of the response. What happens when the scenario progresses (using the video scenario) to the point where there is no longer value to conducting disease investigation? What if the mass dispensing operation has is completed and disease incidence rapidly wanes? At some point the public health component of disease investigation shrinks while the law enforcement investigation may grow in relative importance. How will this change the shape of the response organization and supporting functions?</p> |
| 35:40 | 01:10 | <p><b>Conclusion:</b></p> <p>Review the 7 steps of the Planning Cycle:</p> <p>Step 1: Develop and Share ‘SMART’ Objectives for Defined Operational Period<br/>Step 2: Schedule the Planning Cycle<br/>Step 3: Tactics Meeting – Align organization, strategies, resources to the ‘SMART’ Objectives<br/>Step 4: Prepare for the Planning Meeting<br/>Step 5: Planning Meeting – Ensure that Organization will be able to Meet Objectives. If not, ‘SMARTen’ the Objectives<br/>Step 6: Finalize, Approve, Print Incident Action Plan<br/>Step 7: Operational Brief – Direct Operations to Execute Supported Incident Action Plan</p>   |
| 36:50 | 00:55 | <p>Credits against background of time-lapse photography of three mass vaccination/dispensing operations.</p>   |
| 37:45 |       | <p>End</p>   |

**Please share comments on Planning for Performance or these notes with:**

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