



**United States
Coast Guard**



Incident Command System

Documentation Unit Leader

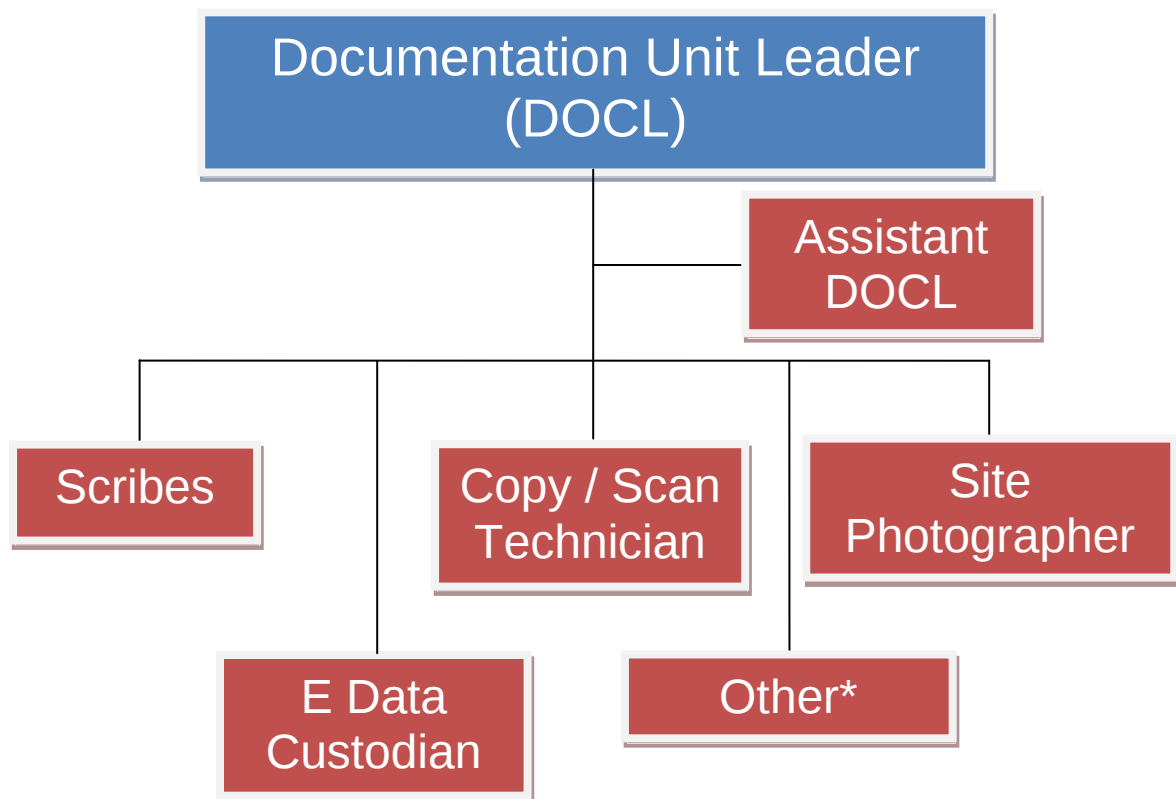
- DOCL -

Job Aid



November 2013

USCG DOCL Job Aid



* Other possible positions/assistance needed: Filing Clerks/Technicians, Photo Management Custodian, FOIA/Privacy Act Technician, Classified Materials Custodian, and Proprietary Information Custodian

Planning Section Resource CD

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1. Overview

1.1. User

The user of this Job Aid will be anyone who is assigned as Documentation Unit Leader (DOCL) within the National Incident Management System (NIMS) Incident Command System (ICS). This Job Aid is intended to be used as an on-the-job reference for qualified DOCLs.

1.2. When to Use

This Job Aid should be used to assist the DOCL whenever the ICS Organization is used.

1.3. Major Accomplishments

Below is a list of the major accomplishments:

- Pre-Assignment Actions
- Pre-Deployment Actions
- Actions Upon Arrival
- Obtain Situation Assessment
- Receive Initial Brief
- Activate the Documentation Unit
- Develop Documentation Unit Processes
- Manage Unit Personnel
- Manage Unit Activities
- Prepare the Incident Archive
- Demobilize the Documentation Unit

1.4. References

Below is a list of references that may be required while using of this job aid. This list is not all encompassing. Links to many of these can be found at <http://homeport.uscg.mil/ics/>:

- Incident Management Handbook (IMH)
COMDTPUB P3120.17
- National Incident Management System (NIMS)
- National Response Framework (NRF)
- USCG Type 3 Unit Leader Part A (CORE)
Performance Qualification Standard (PQS)
- USCG Type 3 Planning Unit Leader Positions Part B PQS
- Contingency Plans as appropriate
- USCG & DHS Records Management guidance
<http://www.uscg.mil/records>
- U.S. Historical Preservation Act (USHPA) Manual
- National Wild Fire Coordination Group Incident Management Records web page,
<http://www.nwcg.gov/policies/records/index.html>
- National Pollution Funds Center Technical Operating Procedures (TOPS) guidance
- USCG Freedom of Information Act (FOIA) & Privacy Act guidance <http://www.uscg.mil/foia/>
- Classified Information Management Program,
COMDTINST M5510.23
- Protection of Classified National Security Information Program Management, DHS Directive No. 11041

- Protection of Sensitive Security Information (SSI), 49 CFR 1520

1.5. Materials and Forms

A list of materials necessary is listed in Section 3.2, Documentation Unit Deployment Kit. Ensure these materials are available throughout the event.

Request resources via the incident's resource request process.

ICS Forms can be found on the Coast Guard ICS website at <http://homeport.uscg.mil/ics/>. Generally, the DOCL will have responsibility to collate and organize all incident documents instead of filling them out.

1.6. Other

In the context of this job aid, the word incident means incident, event or exercise unless otherwise noted.

Checklists

Pre-Assignment Actions

	Ensure personal readiness for assignment (See detail on page 15)
	Ensure DOCL certification is current (See detail on page 16)
	Assemble DOCL deployment kit (See detail on page 16)

Pre-Deployment Actions

	Receive assignment (See detail on page 17)
	Verify reporting location, date and time (See detail on page 17)
	Finalize personal readiness for assignment (See detail on page 17)
	Receive travel orders and order number (See detail on page 17)
	Make travel arrangements (See detail on page 18)
	Verify/Update personal deployment kit (See detail on page 18)
	Verify/Update DOCL deployment kit (See detail on page 18)

Check in to the Incident

	Check-in on the ICS 211 (See detail on page 19)
	Receive tasking (See detail on page 19)
	Check in with Finance (See detail on page 20)
	Check in with Logistics (See detail on page 20)
	Review Site Safety Plan (See detail on page 21)

Obtain Situation Assessment

	Review ICS 201 or IAP and Situation Status Display (See detail on page 22)
	What kind of incident? (See detail on page 22)
	Who are the key players? (See detail on page 23)
	When did the incident occur? (See detail on page 23)
	Where is the incident location/AOR? (See detail on page 23)
	What is the incident organization? (See detail on page 23)
	Obtain a meeting and briefing schedule (See detail on page 24)

Receive Initial Brief

	Define your role (See detail on page 25)
	Determine the size and complexity of incident (See detail on page 25)
	Obtain PSC expectations (See detail on page 26)
	Determine limitations and constraints (See detail on page 27)

Activate Documentation Unit

	Determine staffing requirements (See detail on page 28)
	Establish Documentation Unit work location (See detail on page 29)
	Organize and brief subordinates (See detail on page 31)
	Acquire work materials (See detail on page 32)
	Establish system to receive, organize & file all incoming documentation (See detail on page 33)
	Communicate the Documentation Process to the IMT (See detail on page 33)
	Begin/maintain Unit Activity Log, (ICS 214) (See detail on page 34)
	Establish collateral responsibilities within the unit (See detail on page 34)

Develop Documentation Unit Processes

	Establish method for organizing incident documentation (See detail on page 35)
	Establish process for handling classified and sensitive security material (if needed) (See detail on page 35)
	Determine and identify method for tracking correspondence (See detail on page 36)
	Determine electronic data management procedures (See detail on page 36)
	Establish system for handling FOIA requests (See detail on page 36)
	Establish system to prepare the documents and material for the incident archive (See detail on page 36)

Manage and Maintain Unit Activities

	Provide duplication and electronic transmission services (See detail on page 37)
	Compare documentation being collected with assessment of overall activities (See detail on page 37)
	Review documentation for accuracy and completeness (See detail on page 38)
	Provide guidance on documentation unit activities and services to IMT (See detail on page 39)
	Review the draft demobilization plan (See detail on page 39)

Manage Unit Personnel

	Schedule a unit/family meeting (See detail on page 40)
	Provide On the Job Training (OJT) as appropriate (See detail on page 40)
	Forecast requirements (See detail on page 40)
	Evaluate and monitor unit performance (See detail on page 41)
	Evaluate and monitor personnel performance (See detail on page 41)

Prepare the Incident Archive

	Review the raw material gathered during the incident (See detail on page 41)
	Prepare and catalog the raw material for final disposition (See detail on page 42)
	Determine if there are substantial gaps in the documentation files (See detail on page 43)
	Determine final disposition of the archive (See detail on page 44)
	Determine need for archive copies (See detail on page 44)
	Establish a custodial process for the archive (See detail on page 44)
	Write the incident archive instruction (See detail on page 44)
	Develop Document Archive Data Management System (See detail on page Error! Bookmark not defined.)
	Complete the FOIA process (if needed) (See detail on page 45)

Demobilize Personnel and Unit

	Review approved demobilization plan (See detail on page 46)
	Supervise demobilization of unit personnel (See detail on page 46)
	Supervise demobilization of unit, including storage of supplies (See detail on page 47)

2. Detailed Instructions for Checklist Items

2.1. Pre-Assignment Actions

2.1.1. Personal Readiness.

Personal readiness includes: dependent, financial and personal readiness. Should you deploy without being personally ready, it will affect your ability to respond and cause a burden on the incident management team which now has to assist you with these issues.

- **Medical/Dental Readiness –**
 - For military members this means you are in the “green” in CG Business Intelligence (CGBI).
 - For civilians and auxiliarists, ensure you have no outstanding issues that would prevent you from being deployed. For example, you have a plan to ensure you have enough medications for the entire period of the deployment.
- **Uniforms –** You have enough uniforms and/or appropriate clothing for an expected deployment. A personal deployment kit (section 3.1) contains your personal items needed for the deployment.
- **Financial Readiness –** You need to be financially ready to deploy. This means ensuring your financial situation is in order.
 - Government travel credit card (GTCC) –check your GTCC limit. If you expect to be deployed

more than 30 days, your limit should be increased (example from \$2,500 to \$10,000).

- Ensuring bills will be paid while deployed.
- Family Readiness
 - Ensure you have a Dependent Care/Pet Care plan for when deployed. Please check www.uscg.mil/reserve/ for assistance.

2.1.2. Ensure DOCL certification is current (as per COMDTINST(s) and PQS)

- Mandated Training (MT)
- ICS training (e.g. ICS-100, 200, 300)
- Minimum training may also include incident specific training such as HAZWOPER refresher, cold weather survival, and anti-terrorism/force protection training.

2.1.3. Assemble DOCL Deployment Kit

- Prepare as many documents and assemble supplies as per the list in Section 3.2.

2.2. Pre-Deployment Actions

2.2.1. Receive Assignment

- You may receive your assignment in many ways; via message, phone call, supervisor, or on orders.

2.2.2. Verify reporting location, date & time

- You should verify reporting location, date and time, order number, as well as ICP contact numbers for assistance with check-in.

2.2.3. Finalize personal readiness for assignment

- Review the pre-assignment check list to ensure readiness for assignment which includes personal, dependent, and financial readiness.
- Notify your chain of command of any outstanding readiness issues. This may mean delaying deployment to resolve the issue.

2.2.4. Receive Travel Orders and Order Number

- As per Joint Federal Travel Regulations (JFTR) U2115. A written order issued by a competent authority is required for reimbursement of travel expenses; however U2115.B states that an urgent or unusual situation may require that travel begin before a written order can be given. Please refer to the JFTR to ensure all conditions are met when traveling under verbal orders.
 - The travel order number (TONO) and order number are generally different. The order

number will be used at check-in to verify the position that you will be filling. It usually follows the format: O- #### (O-101).

2.2.5. Make travel arrangements

- Obtain counseling on entitlements and responsibilities from a travel authorizing official and review the JFTR as necessary.
- Request cash advances as required.
- Make travel arrangements using approved CG travel method.

2.2.6. Verify/Update Personal Deployment Kit

Verify/Update your personal deployment kit (section 3.1) contains your personal items needed for the deployment and includes items like:

- Medications
- Uniforms and/or appropriate clothing
- Special PPE or special weather clothing required.
- Verify if any special PPE will be provided by the incident.

2.2.7. Verify/Update DOCL Deployment Kit

- Ensure manuals, forms and guides are current versions (electronic and paper).
- Ensure supplies are restocked from last deployment.

2.3. Check in to the Incident

2.3.1. Check-in on the ICS 211

Upon arrival at the incident, check-in at the Incident Command Post, Base, or Staging Area on the ICS 211.

- Check In - Ensure you have your Order Number available. This enables the Check-in Recorder (CHKN) to validate your assignment to the incident quickly.
 - The Order Number is generally in the following format: O374 (O is for Overhead, and the 3 digit number is assigned by Logistics)
 - In some cases the incident may be using the 16 digit government TONO assigned to you as the Order Number.
- On some incidents, credentials (badges) are created for all assigned personnel. If the incident is creating credentials, you should receive them when you check-in.
- The incident will want a number where you can be reached, your home base, how you got to the incident as well as any additional qualifications you may have.

2.3.2. Receive tasking

- The check-in recorders should be able to tell you how to get to the ICP or where you will be working within the incident.

2.3.3. Check in with Finance/Admin Section

- Travel Orders: Leave copy of orders or other travel documents with FSC or Admin Officer. More often than you realize, travel to an incident may take place on a unit TONO with the understanding that the incident will correct this when you arrive. Take care of this soon so it doesn't hold you up when you are ready to leave!

2.3.4. Check in with Logistics

- Berthing assignment: The incident is responsible for ensuring you have adequate berthing, unless you are locally based. If the incident is small, Logistics may ask you to make your own arrangements, or they may have already contracted with a local hotel for incident personnel. Even if you have made your own arrangements, Logistics should still be tracking where personnel are berthed
- Meal schedule: The size, complexity and location of an incident will impact the availability of meals. On most Coast Guard responses, meals are the responsibility of the individual. If meals are provided the incident generally tracks who got a meal and the individual is required to make the appropriate modification to their travel claim.
- Consumables: Determine where to obtain necessary materials for the unit (e.g. copy paper, pens, markers, etc.).

2.3.5. Review Site Safety Plan

- All overhead personnel and tactical resources (Operational personnel) must review the incident specific Site Safety Plan and sign the Worker Acknowledgement Form.
- A copy of the Site Safety Plan may be found at Check-in, Staging Areas, and in the Command Post in the Operations Section Chief and Site Safety Officer's work area.
- On large incidents it may also be posted in areas near the meal area and any other place large groups of people will congregate.
- Periodically review the Site Safety Plan to learn about any additions and updates to the Plan.

2.4. Situation Assessment

The following tasks should be accomplished after checking-in to the incident.

2.4.1. Review the current ICS 201 and/or IAP

- The purpose of this task is to acquire additional background on the incident prior to starting your assignment.
- Regardless of when you arrive at an incident, there is usually very little time for someone else to brief you.
- You need to find out the Who, What, When, Where, Incident Organization, and Resources related to the incident:

2.4.2. **What** is the incident (SAR, oil/hazmat, LE, natural disaster, etc.)?

- This gives you an idea of the resources that should be operating in theatre.
- Determine if the incident is Type I, II, or III

2.4.3. Determine the **size and complexity** of the incident:

- Who are you working for/How large is the Incident Management Team (IMT)?
- Is the incident expanding or contracting?
- What is the press interest?

2.4.4. **Who** are key players (Federal, State, local, industry)?

- This may give you some insight into why Command is setting particular objectives as well as the boundaries of the incident AOR.
- One of the most important considerations to the IMT is the local community they are serving. Do you know what their goals/expectations of you are as the IMT?

2.4.5. **When** did the incident take place?

- An incident changes character over time including; survival rates, weathering of oil, potential contaminants, vessel stability, etc.

2.4.6. **Where** did the incident take place?

- Do you know the unit Area of Responsibility (AOR)? If so, you have an advantage in knowing relationships, geography, local plans, etc. If not, you must spend some time getting to know the area.
- What is the difference between the unit AOR and the incident AOR? Generally, there should be a difference.
- Ensure you are aware of any community issues, sensitive areas, and endangered species within the incident AOR.

2.4.7. What is the incident **organization**?

You must know who is in your direct chain of command as well as other key players such as the Incident Commander(s), Operations Section Chief (OSC), Logistics Section Chief (LSC), Finance Section Chief (FSC), and Safety Officer (SOFR).

2.4.8. Obtain a meeting and briefing schedule

- When is the next meeting or briefing that should be attended?

2.5. Receive Initial Brief

The initial briefing is the opportunity for the DOCL to receive additional details about their incident assignment. Depending on the phase and/or size of the incident, you may or may not get a chance to spend this time with the Planning Section Chief and/or Deputy PSC before you start working. If you are NOT able to attend this brief, you may be able to be briefed by the current DOCL, the SITL or other Planning Section personnel.

2.5.1. Define your role

- How big a role are you playing? Are you playing the role of DOCL and another unit leader (dual-hatted)?
- Do you have the experience for the role you are playing?
- Consider that some incidents require a direct link between the IC and the DOCL.
- Ensure you take the long view to ensure Documentation is memorializing the decisions and data relevant to the incident from a future perspective.
- Does the DOCL have authority from the PSC to request resources?

2.5.2. Determine the size and complexity of incident:

- Is the incident expanding or contracting?
- What are the work hours?

- Will there be day/night operational periods?
- Who are you working for (Incident Command, Area Command, etc.)?
- Is the incident Type I, II or III?
- What current staff is available?
- Have Documentation facilities been established?
 - Where and how are current documents being stored?
 - Have classified documents been collected or need to be collected?
- What equipment is available for reproduction of the IAP?
 - Is there a dedicated commercial copy machine available?
 - Do you only have access to a home-use all-in-one printer/copy/scan/fax machine?

2.5.3. Obtain PSC expectations

PSC's come with many different levels of expertise and experience. In a multi-hazard, multi-jurisdictional incident it is possible and even probable that the PSC does not have expertise in Documentation.

- Does Command and/or PSC want a briefing from you on the process and procedures you typically use?
- How often does PSC want to be updated? What are their trigger points?

- What are the PSCs expectations for the DOCL to attend meeting/briefing, write summaries and provide scribe notes?
- When is the next meeting or briefing that should be attended?
- What role does the PSC expect the DOCL to fill in producing/re-producing the IAP for the Operations Brief?

2.5.4. Determine limitations and constraints

- Even if you lack experience or expertise, can you bring on an assistant and/or staff with the appropriate background?
- Special concerns (e.g. documenting command decisions, documentation staff needed for command or other IMT members (i.e. scribes)). See section 2.6 Activate Documentation Unit for more information.
- Understand resource request process so you can request staff and support.
- Critical Information Requirements and reporting expectations.

2.6. Activate Documentation Unit

2.6.1. Determine Staffing requirements.

The IMH Chapter 12 notes only 1 DOCL is required for all incidents. One size does not fit all. General staffing levels are based on size of the incident, complexity of the incident, incident stage (initial build-up, middle, demobilization), and operational periods.

With the exception of simple Type 3 incidents, you should get an initial request in as soon as possible for the appropriate staff. First, you should consider what your needs are. The below table is an example of possible Documentation Unit staffing needs and does NOT consider shift work for 24 hour operations. Remember that it is a lot easier to demobilize personnel than to overwork your existing personnel to support your requirements.

Position	Quantity
Assistant DOCL	1
Scribe	2
Site Photographer	1

Technical Specialist staff you may need:

- Scribe (for Command and/or other IMT staff to document meetings, key decisions, etc.) Consider the fact that scribes can be overwhelmed by long meetings and need time to properly document

their notes. A rotating pair of scribes may be necessary for the incident to ensure comprehensive note taking.

- Copy/Fax technician
- Scanning Technician (to scan documents as they come in to be filed)
- Site photographer to document IMT activities separate from PIO. This person should not be a Public Affairs specialist.
- Filing clerks/technicians
- Photo management custodian
- Electronic data management custodian
- FOIA/Privacy Act Technician
- Classified materials custodian
- Proprietary Information custodian

2.6.2. Request staff in accordance with the incident resource request process.

The ICS 213RR-CG (see example in Section 3.10) is typically used for requests for personnel.

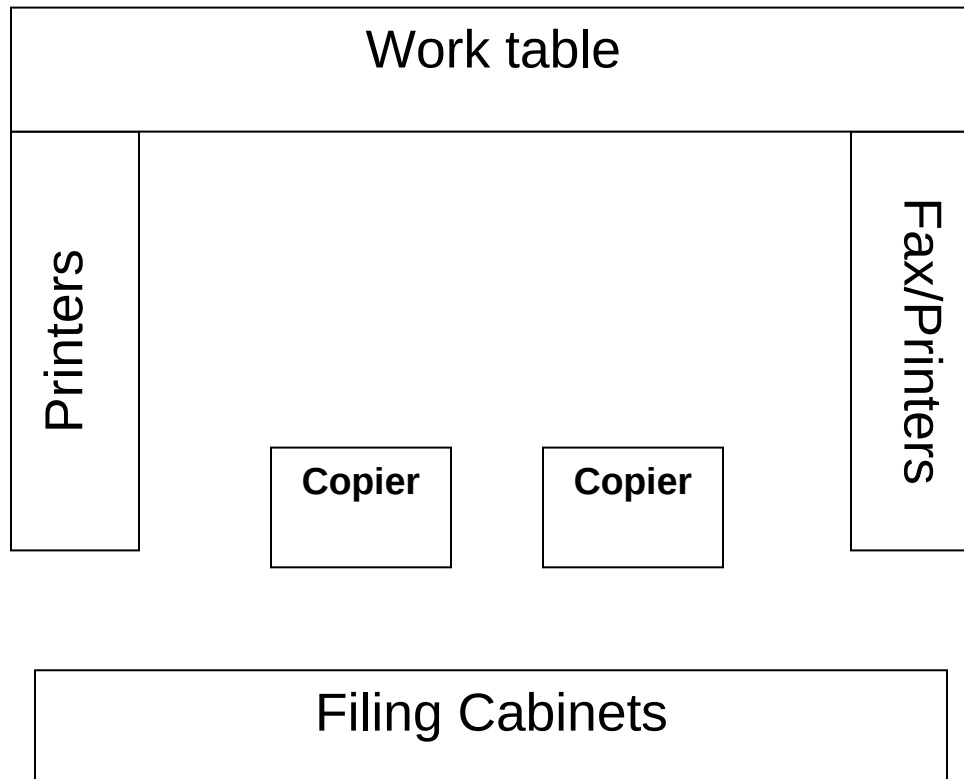
2.6.3. Establish a work location

The Documentation Unit work area in the Incident Command Post (ICP) is the space for the management of documentation functions.

Therefore, the space must be designed to be conducive for managing these activities. A rough guide to space needs can be found on the ICS 235

facility needs assessment worksheet (see Section 3.12).

- In an ideal situation, ALL the printers and copy machines, and fax machines are in Documentation Unit spaces. This may seem inconvenient for other sections; however this ensures that DOCL is getting all the printed material from the incident when it is created. Consider working with COML to make this happen.
- Placing the Documentation Unit in the middle of the ICP ensures that everyone is able to easily provide and receive the documentation produced.
- Ensure there is adequate space for filing system of inboxes and copy machines including extra for possible expansion if necessary. A suggested diagram is found below.
- Consider traffic flow for people dropping off documents and people requesting duplication services.
- Ensure your work area is clearly marked with DOCL signs and document drop-off area signs.

Example Documentation Unit Work Location**2.6.4. Organize and brief subordinates**

- Identify the immediate information demands (e.g. copy services) and organize your personnel to meet those demands until additional personnel report.
- Conduct the initial unit/family meeting as outlined in section 3.12 to establish guidelines, expectations, work schedule, etc. Ensure your personnel are aware of the function of the Documentation Unit (i.e. you are not only a copy service; you are responsible for the incident archive).
- Outline resource request process to subordinates.

- Develop an Organization Chart for the unit to identify roles and highlight span of control issues.
- Evaluate the span of control within the unit and request/assign additional personnel to maintain proper management ratios (i.e. assign Assistant(s) or THSP(s)).

2.6.5. Acquire work materials

Acquire the appropriate equipment and consumable materials/ supplies. You should have a starting point with supplies that are already in the Documentation Unit Deployment Kit as listed section 3.2. If you utilized supplies from a kit, order replacement supplies as soon as possible and switch over to incident supplies.

- When ordering supplies be specific about your requirements (e.g. locking 4-drawer standing filing cabinet, legal versus letter size 5-tab hanging file folders, 500 Gigabyte secure portable hard drive, etc.).
- Request resources in accordance with the incident resource request process (ICS 213RR-CG, section 3.10).

2.6.6. Establish system to receive, organize and file all incoming documentation.

- By law (40 CFR 300.160 and DHS policy) the IC is responsible for collecting and maintaining the

incident data for historical purposes and possible future litigation.

- Identify how and kinds of documents being collected. See Sections 3.4, **Error! Reference source not found.**, and 3.5 for more information.
- Set up system to collect the documents (hard copy and electronic).
 - E.G. Drop boxes, inboxes at each function, and/or runners
 - To prevent accidental disposal of incident documents insist on only one shredder located in the Documentation Unit workspace and label trash cans to prevent accidental disposal of documents

2.6.7. Communicate the Documentation Process to the IMT.

- Meet with Section Chiefs to discuss the importance of correctly filed incident documentation and the review process.
- It is a good practice to ask for all documents to be signed in blue ink. This helps when copying to see what is the original versus the copy, which will show up in black. In addition, some legal requirements require signatures in blue ink.
- Ensure you have a place in the meetings to be a bit of an investigator. You must ensure that all that is developed and produced at meetings is

being collected. You must adequately capture all decisions, work products, plans, etc.

- Emphasize the importance that documents be filed correctly and completely the first time to avoid any further work.
- Consider contracting the copy service to an outside unit to avoid being drawn out of the incident archive responsibility into copy, laminating, etc. for incident personnel.
- Ensure you are coordinating with the FSC to determine burn rates to ensure you know when the limits are close to being met.

2.6.8. Begin/maintain Unit Activity Logs

- Complete unit log (ICS 214).
- Consider assigning unit personnel to maintain running unit event log (chronology of events).

2.6.9. Establish collateral responsibilities within the unit

- For smaller incidents, there may not be a need to bring in additional personnel to staff all needed IMT functions.
- One person may fill the role of two or more Unit leaders. If you are filling the role of DOCL and another unit leader (dual-hatted), obtain and review that Unit's Job Aid.

2.7. Develop Documentation Unit Processes

2.7.1. Establish method for organizing incident documentation

Files are collected by category first and then by date.

- By Category: See Section 3.4 for a list of filing categories.
- By Date: Files organized by date within their category for easy review of daily activities and can be used for after-action reporting to recreate response time lines.
- By IMT Position/category: Files organized by IMT position allows the DOCL to quickly locate key documents that may need to be reproduced or faxed (i.e. Command Decision Memos, Mishap Reports, all ICS 213RR-CG forms). Files organized by response organization should also be sub-organized by date.

2.7.2. Establish process for handling classified and sensitive security material (if needed)

- Ensure you have the appropriate clearance if the incident contains classified data.
- Consider writing a historian memo to point to where classified data is being stored.
- Ensure you are following the agency protocol (i.e. DHS, DOD, DOI, etc.) for handling of classified material.

2.7.3. Determine electronic data management procedures

- Establish a relationship with the COML to determine the process in which all electronic data can be archived. The ideal situation is to have a dedicated server for each section (FSC, PSC, OSC, LSC) to store daily incident data.
 - Digital photographs with a log of what they are and where they are taken
 - Incident e-mails
 - Blog posts, tweets, chats, status updates, etc.
 - Other electronic media
- Communicate with the local CG Electronic Support Unit/Detachment to set up a CG network and computers (if needed).

2.7.4. Lay out the policy for handling FOIA requests

- All FOIA requests should go through CG headquarters. You should not be providing documents in response to a FOIA request to any outside entity without HQ approval.

2.8. Manage and Maintain Unit Activities

2.8.1. Provide duplication and electronic transmission services

Although this is not your main responsibility, incident personnel will come to you for this service. If it becomes a burden and takes you away from your primary function:

- You may want to bring in a duplication service.
- Consider sensitive or classified material requirements.

2.8.2. Compare documentation currently being collected with assessment of overall activities.

- Determine who will be responsible for reviewing all documentation that is submitted.
- Document decisions made in meetings that aren't documented elsewhere in a historian memo and file in correspondence.
- Ensure an adequate system is in place to document digital photography from the incident.
 - Establish a system of logs to document description of photo, who took the photo, and when it was taken as well as electronic filing system.
- Review submitted documentation and ensure it contains basic information.

- The originator's position (LSC, SITL, COSTL, the name of the division/group/branch for Operations)
- Date (04 Aug 2010), time (1345 hrs), and Operational Period (1800-0600)
- Correct documentation defects if they occur.
 - If the defects are incidental then correct the defect immediately. For all pen and ink changes, ensure they are done in blue ink and initialed.
 - If the defects are systemic, meet with the relevant supervisor to design a solution that will meet the documentation need of the incident with a minimum amount of operational intrusion possible.
- Ensure there is adequate capability in your work section to accommodate storage of the massive amount of paper that is generated with even a small incident.
- All documentation needs to be secured under lock and key for future reference during post-incident review (see 40 CFR 300.315(d) for specific requirements for oil/hazmat incidents).

2.8.3. Review documentation for accuracy and completeness

- Assign support personnel to review incoming paperwork for completeness and correctness.

- Return all incomplete paperwork to the originator for completion.
- Assign personnel to handle requests for documentation reproduction from other IMT members.

2.8.4. Review the draft demobilization plan

- Review methodology for determining resources ready for demobilization
 - Time on scene, statutory limitations, etc.
- Ensure that DOCL will be one of the places visited during demobilization (e.g. has signature on every ICS 221).

Note: The demobilization process provides an excellent (and usually last) opportunity to collect documentation from field units including log books, electronic files, e-mails, and site photos.

2.9. Manage Unit Personnel

2.9.1. Schedule unit/family meeting (see detail in Section 3.12)

- At least one per operational period.
- If necessary, one per unit shift.
- Brief subordinates on work assignments.
- Set and post expectations for unit personnel to review.

2.9.2 Provide on the Job Training (OJT) as appropriate

- ICS position specific training.
- Equipment training (digital cameras, office equipment, etc.).

2.9.2. Forecast personnel requirements

- Rotations – Identify need for replacements as soon as possible.
- Shift work – The unit will need to expand and contract the number of shifts depending on incident needs (e.g. multiple vs. daytime only, etc.).
- Work-life (e.g. time-off, morale events, etc.).
- Processes – Evaluate current processes and determine need for modifications, or additions as necessary.

2.9.3. Evaluate & monitor unit performance

(See detail in section 3.14 and 3.15)

- Is unit functioning as a team?
- Is unit producing the products required by PSC?
- Are customers satisfied with DOCL services?

2.9.4. Evaluate and monitor personnel performance

- Use Incident Personnel Performance Rating (ICS 225-CG). See example form Section 3.16.
- Submit unit/personnel for recognition.

2.10. Prepare the Incident Archive

It is important to state your primary job as DOCL is to ensure the material collected at the incident is maintained and archived for historical purposes and potential future litigation. Your responsibility is to the IC and to the long term view of the incident.

2.10.1 Review the raw material gathered during the incident

- Locate a large work area near the final location of the archive and set up several large folding tables to unpack the boxes of materials and ascertain the nature of each document.
- Submit requests for filing cabinets in accordance with the incident resource ordering process (e.g. ICS 213RR-CG).

2.10.2. Prepare and catalog the raw material for final disposition

- Establish a comprehensive and complete system of sorting and filing the raw material collected from the incident.
 - This will most likely be divided by sub categories or activities (e.g. Ops, Finance, and Personnel). See Section 3.4 for a list of categories.
 - Sorting the documentation and preparing it for review often takes place for days or weeks following the end of the incident.
- For each general area of documentation determine how many individual types of files exist within that general category (see section 3.4 and **Error! Reference source not found.**).
- Compile master file for each individual documentation category (e.g. Within Health and Safety there might be daily safety meeting minutes, site safety plans, OSHA reports and logs, etc.).
- Establish quality controls to check each document within each file.
- Make Copy of original signed documents (e.g. IAPs, Decontamination Plan, etc.) and then stamp “Original”. Mark Copy of document with “Copy” stamp and use for future copies.
- At the end of the incident ensure files are mounted on a file backer and prepare a cover sheet for the file with appropriate handling instructions.

- Place files in a labeled hanging file folder within a file cabinet. Label each cabinet and drawer.
- Coordinate (if necessary) with CG-4 (Engineering & Logistics) for the management and storage of the electronic data collected at the incident.

2.10.3. Determine if there are substantial gaps in the documentation files

A list of pertinent documents to collect can be found in Section 3.5.

- Compare the scope of documentation reviewed during the initial sorting phase with the scope of the operation.
- Compile a list of all supporting agencies operating under the IC/UC.
- Document discrepancies with a memo for each master file.
- Identify areas where an activity existed but documentation of that activity is either missing or only present in part (general categories or types of documentation not individual documents).
- Determine if the missing documentation was not compiled or is located elsewhere.
 - Coordinate collection of documentation where possible
 - Prepare a historian memo with relevant details for existing documentation that is not collected immediately for use in future collection

2.10.4. Determine final disposition of Archive

- Documents collected during a CG led oil/hazmat incident are property of and safeguarded by the CG under the authority of 40 CFR 300.315(d).

2.10.6. Determine need for archive copies

- Make arrangements for paper documents to be scanned (this may be funded by the responsible party under 40 CFR 300) to create an electronic copy.
- Electronic copies may be provided to the responsible party and/or any State ICs or any other federal agency requesting a copy.

2.10.7. Establish the custodial process for the archive

- The archive belongs to CG-0945 (Coast Guard Legal Claims and Litigation).

2.10.8. Write the incident archive instruction (if required)

See example in Section 3.6.

- Appoint a custodian and alternate custodian by letter.
- Draft the instruction regarding the use and maintenance of the archive.
 - Include the use of stamped documents in the archive (e.g. prohibition on making copies except for making working copies or only making

copies from document marked “copy” and not from documents marked “original”).

- ONLY the appointed custodian or the alternate should make copies.
- Develop a “road map” of the archive which details what documents are in the archive, where they are, and how they may interrelate as an enclosure to the archive instruction.
- Coordinate with the regional National Archives and Records Administration (NARA) office regarding the direct accession of the files in 10 years, bypassing Federal Records Center (FRC) process.
 - Include this as an enclosure to the instruction.
- Include a copy of the Information Request Protocol (See Section 3.7), developed earlier, as an enclosure to the archive instruction.
- Insert the archive instruction, signed by the IC/FOSC, in the archives.
- Place a COPY of the archive instruction, with enclosures, on the outside of the first cabinet containing the archives.

2.10.9. Complete the FOIA process (if required)

- This step in the stand-down process may begin before stand down in the case of long-term incidents.
 - This process must be reviewed with the District Legal officer.

- Archive and segregate all documents which may be exempt from release under FOIA such as drafts, privacy act issues, proprietary, and attorney work products.
- Place non-releasable documents in one area of a single drawer for safe-keeping.
- Complete all pending FOIA requests.
- Back-up all releasable portions of the archive by scanning.

2.11. Demobilize the Documentation Unit

2.11.1. Review the approved demobilization plan

- Determine the command priorities for release of personnel.
- Identify PSC's priorities and expectations regarding the demobilization of personnel and unit.

2.11.2. Supervise demobilization of unit personnel

- Provide input to PSC for demobilization of unit personnel.
- Identify unit personnel for demobilization. Ensure you have requested replacements if required.
- Brief subordinates regarding their pending demobilization and process including use of the ICS 221, Check-out Sheet.
- Evaluate and recognize personnel (e.g. ICS 225, awards draft).

2.11.3. Supervise demobilization of unit

- Plan for the transportation and preservation of the documents you are responsible for.
 - Determine when and where they need to be ready for after action / post-incident reviews
- Turn in equipment and supplies as appropriate.
- Breakdown unit spaces.
- Return accountable property.
- Provide Supply Unit Leader with a list of supplies to be replenished.
 - Consumables
 - Equipment (computers, radios, GPS, etc.)
- Consider replacement in kind.
- Ensure process in place for final disposition of documentation.

3. Appendices

3.1. Personal Deployment Kit

	Uniforms and/or civilian attire appropriate for the response including appropriate footwear
	Update your family emergency plan (see www.ready.gov for details)
	Emergency contact information for home unit
	Dependent care plan (i.e. wills, powers of attorney, etc.)
	Sufficient medications and/or medical supplies for 60 days
	Pet care plan
	Power supply and/or chargers for personal communication equipment (i.e. computers, cell phones, etc.)

3.2. Documentation Unit Deployment Kit

#	Unit	Item Name
	Ea	Incident Management Handbook
	Ea	DOCL vest
	Ea	Accordion File Folder or Banker Boxes
	Bx	Hanging Files
	Bx	Multipart folders
	Ea	Label Maker
	Ea	Label CD
	Bx	Label File Folder
	Bx	Index Tabs (#1-10)
	Bx	Document protectors
	Ea	CDs, DVDs and cases
	Ea	CD packing envelopes
	Ea	3 hole punch
	Ea	2 hole punch
	Ea	Stapler, Heavy Duty
	Bx	Staples. Standard
	Ea	Staple Remover
	Ea	Notebooks 8-1/2 x 11
	Dz	Lined paper tablets, 8-1/2 x 11
	Ea	Clear tape
	Ea	2" masking tape
	Bx	Push pins
	Ea	Glue Stick
	Bx	Large Butterfly clips
	Bx	Bull Dog clips (various sizes)
	Bx	Rubber Bands

	Ea	“Original” Stamp
	Ea	“Copy” Stamp
	Ea	“Date/Time” Stamp
	Dz	Highlighters
	Dz	Blue pens
	Dz	Black pens
	Dz	Black felt tip pens
	Dz	Color felt tip pens
	Dz	Dry erase markers
	Dz	Pencils
	Ea	Erasers
	Ea	Post It Notes 2x3 & 4x6
	Ea	Post It Flags
	Ea	Scissors
	PKG	Pre-Printed Tabs for Document Files

In addition to the items on the DOCL deployment kit; it is recommended that you obtain the following items:

	Computer with internet connection
	Scanner
	Portable, external hard drive
	Facsimile machine
	Copy machine
	Locking Filing cabinet or other acceptable secure file storage system (plastic tubs for hanging file folders will work until a filing cabinet is available)

3.3. Functional Interactions

Inputs/Outputs Below is an input/output matrix to assist the Documentation Unit Leader with obtaining information from other ICS positions and providing information to other ICS positions.

MEET WITH	WHEN	DOCL OBTAINS	DOCL PROVIDES
IC/UC	All meetings involving Command	Command direction, original documentation	Documentation process and services, Maintains ICS 233
SOFR	Throughout	Safety original documentation	Documentation process and services
LNO	Throughout	Liaison original documentation	Documentation process and services
PIO	Throughout	Public Information original documentation	Documentation process and services
PSC	Throughout	Direction for documentation archives and documentation service needs	Documentation process and services

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SITL & RESL	Throughout	Situation & Resources original Documentation	Documentation process and services, support for the IAP
DMOB	Throughout	Draft and final incident DMOB plan	Documentation process and services
OSC		Operations section original documentation	Documentation process and services
LSC	Throughout	Logistics original Documentation	Documentation process and services
COML	Throughout	Electronic documentation system	Documentation process and services

3.4. Example Filing Categories for Incident Documentation

- Acknowledgements – signed documents sometimes created by the DOCL for the incident to ensure that everyone on the incident is aware of the Documentation Unit processes.
- Air Operations – sort by date and/or like forms together
- Chain of Custody – sort by date and/or like forms together
- Correspondence
- Demobilization of Equipment - ICS
- Demobilization of Personnel
- Dispersants (Aerial)
- Dispersants (Subsurface)
- Dispersants (Surface)
- E-mail – Sort by month
- Environmental – (Technical environmental data, Wildlife, Shoreline Cleanup Assessment Team (SCAT) reports, etc.)
- Finance
- Handwritten Notes

- Oversize Handwritten Notes
- ICS Forms
- Legal
- Operations
- Photographs
- Plans/Procedures
- Public Affairs
- Safety
- Testing and Sampling
- Working Binders

3.5. Example Documents to Collect

Below is a comprehensive, but not all inclusive, list of documents created on an incident.

IC/UC	ICS 201 Incident Briefing
	IAPs (Original Signed)
	Command Decisions & Directives
	Executive Correspondence
	Letter of Authorization/Delegation
	COTP/FOSC Orders (Original Signed)
PIO	Press Releases
	Video, Photos, Interviews
	News Articles
LNO	Stakeholder Briefing Notes
	Community Comments & Concerns
SOFR	ICS 208 Site Safety Plan & Signature Page(s)
	ICS 215a Hazard/Risk Analysis Worksheet
	Daily Safety Memos/Briefs
	Mishap Reports
INTO	Classified Documents
	Intel Briefing Notes
PSC	Incident Action Plan
	ICS 209 Incident Status Summary and/or SITREPs
	ICS 211 Incident Check-in List
	ICS 221 Demobilization Checkout
	ICS 232 Resource At Risk Summary

PSC	ICS 233 Open Action Tracking
	Document Preservation Plan
	Demobilization Plan
	Marine Transportation System Recovery Plan
	Natural Resource Protection Plan
	Severe Weather Evacuation Plan
	Salvage Plan (Lightering Plan, Firefighting Plan, Dive Plan)
	Search & Rescue Plan
	Use of Force Plan/Policy
	Booming/Recovery Strategy
	Charts, Maps, GIS Displays
OSC	ICS 210 Status Change Card
	ICS 215 Operational Planning Worksheet
	Site Logs, Diagrams & Photos
	Oil & Hazmat Sampling Logs
	Air, Water, & Soil Sampling Logs
	SCAT Forms
	Flight Logs
	Small Boat Logs
	Vessel/Cutter Logs
	Contractor Daily Forms
	Wildlife Rescue Reports
	Stranded/Abandoned Vessel Log
	Abandoned Drum/Tank Log
	Lightering Log

	Waste Manifests
	Patient Assessment/Triage/Transport Logs
LSC	ICS 205 Communications Plan
	ICS 205a Communications List
	ICS 206 Medical Plan
	ICS 213 (RR) Resource Requests
	ICS 218 Support Vehicle/Vessel Inventory
	Communication/Dispatch Logs
	Facility, Services, & Support Contracts
	Supply Log (Inventory)
	Support Equipment Logs
FSC	Funding Agreements/ Spending Ceiling
	Cost Documentation
	Document Control Number (DCN) Log
	Worker Time Logs
	Claims/Compensation Logs

Documents not included in this position specific list include: ICS forms used by almost all incident members like the ICS 213 General Messages and ICS 214 Unit Activity Logs.

Other miscellaneous documents include:

- Incident e-mails & official blog posts
- Meeting minutes
- Agency reports
- Site visitor logs & business cards

3.6. Example Incident Archive Instruction

U.S. Department of
Homeland Security

United States
Coast Guard



Commander
U. S. Coast Guard
Sector XXX

Staff Symbol:
Phone: (
Fax: (

SECXXX INST 16451
(date)

SECTOR XXX INSTRUCTION 16451

Subj: ARCHIVE INSTRUCTION FOR (INCIDENT)

Ref: (a) 40 CFR 300

1. PURPOSE. This instruction provides handling procedures for the FOSC materials in the (Incident) Archive. This centralized archive was established because both the FOSC and CG-0945 felt that the nature and scope of this response required a heightened level of documentation. It is necessary to ensure the Coast Guard's actions are meticulously documented in the event that the USCG response becomes an issue in subsequent litigation. Additionally, various other private parties may litigate issues relative to the incident and will require the CG to provide its records as an integral part of those private actions. As a consequence, all materials relating to this response have been centralized in one location, organized to meet various information needs, and placed under a system of controlled access to ensure that it remains complete. It is in the best interest of the CG and future COTP's/FOSC's to be able to attest with a high degree of certainty that all materials have been included in the archive, and concurrently, that if a document or type of information is not in the archive, then the CG is reasonably sure that it is not in possession of that information. To retain this capability, handling procedures have been designed to ensure that materials placed in the archive remain in the archive and that all parties requesting materials are treated in a precisely equal manner. Finally, the process for eventually turning these records over to the National Archives has been coordinated. The (Incident) Response Information Request Protocol and the relevant correspondence with the National Archives are an integral part of this instruction, and are enclosed. Any change to this instruction will not be undertaken without appropriate coordination with CG-0945.
2. ACTION. This instruction applies to all individuals and organizations who request access to the (Incident) archive and its materials.
3. PROCEDURES.
 - a. Custodian/Alternate Custodian. The FOSC Historian will retain an archive custodian and an alternate custodian who will be responsible for implementing this instruction. Each custodian or alternate custodian will train his or her successor. The custodian will retain the keys to the archive and will restrict access to it. All cabinets will remain locked when not in use.

- b. Access. Permission to access the information in the archive will be obtained by the requestor, or the custodian on behalf of the requestor, from the COTP/FOSC or his or her designee. Access to archive materials by individuals outside the USCG will be strictly in accordance with the (Incident) Response Information Request Protocol, enclosure (1) to this instruction.
- c. Document Control.
 - (1) All archive materials will be stamped with a red "Historian" stamp to indicate that it is the archive copy. Archive materials will remain in the archive work area under the control of the custodian. The archive work area will be designated by the custodian, preferably in a space that is out of the main office traffic patterns. Extraneous materials will be removed from the work area so they are not mixed with archive materials. Hanging folders will not be removed from the cabinet in order to serve as an indicator of materials which are in use.
 - (2) USCG users. Removal of the file or document from the immediate area of the archive by unit personnel by unit personnel will be an exceptional circumstance, since it is the primary cause of lost materials. The custodian or alternate custodian will make a working copy for anyone who needs to work with an archive document. To minimize copying, users will peruse the larger documents in the work area established and have only the relevant material copied.
 - (3) Non-USCG personnel will NOT be allowed to remove a file or document from the archive work area under any circumstances.
 - (4) Only the custodian or alternate custodian will search the files, make working copies for USCG users, and do all re-filing. Restricting the copying and re-filing of documents, except as provided in the (Incident) Response Information Request Protocol, to the custodian or alternate custodian is to ensure that documents are complete and returned to their original configuration before re-filing. All materials will be returned to the appropriate hanging folder and secured by the end of each working day.

A. A. CAPTAIN

- Encl: (1) (Incident) Response Information Request Protocol
(2) Historian Memo to National Archives dtd xx Oct 13
(3) National Archives Memo in response dtd xx Oct 13
(4) Custodian Appointment Letters
(5) Archive Road Map

3.7. Example Information Request Protocol

U.S. Department of
Homeland Security

United States
Coast Guard



Commander
USCG Sector XXX

Address
Staff Symbol: dxc
Phone:
Fax:

16451
(Date)

MEMORANDUM

From FOSC Historian
: (Incident) Response

Reply FOSC Historian
to LT A. B. Sea
Attn
of:

To: File

Subj: FOSC (INCIDENT) RESPONSE INFORMATION REQUEST
PROTOCOL

Ref: (a) 40 CFR 300
(b) FPN XXXXXX

1. Purpose. This protocol is to establish procedures by which information concerning the USCG (Incident) response is provided to individual requestors. Adherence to this protocol ensures that all requestors are treated equally in both access to the information as well as which information is releasable and under what circumstances.

2. Parameters of Information Available. The FOSC Historian for the (Incident) Response will develop a discrete archive of all information available with the USCG concerning this incident. While it is impossible to be absolutely certain that all relevant information was captured, an extensive and good faith effort was made to ensure the archive is complete. Documents produced by other agencies or private parties will be captured if available. However, no guarantee of completeness is implied for documents generated by other agencies or private parties. The archive was created to serve USCG interests and may be redundant in various areas. Organization of the archive will be custom tailored to this response and the needs of the FOSC. All requestors for information will be serviced at the same time, at the conclusion of this important work. Your request has been retained for purposes of coordinating your receipt of the relevant documents.

3. Types of Requests.

a. The various elements of the protocol outlined below are followed for all requests external to the USCG, whether they are a formal request under the Freedom of Information Act (FOIA) or a less formal request. Procedures for response to subpoenaed information will be developed on a case by case basis.

b. Requests concerning materials relating to any Marine Casualty Investigation conducted relevant to this incident are NOT covered by this protocol and any request for such information should be submitted separately to USCG Headquarters in Washington DC. Requests of this type will be processed in accordance with USCG policies relevant to CG Investigations.

Subj: FOSC (INCIDENT) RESPONSE INFORMATION
REQUEST PROTOCOL

16451
(date)

4. Availability and Access.

a. The USCG is not required by the FOIA to copy, create records or documents, or do research, except that research which is necessary to establish the existences of requested information. The FOIA requires that requests contain a reasonable degree of specificity. The FOSC/COTP, based upon the man power and operational constraints of this unit, will provide reasonable access to the requested materials, generally by appointment only.

b. Requestors are NOT permitted to “browse” the records, but discussions to refine requests are encouraged. The archive custodian may provide examples of various types of records to facilitate those discussions. Requestors are encouraged to time their requests so that all documents required can be produced on one occasion. Repeated or serial request are discouraged and may not be considered reasonable. The USCG will accommodate court established dates and deadlines.

c. In instances where the copying of documents is required, the USCG will make a decision on the USCG copying equipment on a case by case basis. Only the most minimal requests can be accommodated using USCG equipment, and will only be done for the operational convenience of the USCG. Charges for these instances will accrue in accordance with the relevant federal policies, including charges for staff time expended. In all other instances, the requestor will be advised of the procedures established for document duplication.

d. Reproduction of Audio/Visual assets, including microfilm, will be accomplished using a private vendor acceptable to the USCG. Subsequent to the requestor making payment arrangements with the vendor, the USCG will deliver the requested materials to the vendor for duplication and retrieve the materials when duplication is complete. Requests for copies of photographs will be limited to individual rolls of film if the negatives are available. If the negatives for certain photographs are not available, individual photographs may be requested. If copies of digital pictures are requested, copies of CD's can be obtained. Charges for these instances will accrue in accordance with the relevant federal policies, including charges for staff time expended.

e. Requests for certified copies will be accommodated. Requests for a large volume of certified copies should be made far enough in advance to give the USCG sufficient time to accommodate the request without interfering with the units operational requirements. Charges for these instances will accrue in accordance with the relevant federal policies, including charges for staff time expended.

3.10. Example Resource Request Message (ICS 213RR-CG)

Resource Request Message				ICS-213 RR CG (207)					
1. Incident Name: Deepwater Horizon Response				3. Resource Request Number:					
2. Date/Time: 16 July 2011									
4. ORDER Note: Use additional forms when requesting different resource sources of supply									
a. Qty	b. Kind	c. Type	d. Priority U or R	e. Detailed item description (vital characteristics, brand, specs, experience, etc.) and, if applicable, purpose/use, diagrams, and other info.		f. Requested Reporting Location:	g. Order # (LSC)	h. ETA (LSC)	i. Cost
1			R	NAME: BM1 Shellee Courtier EMPLID: xxxxxxxx		Mandeville, LA			
				TITLE 14 START & END DATE: 07/04/2010 to 09/01/2010					
				1 ST ADOS START & END DATE: 09/02/2010 to 02/28/2011					
				2 ND ADOS START & END DATE: 03/01/2011 to 08/27/2011					
				3 RD ADOS START & END DATE: 08/28/2011 to 02/23/2012					
				RTN: 17667-0010 IMT: IMT15004					
				POC: CWO Joel Smith (504) 252-8458					
5. Suggested source(s) of supply - POC phone number if known and suitable substitutes: *** Back-to-Back ADOS. Not a replacement. ***				6. Requestor Position and Signature: CWO Joel Smith		Date/Time: 16 July 2011			
				7. Sec Chief/Cmd Staff Approval: Chuck Anglin		Date/Time: 16 July 2011			
				9. RESL Review/Signature:		Date/Time:			
8. RESL - check box (a) if request is for tactical or personnel resources. Then note availability in box 8.b or 8.c.				a. ☐		b. ☐ Resources available as noted in block 12			
				c. ☐ Resources not available					
10. Requisition/Purchase Order #:				11. Supplier Name/Phone/Fax/Email:		13. Logistics Section Signature:		Date/Time:	
12. Notes:									
14. Order placed by (check box): ☐ SPUL ☐ PROC ☐ OTHER									
15. Reply/Comments from Finance:						16. Finance Section Signature:		Date/Time:	
Finance									

Full instructions on back page. Requestor fills in blocks 1-5, except # 3 & # 4.g-i (shaded area), signs block 6 (do not forget position), gets appropriate Section Chief or Command Staff approval in block 7, and keeps yellow copy (bottom). If applicable, RESL reviews if resource available, signs block 9 and keeps blue copy. Logistics fills in block 4.g and h, and blocks 10-13, and keeps orange copy. Orderer (LSC or FSC) fills in block 4.i. Finance fills in blocks 15 - 16 and keeps green copy. Pink copy is returned to RESL for tactical/personnel or requestor for non-tactical. White copy goes to DOCL.

ICS 213RR Instructions

REQUESTOR: The requestor must fill in blocks 1 through 7.

Block # 1	Incident name: This is the same as the name stated on the ICS-201 Form and Incident Action Plan (IAP).
Block # 2	Current date and time when submitting request.
Block # 3	Resource Request Number: Specific to the form & enables downstream tracking.
Block # 4a-c	Items requested: Must include quantity; Include Kind and Type if applicable.
Block # 4.d	Priority is either U – Urgent or R – Routine. Requestor: Urgent should ONLY be used if the resource must be checked-in and available within the specified time period or an <u>operational</u> objective will not be met. LSC: An Urgent request takes priority over all other requests. The requestor should be notified ASAP on the status of the request.
Block # 4.e	The detailed description of requirements. BE SPECIFIC AS POSSIBLE.
Block # 4.f	Delivery/Reporting Location and Times: This is self-explanatory and is required to ensure timely and accurate delivery of the resource.
Block #4g-i	Leave blank for SPUL/PROC to fill in.
Block # 5	Substitutes and/or Suggested Sources: Enter applicable information if known.
Block # 6	Requestor: Print name, position, sign and date.
Block # 7	Approval: This must be approved by the appropriate Section Chief or Command Staff Officer.

PLANNING SECTION: The RESL must fill in blocks 8 through 9.

Box # 8.a	RESL: Check box if request if for tactical resources
Box #8.b/c	RESL: If a tactical resource, check only one box as appropriate
Block # 9	RESL: Sign and date

LOGISTICS SECTION: Blocks 10 through 13 are filled out by the Supply Unit.

Note: Blocks 4 G and H are to be filled out by the Supply Unit or Procurement Unit upon ordering.

Block # 10	Requisition/Purchase Order Number: To be assigned by Supply Unit.
Block # 11	Supplier Point of Contact, Phone Number and Fax Number.
Block # 12	Notes: additional information on the supplier, when contacted, etc.
Block # 13	Signature: As specified by the Resource Request Process. Usually the signature of the SPUL but may also be the LSC or Deputy LSC.
Block # 14	Orderer (SPUL or PROC). Other block is checked if SPUL/PROC positions not filled. If this block is checked, fill in position.

FINANCE SECTION: Blocks 15 and 16 are filled out by the Procurement Unit.

Block # 15	Comments concerning request from FSC, Deputy FSC, or PROC.
Block # 16	Approval: This must be approved in accordance with Resource Request Process.

Note: Cost associated requests will not be ordered without approval in accordance with the Resource Request Process.

3.11. Example ICS 233 Open Action Tracker

1. Incident Name: Yaz Northern			INCIDENT OPEN ACTION TRACKER ICS-233 (Rev 1-07)				
2. No.	3. Item	4. For/POC	5. Briefed POC (X)	6. Start Date	7. Status	8. Target Date	9. Actual Date
1	Develop a Stakeholder Outreach Plan for keeping stakeholder involved and informed	LNO	x	10-Sep-13		11-Sep-13	
2	Conduct Risk/Hazard Analysis and Develop a site safety plan for both ongoing operations and future operations.	SOFR	x	10-Sep-13		10-Sep-13	
3	Establish a JIC by 1700 tonight Develop a media strategy and have signed off by UC.	PIO/LSC	x	10-Sep-13		10-Sep-13	
4	Ensure that the JIC operating procedures are covered	PIO	x	10-Sep-13		10-Sep-13	
5	Provide Command with a long term projection on mitigation efforts	PSC	x	10-Sep-13		13-Sep-13	
6	Establish secure communications at the ICP	LSC	x	10-Sep-13		11-Sep-13	
7	Establish resource request process	LSC/FSC	x	10-Sep-13		11-Sep-13	
8	Establish resource ordering process	LSC/FSC	x	10-Sep-13		11-Sep-13	
9	Provide command a list of all possible funding opportunities	FSC	ξ	10-Sep-13		11-Sep-13	
10	Track expenditures and provide burn rates to command every morning before 0800	FSC	x	10-Sep-13		11-Sep-13	
11	Establish a cost sharing agreement with all responsible parties	FSC	x	10-Sep-13		11-Sep-13	
12							
13							
14							
15							
16							
17							
18							
19							
20							

[illegible]

3.13. Unit/Family Meeting Guidelines

The purpose of this meeting is to keep your subordinates informed about the Command's and Planning Section direction and how the role they play ties in to achieving that direction. This is just good leadership so it is important that you conduct this meeting at least once a day!

- ❑ If at all possible set a standard time and place for this meeting. A good time to hold this meeting is following the Command and General Staff meeting when you have just received your direction from the PSC.
- ❑ Ensure all personnel are present or accounted for. For the duration of the incident, these personnel work for you. Take care of them and they will take care of you.
- ❑ Situation update – while they probably don't need or even want detail, they will appreciate a quick update. This helps your staff know how the work they are doing is supporting the response.
- ❑ Current activities – Identify the work expected of your staff during this operational period to get ready for the next one.
- ❑ Compliment – Praise their actions to date. Try to find something that each of your key staff or other members of your team has done that is noteworthy.
- ❑ Remind your staff to fill out the ICS 214 daily if necessary.

3.14. Documentation Unit Self-Evaluation Checklist

	Is the DOCL aggressively asking for documentation from the IMT?
	Is the DOCL verifying the documentation received?
	Is the DOCL maintaining good records to ensure preservation?
	Is the DOCL producing the highest quality of copying/documentation services that are accurate to the IMT?
	Is the DOCL using the best technology to support the IMT?
	Does the DOCL have the right logistical support to do the job effectively and efficiently?
	Is the DOCL actively engaged with other members of the IMT?
	Are new members of the DOCL receiving a proper in-brief?
	Is there adequate rest, meals, and PPE to accomplish the job safely?

3.15. Personnel Evaluation Criteria

	Crew morale? High Med Low
	Are assignments completed on time?
	Are injuries exceeding normal operating environment?
	Is team effectively interacting?
	Number of unresolved issues passed to Command?
	Any aggression or frustration by team members?
	Possible solutions to problems/issues?

3.16. Incident Personnel Performance Rating (ICS 225)

INCIDENT PERSONNEL PERFORMANCE RATING ICS 225-CG		<i>INSTRUCTIONS:</i> The immediate job supervisor will prepare this form for each subordinate. It will be delivered to the planning section before the rater leaves the incident. Rating will be reviewed with the subordinate who will sign at the bottom. To electronically fill form, double-click on first word of each section, then enter information.			
THIS RATING IS TO BE USED <u>ONLY</u> FOR DETERMINING AN INDIVIDUAL'S PERFORMANCE ON AN INCIDENT/EVENT					
1. Name: Rank Last, First		2. Incident Name: Enter Incident Name			
3. Home Unit and Phone Number: Enter Unit or Home Office here		4. Location of Incident: City, State			
5. Position Assigned: ICS Position	6. Date of Assignment: From: dd/mm/yyyy To: dd/mm/yyyy		7. Date Incident Started: dd/mm/yyyy	8. Incident Type: Type I, II, III	9. Incident Kind: (Oil/Hazmat Spill/SAR/Fire/Etc)
10. Evaluation					
Rating Factors	N/A	1 - Unacceptable	2	3 - Met Standards	4
A. Knowledge of the job/ Professional Competence & Using ICS:	☐	Questionable competence and credibility. Operational or specialty expertise inadequate or lacking in key areas. ☐	☐	Competent and credible authority on specialty or operational issues. ☐	☐
B. Planning/Preparedness & ability to obtain performance/results:	☐	Got caught by the unexpected, appeared to be controlled by events; routine tasks accomplished with difficulty. ☐	☐	Consistently prepared. Set high but realistic goals. Work was timely and of high quality; required same of subordinates. ☐	☐
C. Adaptability/Attitude:	☐	Unable to gauge effectiveness of work, recognize political realities, or make adjustments when needed. Maintained a poor outlook. ☐	☐	Receptive to change, new information, and technology. ☐	☐
D. Communication Skills:	☐	Unable to effectively articulate ideas and facts; lacked preparation, confidence, or logic. ☐	☐	Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. ☐	☐
E. Directing Others:	☐	Showed difficulty in directing or influencing others. Unwilling to delegate authority to increase efficiency of task accomplishment. ☐	☐	Set high work standards; clearly articulated job requirements, expectations and measurement criteria; held subordinates accountable. ☐	☐
F. Ability to work on/ Consideration for team:	☐	Ignorance of individuals' capabilities increased chance of failure. Seldom recognized or rewarded deserving subordinates or others. Used teams ineffectively or at wrong times. ☐	☐	Skillfully used teams to increase unit effectiveness, quality, and service. Cared for people. Recognized and responded to their needs. ☐	☐
G. Judgment/Decisions under stress:	☐	Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts. ☐	☐	Skillfully used teams to increase unit effectiveness, quality, and service. ☐	☐
H. Initiative	☐	Postponed needed action. Implemented or supported improvements only when directed. ☐	☐	Championed improvement through new ideas, methods, and practices; self-starter. ☐	☐
I. Adherence to safety:	☐	Failed to adequately identify and protect personnel from safety hazards. ☐	☐	Ensured that safe operating procedures were followed. ☐	☐
11. Remarks/Potential: Type remarks here; Describe ability to assume greater leadership roles and responsibilities (e.g., rate performance, recommend incident management positions and/or ICS or other training).					
12. Rated Person (<i>signature</i>) This rating has been discussed with me. Rank Last, First					13 Date: mm/dd/yyyy
14. Rated By (<i>signature/print name</i>): Rank Last, First	15. Supervisor Home Unit (<i>address/phone</i>): Rank Last, First		16. Supervisor Position: ICS Position		17. Date: mm/dd/yyyy

UNITED STATES COAST GUARD

Documentation Unit Leader Activities in the ICS Planning Process

