



# United States Coast Guard



## Incident Command System

### Finance Section Chief

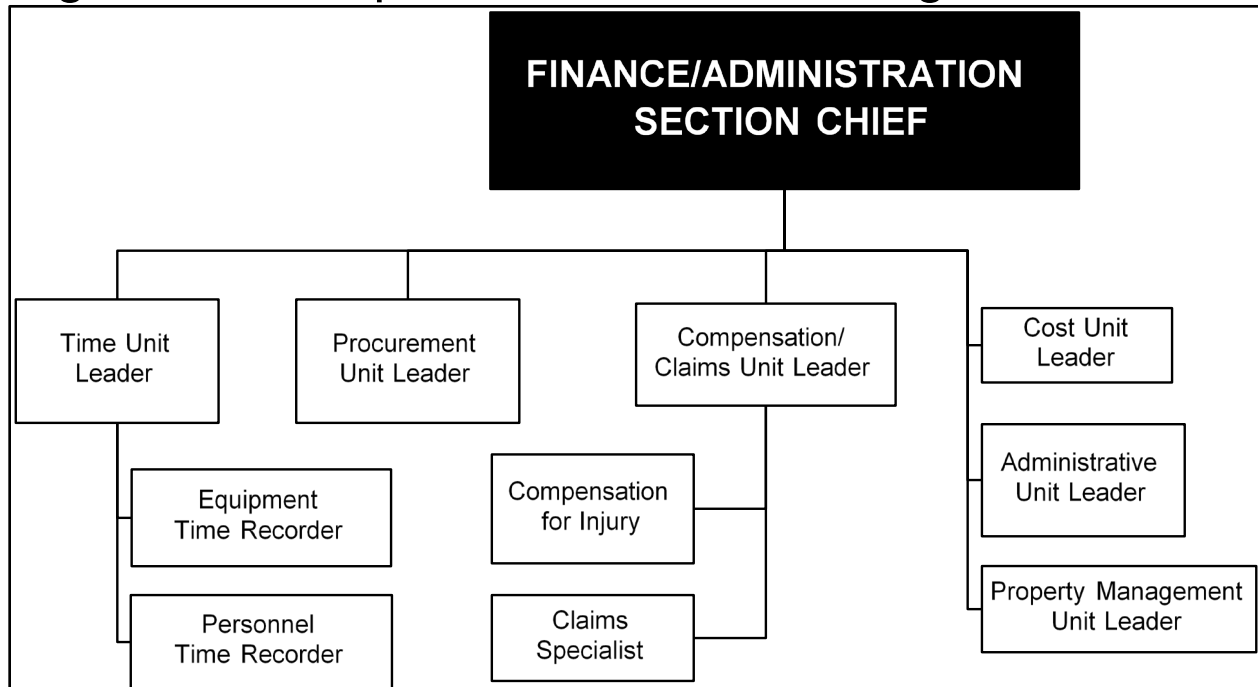
- FSC -

### Job Aid



March 2020

Figure 1: Example Finance Section Organization



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## **1. Overview**

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### **1.1. User**

This Job Aid is for anyone assigned to an incident as Finance Section Chief (FSC) working within the National Incident Management System (NIMS) Incident Command System (ICS).

Note: In the context of this Job Aid, the word incident means an occurrence, event, or exercise, unless otherwise noted.

### **1.2. Purpose of this Job Aid**

This Job Aid is a tool to understand the complex ICS tasks and processes for the FSC position.

Job Aid

### **1.3. Disclaimers**

This Job Aid:

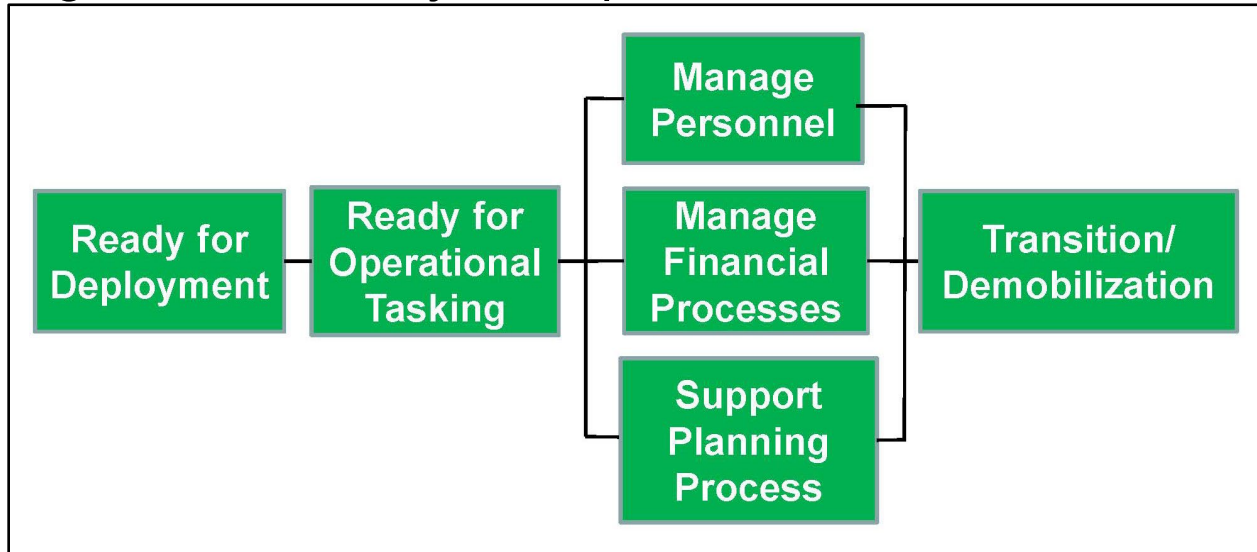
- Is not a policy document, nor is it intended to act as or replace official policy, required training, or direction from higher authority. It is rather guidance for response personnel requiring application of judgment.
- Provides guidance to Coast Guard personnel and is not intended to, nor does it impose legally binding requirements on any party outside of the Coast Guard.

### **1.4. Major Responsibilities**

The FSC's primary responsibility is to track operational resources and prepare the Incident

Action Plan (IAP). The major responsibilities listed in Figure 2 are expanded further below and with checklists and sections in this Job Aid.

Figure 2: FSC Major Responsibilities



- Ready for deployment - Pre-assignment
- Ready for operational tasking
  - Pre-deployment actions
  - Check-In to the incident
  - Obtain situation assessment
  - Receive initial brief
  - Activate Finance Section
- Manage Section personnel
  - Task and employ staff
  - Support personnel
  - Evaluate staffing level
  - Evaluate personnel
  - Evaluate Section
  - Conduct after action review

- Manage Finance Processes
  - Ensure time recording needs of the incident personnel and equipment are met - Time Unit
  - Ensure cost needs the incident personnel and equipment are met - Cost Unit
  - Ensure procurement needs of the incident are met - Procurement Unit
  - Ensure compensation and claims needs of the incident are met – Compensation/Claims Unit
  - Ensure administration needs of the incident are met - Administration Unit
  - Ensure property management needs of the incident are met – Property Management Unit
  - Coordinate with IMT members
  - Complete documentation
- Support the planning process by supporting
  - Tactics meeting
  - Planning meeting
  - Operations briefing
- Support transition and demobilization
  - Section
  - Personnel

## 1.5. References

The references listed below are not all encompassing. Links for many of these are found on Homeport at: <https://homeport.uscg.mil/>

- Incident Management Handbook (IMH), COMDTPUB P3120.17 (series).

- National Incident Management System (NIMS)
- National Response Framework (NRF) - Financial Management Support Annex
- USCG Type 3 Finance Section Chief (FSC3) Performance Qualification Standard (PQS)
- Government Accounting Office Rule Book for appropriation law (the Red Book).
- USCG Financial Resource Management Manual (FRMM), COMDINST M7100.3 (series)
- National Pollution Funds Center (NPFC) eUser Reference Guide (eURG)  
<http://www.uscg.mil/NPFC/URG/>
- National Pollution Funds Center (NPFC) Technical Operating Procedures (TOPS) for Incident and Cost Documentation on FPN, CPN and DPN Cases
- USCG Standard Rates, COMDTINST 7310.1 (series)
- Justification For Other than Full and Open Competition (JOTFOC)
- Applicable Coast Guard Policy, agency and/or company policy, contingency plans, geographic supplements, and manuals.
- Classified Material and Sensitive Security Information (SSI) guidance at <http://www.uscg.mil/>

## **1.6. Materials and Forms**

Section 9.2 FSC Deployment kit contains a suggested list of materials to take with you to an

incident. Maintain an adequate supply of these materials throughout your assignment. Submit an ICS 213RR-CG Resource Request for supplies in accordance with the incident's resource request process.

The ICS forms are be found on the Coast Guard ICS web pages on Homeport at:

<https://homeport.uscg.mil/>. The FEMA or CG version of forms may be used interchangeably unless noted. Common forms the FSC encounters include:

- Incident Action Plan Cover Sheet
- ICS 201 Incident Briefing
- ICS 202 Incident Objectives
- ICS 202A-CG Command Direction
- ICS 202B-CG Critical Information Requirements
- ICS 203 Organization Assignment List
- ICS 204 Assignment List
- ICS 204A-CG Assignment List Attachment
- ICS 205 Incident Radio Communications Plan
- ICS 205A-CG Communications List
- ICS 206 Medical Plan
- ICS 207 Incident Organization Chart
- ICS 208-CG Site Safety and Health Plan (not FEMA form)
- ICS 209-CG Incident Status Summary (not FEMA form)
- ICS 210 Status Change Card
- ICS-211 Check-In List

- ICS-211a-CG Daily Sign-In Sheet
- ICS 213 General Message
- ICS 213RR-CG Resource Request Message
- ICS 214 Activity Log
- ICS 214A-CG Chronology of Events Log
- ICS 215 Operational Planning Worksheet
- ICS 215A-CG Incident Action Plan Safety Analysis (not FEMA form)
- ICS 219 Resource Status Card (T-Cards)
- ICS 220 Air Operations Summary
- ICS 221 Demobilization Check-Out
- ICS 225-CG Incident Personnel Performance Rating
- ICS 230-CG Daily Meeting Schedule
- ICS 232-CG Resources at Risk Summary
- ICS 233-CG Incident Open Actions Tracker
- ICS 234-CG Work Analysis Matrix
- ICS 235-CG Facility Needs Assessment Worksheet
- ICS 236-CG Tentative Release List
- ICS 237-CG Incident Mishap Report
- ICS 238-CG Demobilization Tracking Table
- ICS 261-CG Incident Property Tracking Table

#### Other Forms/Documentation

- Resource Request/Order Tracking Spreadsheet
- AF-538 Personal Clothing & Equipment Record
- DD-1149 Requisition and Invoice/Shipping Document

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## 1.7. Questions

Direct questions about this Job Aid to the Coast Guard Office of Emergency Management (CG-OEM) at [ICS-ProgramCoordinator@uscg.mil](mailto:ICS-ProgramCoordinator@uscg.mil).

## **2. Checklists**

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### **2.1. Ready for Deployment - Pre-Assignment Checklist**

|  |                                                                     |
|--|---------------------------------------------------------------------|
|  | Ensure personal readiness for assignment<br>(See detail on page 19) |
|  | Assemble Personal Deployment Kit<br>(See detail on page 20)         |
|  | Assemble FSC Deployment Kit<br>(See detail on page 20)              |

### **2.2. Ready for Operational Tasking Checklists**

#### **2.2.1. Pre-Deployment Actions Checklist**

|  |                                                                       |
|--|-----------------------------------------------------------------------|
|  | Receive assignment (See detail on page 21)                            |
|  | Receive travel orders and order number<br>(See detail on page 21)     |
|  | Verify reporting information<br>(See detail on page 21)               |
|  | Finalize personal readiness for assignment<br>(See detail on page 21) |
|  | Make travel arrangements<br>(See detail on page 22)                   |
|  | Verify/update personal deployment kit<br>(See detail on page 22)      |
|  | Verify/update FSC deployment kit<br>(See detail on page 22)           |
|  | Gain incident awareness<br>(See detail on page 22)                    |

### 2.2.2. Check-In to the Incident Checklist

|  |                                                                                |
|--|--------------------------------------------------------------------------------|
|  | Check-in on ICS 211 (See detail on page 23)                                    |
|  | Receive assignment/tasking<br>(See detail on page 23)                          |
|  | Check-In with Finance/Admin Section<br>(See detail on page 23)                 |
|  | Check-In with Finance Section<br>(See detail on page 24)                       |
|  | Review and sign ICS 208-CG Site Safety and Health Plan (See detail on page 24) |

### 2.2.3. Obtain Situation Assessment Checklist

|  |                                                                                          |
|--|------------------------------------------------------------------------------------------|
|  | Review the current ICS 201 and/or IAP to determine the following (See detail on page 25) |
|  | What kind of incident? (See detail on page 25)                                           |
|  | Who are key players? (See detail on page 25)                                             |
|  | When incident occurred?<br>(See detail on page 26)                                       |
|  | Where is incident location/AOR?<br>(See detail on page 26)                               |
|  | What is the incident organization?<br>(See detail on page 26)                            |
|  | Obtain a meeting and briefing schedule<br>(See detail on page 27)                        |
|  | Determine Finance Section information<br>(See detail on page 27)                         |

#### 2.2.4. Receive Initial Brief Checklist

|  |                                                                                             |
|--|---------------------------------------------------------------------------------------------|
|  | Define your role (See detail on page 28)                                                    |
|  | Obtain Incident Commander (IC)/Unified Command (UC) expectations<br>(See detail on page 28) |
|  | Identify any limitations and/or constraints<br>(See detail on page 29)                      |

#### 2.2.5. Activate Finance Section Checklist

|  |                                                                           |
|--|---------------------------------------------------------------------------|
|  | Determine staffing requirements<br>(See detail on page 31)                |
|  | Establish Finance Section work location(s)<br>(See detail on page 34)     |
|  | Organize and brief subordinates<br>(See detail on page 35)                |
|  | Acquire work materials<br>(See detail on page 35)                         |
|  | Forecast requirements and establish Finance Units (see detail on page 36) |
|  | Establish finance processes<br>(See detail on page 36)                    |
|  | Begin Support of ICS planning process<br>(see detail on page 38)          |
|  | Begin Section documentation<br>(See detail on page 38)                    |

### **2.3. Manage Section Personnel Checklist**

|  |                                                 |
|--|-------------------------------------------------|
|  | Task and employ staff (See detail on page 39)   |
|  | Support personnel (See detail on page 40)       |
|  | Evaluate staffing level (See detail on page 39) |
|  | Evaluate personnel (See detail on page 41)      |
|  | Evaluate Section (See detail on page 42)        |

### **2.4. Manage Finance Processes Checklist**

|  |                                                                                                                 |
|--|-----------------------------------------------------------------------------------------------------------------|
|  | Ensure time recording needs of the incident personnel and equipment are met - Time Unit (See detail on page 44) |
|  | Ensure cost needs the incident personnel and equipment are met - Cost Unit (See detail on page 44)              |
|  | Ensure procurement needs of the incident are met - Procurement Unit (See detail on page 45)                     |
|  | Ensure compensation and claims needs of the incident are met – Compensation/Claims Unit (See detail on page 47) |
|  | Ensure administration needs of the incident are met - Administration Unit (See detail on page 47)               |
|  | Ensure property management needs of the incident are met – Property Management Unit (See detail on page 48)     |
|  | Coordinate with IMT members (See detail on page 49)                                                             |
|  | Maintain documentation (See detail on page 49)                                                                  |

## **2.5. Support the ICS Planning Process Checklist**

|  |                                                                      |
|--|----------------------------------------------------------------------|
|  | Support Command and General Staff meeting<br>(see detail on page 51) |
|  | Prepare for Tactics meeting<br>(see detail on page 51)               |
|  | Support the Tactics meeting<br>(see detail on page 54)               |
|  | Prepare for Planning meeting<br>(see detail on page 56)              |
|  | Support the Planning meeting<br>(see detail on page 58)              |
|  | Post Planning meeting actions<br>(see detail on page 58)             |
|  | Support the Operations briefing<br>(see detail on page 59)           |

## **2.6. Transition-Demobilization Checklist**

|  |                                                                          |
|--|--------------------------------------------------------------------------|
|  | Transition/relief of personnel or Section<br>(See detail on page 61)     |
|  | Provide input to the Demobilization Plan<br>(See detail on page 61)      |
|  | Review approved Demobilization Plan<br>(See detail on page 61)           |
|  | Supervise demobilization of Section personnel<br>(See detail on page 64) |
|  | Supervise demobilization of Section<br>(See detail on page 64)           |

### **3. Ready for Deployment - Pre-Assignment**

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#### **3.1. Ensure personal readiness for assignment:**

Deploying without being personally ready affects your performance and may make you a liability to the incident management team (IMT). Deployment lengths can vary, so plan for a 30-day deployment. Personal readiness includes:

- Medical/dental readiness
  - For active duty and reserve members ensure that CG Business Intelligence (CGBI) shows “green” in all categories.
  - For civilians and Auxiliarists, ensure are ready to be deployed (e.g., have enough medications for the entire period of the deployment).
- Training and Certification readiness:
  - FSC training and certification is current.
  - Mandated training is current and “green” in CGBI.
  - Complete incident specific training prior to deployment (e.g. HAZWOPER, area familiarization, etc.)
- Financial Readiness – Ensure personal financial situation is in order.
  - Government travel credit card (GTCC) – check your GTCC limit and activation. If deployed more than 30 days, your limit should be increased (e.g. to \$10,000).
  - Plan for bill paying while deployed.

- Ensure TPAX account is active.
- Family Readiness
  - Have a Dependent Care/Pet Care plan for when deployed.
  - [www.militaryonesource.com](http://www.militaryonesource.com) may be helpful.

### **3.2. Assemble Personal Deployment Kit**

- If your job requires regular or short-notice deployments, a Personal Deployment Kit can ease the stress of deployment. See 9.1 Personal Deployment kit for an example of kit contents.

### **3.3. Assemble FSC Deployment Kit**

- Once certified as an FSC, you may be called to support large events outside your AOR. An FSC Deployment Kit can ease the burden of deployment. See 9.2 FSC Deployment kit for example kit contents.

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## **4. .Ready for Operational Tasking**

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### **4.1. Pre-Deployment Actions**

#### **4.1.1. Receive assignment**

Assignments can come via message traffic, by phone call, through a supervisor, or by Direct Access (DA) orders.

#### **4.1.2. Receive Travel Orders and order number**

Ensure you have received your orders and order number for the incident.

- As per Federal Travel Regulations (FTR), a written order issued by a competent authority is required for reimbursement of travel expenses. Consult the FTR to ensure all conditions are met when traveling under verbal orders.
- The travel order number (TONO) and order number are different. The order number is assigned by the incident (usually Logistics) to both order and track each resource on the incident and is used at check-in to verify the position you will fill.
- Order number is generally in the following format: O374 where O is for Overhead and the unique three-digit number is assigned by Logistics.

#### **4.1.3. Verify reporting information**

Verify reporting location, date and time, order number, as well as contact information for the Incident Command Post (ICP) in case you need assistance with travel or check-in.

#### 4.1.4. Make travel arrangements

Obtain counseling on entitlements and responsibilities from a travel authorizing official and review the FTR as necessary.

- Request cash advances, if needed.
- Make travel arrangements using approved CG travel method.

#### 4.1.5. Finalize personal readiness for assignment.

Review chapter 3 “ready for deployment” to ensure readiness for assignment.

- Communicate any readiness issues with your Command and request assistance as necessary. This may mean delaying deployment to resolve an issue.

#### 4.1.6. Verify/update personal deployment kit.

See 9.1 Personal Deployment kit, which outlines personal items needed for the deployment.

#### 4.1.7. Verify/update FSC deployment kit

- Ensure manuals, forms and guides are current versions (electronic and paper).
- Ensure supplies are restocked from last deployment.
- See 9.2 FSC Deployment kit for list of items.

#### 4.1.8. Gain incident awareness

Learn as much as your can about the incident prior to arrival. This includes gaining local area knowledge, reviewing plans, and reviewing the ICS

201 Incident Briefing or Incident Action Plan (IAP). These typically can be obtained from an already established IMT on the incident.

## **4.2. Check-In to the Incident**

### **4.2.1. Check-in on ICS 211**

Upon arrival at the incident, check-in at the ICP using the ICS 211.

- Have your Order Number available. This enables the Check-in Recorder (SCKN) to validate your assignment to the incident quickly.
- In some cases, the incident may be using the 16-digit government TONO assigned to you as the Order Number.
- Obtain credentials (badges), if the incident is using them.
- Provide your cell phone number, home base, lodging arrangements, travel method, as well as any additional qualifications you have.

### **4.2.2. Receive assignment/tasking**

The Check-In Recorder (SCKN) can direct you to the ICP or the area where you will be working.

### **4.2.3. Check-In with Finance/Admin Section**

If you are replacing the FSC, the following processes should be in place, but otherwise will need to be established by the FSC when stood up.

- Travel Orders: Provide a copy of orders or other travel documents with FSC. Take care of this soon

so there are no delays when you are ready to leave.

#### 4.2.4. Check-In with Logistics Section

- Berthing assignment: The incident will provide adequate berthing, unless you are locally based. If the incident is small, you may be allowed to make your own arrangements, or they may have already contracted with a local hotel for incident personnel. Regardless, Logistics typically tracks where personnel are lodging.
- Meal schedule: The size, complexity and location of an incident affects the availability of meals. On most Coast Guard responses, meals are not provided and are the responsibility of the individual. Provided meals are tracked and the individual is required to make the appropriate modifications to their travel claim.
- Consumables: Determine where to obtain necessary materials for the Section (e.g. copy paper, pens, markers, etc.).

#### 4.2.5. Review and sign the ICS 208-CG Site Safety and Health Plan

All incident personnel must review the incident specific ICS 208-CG Site Safety and Health Plan and sign the Worker Acknowledgement Form.

- A copy of the ICS 208-CG may be found at Check-In, Staging Areas, and in the ICP in the Operations Section and Safety Officer's work area.

- On large incidents, the ICS 208-CG may also be posted in areas such as the meal area and where large groups of people congregate.
- Periodically review the ICS 208-CG to learn about any additions and updates to the Plan.

### **4.3. Obtain Situation Assessment**

Perform the following tasks after checking in to the incident and prior to meeting with your supervisor.

4.3.1. Review the current ICS 201 and/or IAP  
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 to brief you.

- You need to find out the Who, What, When, Where, Incident Organization, and Resources related to the incident. The “how” and “why” for the incident will be determined by the investigation.

4.3.2. Determine the kind of incident  
Determining the kind of incident (search and rescue, oil/hazmat, law enforcement, natural disaster, etc.) provides an idea of the resources that should be operating in theatre.

4.3.3. Determine the key players  
Determining the key players (Federal, State, local, industry) gives insight into why Command is setting particular objectives as well as the boundaries of the incident Area of Responsibility (AOR).

- Consider the local community. Know their goals and expectations.

4.3.4. Determine when the incident took place  
An incident changes character over time including survival rates, weathering of oil, potential contaminants, vessel stability, etc.

4.3.5. Determine where the incident took place  
Determine the incident Area of Responsibility (AOR). This helps you understand relationships, geography, local plans, etc. Spend time getting to know the area.

- Be aware of any community issues, sensitive areas, and endangered species within the incident AOR.

4.3.6. Determine the incident organization, size and complexity

- Determine incident organization (review the ICS 201 page 3 or ICS 207).
- Determine incident complexity, Type 1, 2, or 3.
- Identify for whom you work (e.g. IC/UC). You must also know who is in your direct chain of command (e.g. Incident Commander(s) (IC/UC)) as well as other key players such as the Planning Section Chief (PSC), Operations Section Chief (OSC), Intelligence/Investigation Section Chief (ISC) - if staffed, Finance/Admin Section Chief (FSC), Liaison Officer (LOFR), and Safety Officer (SOFR).

- Determine whether expanding or contracting.
- Determine if there are any political considerations.

4.3.7. Obtain a meeting and briefing schedule  
Look for the ICS 230-CG daily meeting schedule. If not posted, the Situation Unit should have it available

- Determine the next meeting or briefing you need to attend.
- Look for the ICS 230-CG daily meeting schedule.

4.3.8. Determine Finance Section information  
Before meeting with the IC/UC, determine general finance section information.

- Finance Section process and procedures in place.
- Authority given from the IC/UC to request and order resources.
- Funding sources and ceilings.
- Timelines for a financial updates/reports.
- Pollution Removal Funding Authorizations (PRFA) issued.
- Contracts issued.
- Authorization to Proceed (ATP) issued.
- Purchases made.
- See 9.28 Transition/Relief Checklist for more information.

#### **4.4. Receive Initial Brief**

The initial briefing is your opportunity to receive additional details about your incident assignment. You may or may not get a chance to spend time with the IC/UC and/or Deputy IC before you start working. If you are NOT able to have this brief, meet with the current FSC or other Planning Section personnel.

##### **4.4.1. Define your role**

- Determine the role you are filling. Are you playing the role of FSC and LSC (multi-hatted)?
- Determine your experience level for the role you are filling. Are you experienced for the position? If not, consider requesting a Deputy FSC (DFSC) with that experience.
- If you are relieving an already established Finance Section, have a transition meeting with the off-going FSC. Review 9.28 Transition/Relief Checklist.

##### **4.4.2. Obtain the expectations of the IC/UC**

ICs have different levels of expertise and experience. In a multi-hazard, multi-jurisdictional incident, it is possible that the IC/UC does not have expertise in Finance Section activities. At a minimum, clarify the following expectations from the IC:

- Determine if Command want a briefing from you on the process and procedures you typically use

as FSC.

- Determine how often the IC/UC wants to be updated.
- Determine IC/UC trigger points and Immediate Reporting Thresholds for the Finance Section.
- Determine your authority from the IC/UC to request and order resources.
- Determine how often the IC/UC wants a financial updates/reports.
- Determine the following if not already known:
  - Funding sources and ceilings
  - Pollution Removal Funding Authorizations (PRFA) have been issued.
  - Contracts issued.
  - Authorization to Proceed (ATP) issued.
  - Purchases made.

#### 4.4.3. Identify any limitations and constraints

- Staff size, wall space, and battle rhythm/reporting requirements.
- Fund ceiling imitations for ordering.
- Specific financial limitations for the incident.

#### 4.4.4. Determine the resource request process

Identify the resource requesting process established. If this has not been established yet, a resource request process must be developed with the LSC and RESL.

- FSC plays a key role in the requesting and

ordering of operational resources.

- FSC must know the process limitations and constraints established by Command for the incident.
- See chapter 6, Manage Finance Processes for more information.
- See 9.12 Example Resource Request Process for more information.
- Clarify the long-term view for resource utilization for the incident.
  - Clarify operational resource requirements with OSC beyond the next operational period that will affect procurement and contracts.
  - Determine how much and/or how long a resource will be needed, as it will influence cost.

#### 4.4.5. Determine the Funding and Resource Ordering Process

If this has not been established yet, the funding and resource ordering process must be completed. See 9.14 Incident Funding and 9.17 Resource Order Process for more information.

### **4.5. Activate Finance Section**

Activation of the Finance Section begins with management of the Section (staffing and organizing the Finance Section workspace), and includes starting the Finance services and support processes.

### 4.5.1. Determine Staffing Requirements

Figure 1 (inside front cover) provides a sample Finance Section Organization. Table 1 below is taken from USCG IMH, Chapter 13 Organizational Guides. Keep in mind the recommendations are based on 12-hour work schedules and may need to be doubled for round the clock response. Table 2 is a Finance Section Staffing Worksheet to help develop Section staffing needs based on the incident.

Table 1: Finance Section Organizational Guide

|                                        | Size of incident (# of Divisions/Groups) |          |           |           |           |
|----------------------------------------|------------------------------------------|----------|-----------|-----------|-----------|
| <b>Position</b>                        | <b>2</b>                                 | <b>5</b> | <b>10</b> | <b>15</b> | <b>25</b> |
| Deputy FSC                             |                                          |          |           |           | 1         |
| Time Unit Leader (TIME)                |                                          | 1        | 1         | 1         | 1         |
| Time Recorder, Personnel (PTRC)        |                                          | 1        | 3         | 3         | 5         |
| Time Recorder, Equipment (EQTR)        |                                          | 1        | 2         | 2         | 3         |
| Cost Unit Leader (COST)                |                                          | 1        | 1         | 1         | 1         |
| Cost Analyst                           |                                          |          | 1         | 1         | 1         |
| Procurement Unit Leader (PROC)         |                                          | 1        | 1         | 1         | 1         |
| Compensation/Claims Unit Leader (COMP) |                                          | 1        | 1         | 1         | 1         |
| Administrative Unit Leader (ADMN)      |                                          |          | 1*        | 1*        | 1*        |
| Property Unit Leader (PROP)            |                                          |          |           |           |           |

\* With the introduction of Direct Access Mobilization (DA MOB), this position will be required at the ICP for larger incidents.

Table 2: Finance Section Staffing Worksheet

| <b>Staff</b>     | <b>Shift #1</b>          | <b>Shift #2</b> |
|------------------|--------------------------|-----------------|
| FSC              |                          |                 |
| Deputy FSC       |                          |                 |
| TIME             |                          |                 |
| PTRC             |                          |                 |
| EQTR             |                          |                 |
| COST             |                          |                 |
| Cost Analyst     |                          |                 |
| PROC             |                          |                 |
|                  |                          |                 |
| COMP             |                          |                 |
| ADMN             |                          |                 |
| PROP             |                          |                 |
|                  |                          |                 |
|                  |                          |                 |
| <b>Sub-total</b> |                          |                 |
| <b>Total</b>     | <b>Shift 1 + Shift 2</b> |                 |

- Determine Finance Section staffing needs considering incident response activities, command expectations of the Finance Section, planning support needs of the Command and General Staff and Operational Planning Process needs.
- The number of Finance Section personnel needed may change based on the IMT services and support demand.
- Consider the addition of Deputy FSCs to manage

span of control within the Section. DFSCs can be utilized in many different ways, and can be invaluable to multiplying the FSC's efforts in effectively managing the Finance Section's responsibilities. DFSCs should be fully qualified (e.g. have a FSC qualification). They may specialize and can support specific aspects of the overall Finance effort. DFSCs may also be used to manage and/or lead extended or round-the-clock Finance Section activities.

- **Technical Specialists.** THSPs can be placed anywhere within the organization, at any time, in order to maximize the benefit of their expertise. Consider these people to be your subject matter experts for a particular aspect of incident Finance efforts.

#### 4.5.2. Request Staff

Determine optimal assignment for section personnel and develop ICS 213RR-CG Resource Requests to fill gaps and projected Finance Section needs.

- If the ICS 201 is complete and available, you can determine the assignment and status of personnel assigned to the Finance Section. This can be done by reviewing the ICS 201 Page 3 Current Organization, and ICS 201 page 4 Resource Summary.
- If the ICS 201 is not complete, obtain your information from the IC, check-in lists, organization charts and personal observations.

- Assign Finance Section personnel based on availability and qualifications as determined in the above two bullets. Determine additional personnel needs based on the incident using Tables 1 and 2.
- Submit an ICS 213RR-CG in accordance with the incident resource requesting process.
- Ensure your calculations consider work shifts and hours of operation.

#### 4.5.3. Establish a work location(s)

The Finance Section should be located within the ICP and near the Logistics Section.

- Ensure adequate workspace for number of personnel and equipment, including the possibility for expansion. The ICS 235 Facility Needs Assessment Worksheet is a tool to help determine space needs.
- You have a very close relationship with the LSC and your Procurement Unit Leader (PROC) has a very close relationship with the Supply Unit Leader (SPUL). Your Cost Unit Leader (COST) and Time Unit Leader (TIME) work closely with the Resource Unit Leader (RESL). Ideally, all sections will be collocated in one space. Think about how big your organization (the Finance section) may get and plan accordingly. Moving is disruptive but typical during the early stages of the incident. Moving once the organization settles in can be very problematic. Factor in flow of information to your design. Ensure your space is a safe place to

work.

- A virtual Finance Section could work from any location as long as appropriate financial support functions are completed properly and have appropriate communications with customers in the ICP.

#### 4.5.4. Acquire work materials

- Identify appropriate work materials based on Finance Section needs. See 9.2 FSC Deployment kit for list of items.
- Submit an ICS 213RR-CG Resource Request in accordance with incident resource request process. See 9.13 Example ICS 213 RR-CG Resource Request Message.

#### 4.5.5. Organize and brief subordinates

Identify the immediate incident service and support demands and organize your personnel to meet those demands until additional personnel report. Conduct the initial Section meeting as outlined in 9.5 Section Meeting Guidelines to establish guidelines, expectations, work schedule, meeting schedules, and incident service and support needs. This also includes information flow within the Section.

- Explain resource request and ordering process to subordinates.
- Develop a Section organization chart to identify roles and highlight span of control issues.
- Evaluate the span of control with the Section and

request/assign additional personnel to maintain proper management ratios, if needed.

- See 9.4 Section Standard Operating Guide.

#### 4.5.6. Forecast Requirements and Establish Finance Units

Forecasting requirements and establishing Finance Units is one of the most critical points in the work that you (the FSC) do to help the Incident Management Team move from a crisis to managed phase.

- Time Unit. For more complex incidents beyond a very simple Type 3, you will need a TIME to help track equipment and personnel records. See 6.2 “Ensure time recording needs for incident personnel and equipment are met – Time Unit” for more information.
- Cost Unit. For more complex incidents beyond a very simple Type 3, you will need a COST to track incident costs. See 6.3 “Ensure cost needs for the incident personnel and equipment are met - Cost Unit” for more information.
- Procurement Unit. Every incident needs personnel, supplies and equipment to keep it running. FSC will be supporting all procurement requirements or will need a PROC. See 6.4 “Ensure procurement needs of the incident are met - Procurement Unit” for more information.
  - Determine if agency cost sharing agreements are in place or are needed.

- Determine Incident Funding. Determine if adequate funding exist for the next 72 hours. You should always project out at least this far. See 9.14 Incident Funding and 9.15 Ceiling Calculation for more information.
  - Does existing funding match the incident type AND current operations?
  - Is the current ceiling on a particular fund projected to pass a point requiring extra documentation?
- Compensation/Claims Unit. Determine the incident compensation/claims requirements. See 6.5 “Ensure compensation and claims needs of the incident are met – Compensation/ Claims Unit for more information.
- Administrative Unit. Determine the incident administration requirements. See 6.6 “Ensure administration needs of the incident are met - Administration Unit” for more information. The ADMN position is required for larger incidents to help manage Direct Access Mobilization (DA MOB).
- Property Management Unit. Determine the incident property management requirements. Determine if this function will be managed by the SPUL or PROC. Coordinate with the LSC and SPUL to determine if a property management plan is needed. See 6.7 “Ensure property management

needs of the incident are met – Property Management Unit for more information.

#### 4.5.7. Establish finance processes

The success of the Finance Section is measured by IMT customer satisfaction with incident financial support functions. See Chapter 6, Manage Finance Processes and See 9.10 Financial Management Processes for more information.

- Establish a system for receiving status updates and information from resources on status of procurement and contracts equipment. (e.g. sourced ICS 213RRs from PROC). This may be in the form of inboxes, envelopes or an easel chart.
- Establish a timeline to ensure the Finance Section is able to meet the reporting/briefing requirements (i.e. LSC information needs for resource requests).
- Determine resource request and ordering processes.

#### 4.5.8. Begin Support to the ICS Planning Process

See Chapter 7 Support the ICS Planning Process for more information.

#### 4.5.9. Begin Section Documentation

Start proper documentation for the Section. This includes periodic Finance Section documentation of the incident as it stands at a specific time.

- See 6.9 Maintain Documentation for more information.
- Begin ICS 214 Activity Log.

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## **5. Manage Section Personnel**

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After initial set up of the Finance Section, the FSC must manage the Section and personnel.

### **5.1. Task and Employ Staff**

Once your staff has been identified and are either in route or assigned to the incident, they will need direction and guidance, even if they are self-starters. It will be beneficial to provide consistent and appropriate tasking with clear expectations.

While the responsibility for the Finance Section functions is yours, you cannot do all of it yourself. Identify and task Unit Leaders and personnel in your Section to support your efforts.

- Develop a Finance Section Standard Operating Guide. Handout/post this guide for Section personnel to review. See 9.4 Section Standard Operating Guide for more information.
- Schedule Section Meetings
  - At least one per operational period.
  - If necessary, one per Finance Section shift.
  - Brief subordinates on work assignments.
  - See 9.5 Section Meeting Guidelines for more information.
- Brief subordinates on work assignments and provide direction. Use the 9.4 Section Standard Operating Guide as the starting point.
- Conduct staff debriefings.

- At least one per operational period.
- If necessary, one per Finance Section shift.
- See 9.6 Finance Staff Debrief for more information.

## **5.2. Support Personnel**

The personnel working for you require support. You have already started this support by ensuring you have enough workspace/facilities and equipment (e.g. the ICS 235 Facilities Needs Assessment worksheet). Working on incidents is highly stressful and your personnel need your support to function well.

- Keep personnel informed and be honest with them.
- Obtain their feedback.
- Ensure they have basic needs met such as food and lodging.
- Establish an equitable work schedule.
- Provide safe working conditions.
- Provide Section staff appropriate On-the-Job Training (OJT) support as needed to gain skills and knowledge in the section.
  - ICS position specific training.
  - Equipment training (computers, systems, etc.).
- Use a Section Standard Operating Guide to set the direction, expectations, and guidelines for the Section.

### **5.3. Evaluate Staffing Level**

Continually evaluate section staffing level to ensure:

- Future personnel requirements.
- Rotations – Identify need for replacements as soon as possible.
- Shift work –Expand and contract the number of shifts depending on incident needs (e.g. multiple vs. daytime only, etc.).
- Work-life (e.g. stress reduction, time-off, morale events, etc.).

### **5.4. Evaluate Personnel**

Continuous evaluations of personnel should be performed to ensure the Section is operating properly and effectively. Personnel need to know how they measure up.

- Evaluate personnel against established expectations and provide feedback/guidance where needed.
- Document as required. Consider using the ICS 225-CG Incident Personnel Performance Rating. This can be used at any time. See 9.30 ICS 225-CG Incident Personnel Performance Rating.
- Submit Section/personnel for recognition, as required.
- Invite feedback on yourself.

## **5.5. Evaluate Section**

You should routinely evaluate your section. See 9.26 Finance Section Self-Evaluation Checklist and 9.27 Personnel Evaluation Criteria to help evaluate how your Section is performing. This evaluation should be part of your Section Standard Operating Guide. Ask the IC/UC and other IMT members about the service your Section is providing. Confirm that the Section is:

- Functioning as a team.
- Producing the products required.
- Providing the correct information.

## **5.6. Complete Action Review**

Complete after action review (AAR) at any time to help improve Section activities. This can be performed individually or as a group.

## **6. Manage Finance Processes**

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### **6.1. Finance Process Overview**

Decide how you want information to flow within your Section and you maintain an up-to-date status of all Finance activities. This helps you understand the incident financial support needs.

- Establish an INBOX/OUTBOX area for the section.
  - The INBOX will be the place for personnel to provide updates to the following type of input;
  - The OUTBOX will be the location that historical data will flow to the Documentation Unit once it is updated with current data.
- Determine method to log and track Finance activities.
  - ICS 213 General Message. Any incident data/information coming into the Section not on a form should be documented on an ICS 213 General Message form. This creates a record of correspondence.
  - ICS 214 Activity Log – used by Unit Leaders and the FSC to document the four A's: attendees, actions, accidents and agreements.
  - Track open issues for Finance Section on an ICS 233-CG Open Actions Tracker until action is complete. For example, waiting for status of one resource order.

## **6.2. Ensure time recording needs for incident personnel and equipment are met – Time Unit**

The FSC is responsible to ensure incident equipment and personnel time recording are completed properly. The FSC may use a TIME to manage this requirement. Below are some key actions for TIME:

- Ensure collection of time data in coordination with RESL.
- Coordinate with AREPS for time recording requirements.
- Ensure daily personnel and equipment recording documents prepared in accordance with organizational requirements.
- Release time reports as appropriate.
- Submit time reports to COST.
- Implement procedures to safeguard Personally Identifiable Information (PII).
- See 9.25 Tracking Time and Costs for more information.

## **6.3. Ensure cost needs for the incident personnel and equipment are met - Cost Unit**

The FSC is responsible for tracking all costs associated with the incident. This will typically done by the COST. This includes collecting all cost data, conducting cost effectiveness and cost savings

analysis, and providing cost estimates for the incident. Below are some key actions for COST:

- Ensure collection of cost data.
- Ensure proper cost documentation for the incident (e.g. CG-5136 for CG costs).
- Ensure proper cost ceiling management.
- Provide cost analysis/reports/summaries and/or burn rates as requested.
- Implement procedures to safeguard Personally Identifiable Information (PII).
- See 9.25 Tracking Time and Costs for more information.

#### **6.4. Ensure procurement needs of the incident are met - Procurement Unit**

The FSC is responsible for administering all financial aspects of contracts, leases and fiscal agreements. This is typically managed by the PROC. This also includes the request process and ordering process working with the LSC/SPUL. The PROC may have additional staff to support this requirement depending on the size of the incident. Below are some key actions for PROC:

- See 9.10 Financial Management for overall discussion.
- The overall lifecycle of a resource on an incident is shown on 9.11 Life Cycle of a Resource – Resource R.
- Develop a resource request process for the

incident with the RESL and LSC/SPUL. See 9.12 Example Resource Request Process for an example process that can be modified for the incident and 9.13 Example ICS 213 RR-CG Resource Request Message.

- Determine funding sources. See 9.14 Incident Funding for more information.
- Develop a resource order process for the incident with the LSC. See 9.17 Resource Order Process for an example process that can be modified for the incident.
- Ensure proper funds management. See 9.15 Ceiling Calculation for more information.
- Ensure proper procurement in support of the incident. See 9.17 Resource Order Process for more information.
- Establish contracts as appropriate to support the incident.
- Ensure funding obligation documents properly prepared/completed. See 9.16 Document Control Number (DCN) Log for more information.
- Ensure obligations properly entered in financial recording software.
- Coordinate with SPUL and PROP to ensure accountable/reportable property accountability.
- Provide cost data to COST.

## **6.5. Ensure compensation and claims needs of the incident are met – Compensation/ Claims Unit**

The FSC is responsible compensation and injury claims related activities for the incident. This is typically managed by the COMP. The COMP may have additional staff to support this requirement depending on the size of the incident. The USCG typically does not manage this function. Below are some key actions from the IMH chapter 11 for COMP:

- Ensure collection of compensation/claims data.
- Coordinate with MEDL, SOFR, and LOFR for injuries and claims.
- Coordinate procedures for claims with procurement unit.
- Determine claims process and whether using internal Claims for responders vice OPA-90 claims. Contact NPFC case manager for claims support.

## **6.6. Ensure administration needs of the incident are met - Administration Unit**

The FSC is responsible for managing administrative personnel issues for the incident. The ADMN, if assigned, would be responsible for this function. Below are some key actions from the IMH chapter 11 for ADMN:

- Ensure collection of administrative data.

- Provide pay and travel support to incident personnel as appropriate.
- Validate time cards for CG civilian personnel.
- Ensure personnel understand how to document overtime.
- Implement procedures to safeguard Personally Identifiable Information (PII).
- Manage Direct Access Mobilization (DA MOB) as required. See 9.17.4 Resource Order Source Options for information on DA MOB.

### **6.7. Ensure property management needs of the incident are met – Property Management Unit**

The FSC is responsible for all accountable property procured, leased or loaned for the incident. If the PROP position is not staffed, the responsibility would be assigned to the SPUL or PROC. Below are some key actions for PROP:

- Coordinate with PROC and SPUL to ensure all orders and purchases are screened to identify accountable or reportable property and what items need to be entered on CG accountable property systems.
- Ensure proper documentation for accountable property (e.g. ICS 261).
- Ensure all accountable property is appropriately marked and identifies ownership.
- Ensure property assigned to incident is transferred

back or disposed of according to policy.

- Determine accountable property tracking process. Since the PROP will be tracking distribution and use of accountable property, there must be a process in place to track these items.
  - The ICS 261 Incident Property Tracking Table is a simple spreadsheet that can be modified to meet the incident needs for tracking accountable property. See 9.19 ICS 261-CG Example Incident Property Tracking.
  - The ICS 219-9 Accountable Property Assignment Record is an excellent tool to track property assignment. See 9.18 Example ICS 219-9 Accountable Property Assignment Record for more information on how to use this tool.

## **6.8. Coordinate with IMT members**

Understand the interactions the FSC has with other IMT members and need to keep them information of significant changes in Finance status. See functional interactions 9.3 Functional Interactions for more information. The FSC may be involved with IMT members at other meetings or events like a town hall meeting.

## **6.9. Maintain Documentation**

Maintain proper documentation for the Section. This includes periodic documentation of the incident as it stands at a specific time. Some of the

documentation includes:

- ICS 213 General Message
- ICS 213RR-CG Resource Request Message
- ICS 214 Activity Log
- ICS 214A-CG Chronology of Events Log, if used
- ICS 219-9 Accountable Property Assignment Record T-Cards
- ICS 225-CG Incident Personnel Performance Rating
- ICS 233-CG Open Actions Tracker for Finance Section activities
- ICS 235 Facility Needs Assessment
- ICS 237 Incident MISHAP
- Documented decisions (see 9.21 Example Decision Memo)
- Resource Request/Order Tracking Spreadsheet
- AF-538 Personal Clothing & Equipment Record
- DD-1149 Requisition and Invoice/Shipping Document
- Report of Survey
- Purchase Requests (PR)
- Contracts

See also 1.6 Materials and Forms for other forms and information.

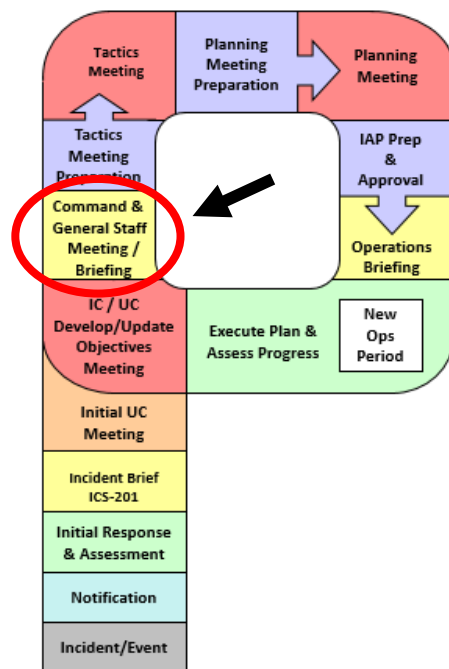
## 7. Support the ICS Planning Process

The FSC must support the ICS Planning Process. See 9.31 Finance Section Chief Activities in the ICS Planning Process for a visual of the resources activities using the planning process “P.”

### 7.1. Attend Command and General Staff Meeting

This is a key meeting for the FSC to meet with Command and General Staff.

- The FSC will receive the IC/UC Command Direction (priorities, objectives, limitations/ constraints, key decisions and critical information requirements/immediate reporting thresholds) and tasking.
  - Determine if Command made any decisions that will impact your world of work (e.g. The RP wants First Right of Refusal, all purchases/ expenditures projected to be in excess of \$xxK must be cleared through UC, etc.).
- The FSC will provide feedback to the IC/UC on IC/UC focus/direction and Finance activities, issues and concerns. Have a standard report to deliver, preferably in writing. One page is sufficient

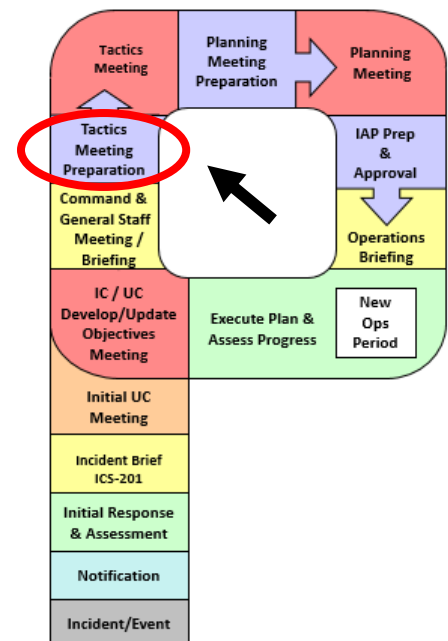


The FSC will discuss:

- Funding sources and ceilings.
- Incident financial issues.
- Update on burn rate and cost analysis including cost effectiveness if able.
- Resource requesting, approval and ordering process (with the LSC).
- Any other processes related to the Finance Section.
- Finance section issues/concerns/needs.
- Interagency issues. It is highly likely that you will be coordinating with other agencies (e.g. especially with orders on a Basic Ordering Agreement (BOA) or other larger contracts, making decisions on which agency will fund certain items, sharing documentation, etc.). Discuss with Command the issues for which they want visibility and those for which you have authority to proceed.

## 7.2. Prepare for the Tactics Meeting

This period of time after the Command and General Staff meeting should be used by the FSC to ensure their staff is fully employed and ready to meet the challenges of acquiring resources for the current and next



operational period.

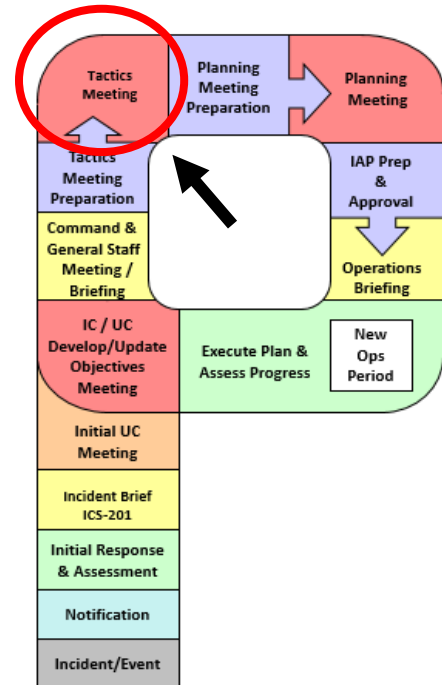
- Conduct a Business Management Meeting to match Command's intent regarding logistical and financial processes and activities for the incident and that they are communicated to key personnel. See 9.7 Business Management Meeting for more information.
- Conduct Section meeting with Finance staff. See 9.5 Section Meeting Guidelines. Ensure you have connected the dots between Command's intent and what Finance must do to meet that intent. While this may seem extraneous (don't my people know what to do?), they are far more likely to meet your expectations in an emergent environment if you get into the habit of holding this meeting daily. This also helps reduce stress for your staff as you share information and obtain feedback.
- Verify with PSC procurement and contracting requirements for the Tactics Meeting.
- Status of financial situation.
- Clarify processes:
  - You should be asking if the processes currently in place are working well.
  - If the processes are not in place, then the FSC develops or works with the LSC to develop as appropriate.

- See 9.10 Financial Management Processes for more information on the various processes you may need to have in place.

### 7.3. Support the Tactics Meeting

This 30-minute or less briefing is the opportunity for the OSC to present the proposed Plan. The most important question for the FSC is if resources identified in the Tactics Meeting can be funded and acquired in time for the next operational period.

- Proposed tactics - As the OSC presents the plan, listen for and make note of issues of concern. Generally, the PSC will ask that you allow the OSC to finish their briefing before the questions start so as not to derail the presentation of the overall plan.
- Identify resource needs – RESL will note resource needs on the ICS 215 (see 9.8 Example ICS 215 Operational Planning Worksheet).
  - Determine timeframe more costly resources be needed on the incident.
  - Determine the resources the OSC considers critical to the next operational period.



- Determine if any new resources will exceed the current ceiling.
- Determine if the best costs (e.g. cost per day, per week, etc.) have been negotiated.
- Discuss availability of needed resources – Quite often resources from a local area can be acquired for short periods of time to support an incident. This is especially true of personnel. The operative word is “short.” If you expect to use a resource in excess of a week, remember that you are affecting another agency’s routine. Some resources are scarce by their nature (e.g. helicopters, salvage resources, dive teams, etc.). Query the OSC to see how non-availability will affect the objective. Sometimes the OSC can create a work-around, if there is time to do so.
- Identify resource shortfalls – In theory, any resource requested by the OSC has some impact on the operation. It is critical that you play an active role in this discussion. It is much better to under promise and over deliver in the emergency response environment.
- Identify resource support requirements which will affect funding and contracts
  - Determine if the OSC has factored in the potential for different operating schedules (e.g. boat crew or aviation crew operating hours) and overtime.

- Determine support resources that may not show up on the ICS-215 (e.g. shovels, rakes, PPE, ammunition, etc.).
- Agree on how and when to communicate the non-availability of any required resources to the OSC and PSC. Recommend to the OSC and PSC that you reconvene (along with the SOFR and LSC) for a few minutes just prior to the Planning Meeting. This will ensure you are all on the same page prior to presenting the plan to the IC/UC.

## 7.4. Prepare for the Planning Meeting

This period of time is for the Finance Section staff to source and order resources for the next operational period. The most important question for the FSC, in preparing for the Planning Meeting, is if resources identified in the Tactics Meeting can be acquired (procurement or contracts in place) in time for the next operational period. This can be particularly problematic if the operational periods are 12 hours in length (typically during the early phase of an incident). It may be unrealistic to expect availability of contracts or large equipment unless they are on a pre-existing Basic Ordering Agreement (BOA).



- Determine additional resources to support objectives – Many tactics require resources that may not show up on the ICS-215 (e.g. shovels, rakes, PPE, ammunition, etc.). These in-the-weeds details can often determine the success of a tactic.
- Order necessary resources (procurement or contracts) – By this time you should have approved ICS 213RR-CG's for the next operational period.
- Update OSC on resource non-availability – This is critical to the success of the OSCs operations AND your relationship with the OSC and PSC. Follow through with your agreement on how you will notify the OSC and PSC of any resources that cannot be acquired in time for the start of the next operational period.
- Working with LSC, order support for resources – Remember that fuel, food, transportation, communications, and a host of other items must all come together to make the next operational period work.
- Identify contingencies as needed – While you cannot plan for everything, you should ensure that your staff is aware of and using local contingency plans, and that they develop a mindset, which is always asking, “what if this resource breaks/runs out of fuel, parts, etc.” Do you have other solutions to potential problems?

## 7.5. Support the Planning Meeting

This 30-minute or less meeting presents the Incident Action Plan to Command for tentative approval. The FSC should be ready to validate that resources identified during the Tactics meeting for the next operational period have been ordered and will be available.

- The FSC validates support for the proposed Incident Action Plan as presented by the OSC. Even if there are resources that cannot be acquired (which becomes a limitation or constraint that you have communicated to the OSC and PSC), in all other respects the FSC should be ready to support the plan.



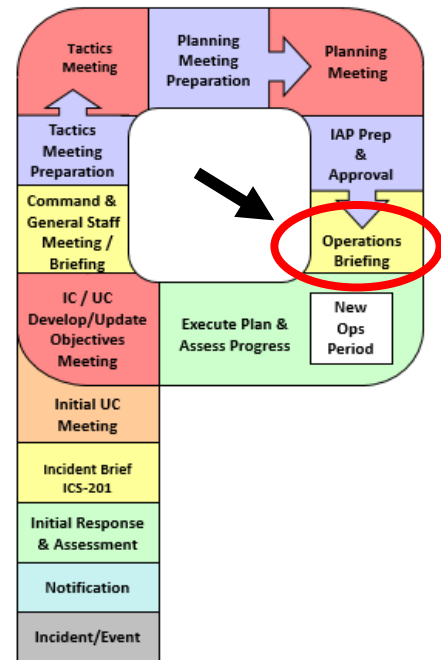
## 7.6. Post-Planning Meeting Actions

At the conclusion of the planning meeting, the General Staff have a lot of work to accomplish to ensure a quality IAP is delivered in time for the next operational period. Specifically, the FSC must ensure that resources identified during the Tactics Meeting have been ordered by the PROC as necessary and funding sources cover all aspects of incident management through the next operational period.

## 7.7. Support the Operations Brief

This 30-minute or less briefing presents the Incident Action Plan to the Operations Section Division and Group Supervisors. The FSC is responsible for providing financial information related to field responders.

- FSC covers financial issues specifically related to field personnel/responders as appropriate. These include:
  - Claims process – Discuss how to file claims. Responders have their own claim process and may be questioned by the public about how to file a claim. Know the difference between the two and have a process for both.
  - Time cards – Discuss how responders capture their time.
  - CG civilian overtime – Discuss process to document CG civilians' overtime, if needed.
  - Accountable property – Discuss any process or procedure for accountability for property.
  - Other – Discuss any other time, cost, procurement, administrative and compensation/claims issues the responders need to know about.



- After the Operations Briefing, conduct a Finance Staff debriefing to collect information from subordinates on lessons learned. See 9.6 Finance Staff Debrief for more information. This information will be used to prepare for the upcoming Command and General Staff meeting.

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## **8. Transition-Demobilization**

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### **8.1. Transition/Relief of Personnel or Team**

#### **8.1.1. Transition Process**

Depending on the length of the response, individual personnel in the Section or the all personnel on the IMT may transition/need to be relieved. In order to transition, the following must occur:

- **Request Relief.** The incident supervisor or outgoing member requests relief. This should be completed at least 2 weeks prior so a proper relief can be located, ordered in, and arrive in time for overlap and relief.
- **Incoming/Outgoing member Transition Briefing.** The incoming member obtains a briefing from the outgoing member. See 9.28 Transition/Relief Checklist for example information to discuss.
- **Incoming/Outgoing member operational period overlap.** Ideally, the incoming and outgoing members would have an overlap of three Operational Periods. For the first operational period, the incoming member observes. The second operational period is done together and the outgoing member observes the third operational period. This applies for any function, whether you are the OSC or PROC, the functions each position applies will be the same in each Operational Period.
- **Outgoing member supervisor debrief.** Outgoing member debriefs with their incident supervisor.

Topics include: lessons learned/recommendations, feedback on their leadership, feedback on subordinates, and note transition complete

- Outgoing member individual demobilization. Outgoing member conducts individual demobilization in accordance with the Demobilization Plan.

### 8.1.2. Timelines for Deployment

When requesting a replacement, consider timelines for deployment in when a replacement is to be requested for the incident. Consider timelines when requesting replacements during an incident.

- A standard 21-day deployment typically translates to no more than 16 days on the job.
  - One day of travel on each end (two days total)
  - One day of demobilization processing/medical clearance.
  - If in a leadership position, require minimum of one-day transition/overlap for relief on each end (minimum two days) but ideally three operational periods.
- Timelines for reserve personnel on a 60-day deployment typically translates to no more than 49 days on the job.
  - Five days of leave earned.
  - One day of travel on each end (two days total).
  - One to two days of Demobilization Processing/Medical clearance.

- If in a leadership position, require minimum of one day transition/overlap for relief on each end (minimum two days) but ideally three operational periods.

## **8.2. Provide input to the Demobilization Plan**

The FSC works closely with the DMOB in developing the Demobilization Plan.

- FSC should provide DMOB with what Finance Units are required to be seen during the checkout process. See 9.29 Example ICS 221. Typical check out requirements include:
  - Time Unit – Ensure time cards, logs, CG-5136, or other time documentation is on file with Time Unit.
  - Other Finance Unit – there may be a need to have incident personnel checkout with other Finance Units.
- Be sure to specify the checkout requirements for DMOB to add to the Demobilization Plan and/or ICS 221. This information will help DMOB develop the Demobilization Plan.

## **8.3. Review Approved Demobilization Plan**

Determine the command priorities for release of personnel from the Demobilization Plan and use to identify priorities and expectations regarding the demobilization of personnel and Section.

## **8.4. Supervise demobilization of Section personnel**

- Provide input to IC/UC for demobilization of Section personnel.
- Identify Section personnel for demobilization. Ensure you have requested replacements if required.
- Brief subordinates regarding their pending demobilization and process including use of the ICS 221, Demobilization Checkout Sheet.
- Evaluate and recognize personnel (e.g. ICS 225, and possible awards draft). See 9.30 ICS 225-CG Incident Personnel Performance Rating.

## **8.5. Supervise demobilization of Section**

- Ensure final turnover/disposition of documentation to DOCL.
- Turn in equipment and supplies as appropriate.
- Provide SPUL with a list of supplies to be replenished.
  - Consumables.
  - Equipment (computers, radios, GPS, etc.).
  - Consider replacement in kind.

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## 9. Appendices

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### 9.1. Personal Deployment kit

|  |                                                                                                              |
|--|--------------------------------------------------------------------------------------------------------------|
|  | Uniforms appropriate for the response including appropriate footwear                                         |
|  | Verify any special PPE required or will be provided by the incident                                          |
|  | Update your family emergency plan (see <a href="http://www.ready.gov">www.ready.gov</a> for details)         |
|  | Gather emergency contact information                                                                         |
|  | Determine dependent care plan (i.e. wills, powers of attorney, etc.)                                         |
|  | Create payment plan for bills                                                                                |
|  | Ensure sufficient medications and/or medical supplies for 30 days                                            |
|  | Determine pet care plan if applicable                                                                        |
|  | Gather power supply and/or chargers for personal communication equipment (i.e. computers, cell phones, etc.) |

## 9.2. FSC Deployment kit

| Item Name                                     | Qty | Unit | √ |
|-----------------------------------------------|-----|------|---|
| Computers with internet                       | 2   | Ea   |   |
| Clips, Binder, Assorted Sizes                 | 3   | Pk   |   |
| Clips, Paper, 100 per Bag                     | 2   | Pk   |   |
| Flags, Post-it                                | 2   | Ea   |   |
| Folders, 6 Part                               | 12  | Ea   |   |
| Hooks (to hang T-Card racks)                  | 12  | Ea   |   |
| ICS-219-9 Property T-Cards                    | 10  | Pk   |   |
| In-boxes or large envelopes                   | 3   | Ea   |   |
| Laser pointer                                 | 1   | Ea   |   |
| Paper, 8 ½" x 11" Notepads                    | 9   | Ea   |   |
| Paper, Post-it Notes 3x3 & 3x5                | 2   | Pk   |   |
| Paper, ICS Forms: 209, 213, 213RR, 214, etc.  | 20  | Ea   |   |
| Pens, Fine Point, Dry Erase                   | 3   | Bx   |   |
| Pen, Red                                      | 1   | Bx   |   |
| Pen, Blue                                     | 2   | Dz   |   |
| Pen, Highlighters                             | 18  | Ea   |   |
| Pen, Black, Permanent Marker                  | 2   | DZ   |   |
| Pen, White-out Correction                     | 3   | Ea   |   |
| Power supply cords                            | 1   | Ea   |   |
| Printer                                       | 1   | Ea   |   |
| Reference, Area Contingency Plan              | 1   | Ea   |   |
| Reference, Incident Management Handbook (IMH) | 2   | Ea   |   |
| Reference, ICS Forms Catalog                  | 1   | Ea   |   |

| <b>Item Name (continued)</b>                     | <b>Qty</b> | <b>Unit</b> | √ |
|--------------------------------------------------|------------|-------------|---|
| Reference, Finance Section<br>Chief Job Aid      | 3          | Ea          |   |
| Scissors                                         | 1          | Ea          |   |
| Stapler and Staples                              | 1          | Ea          |   |
| Surge protectors                                 | 1          | Ea          |   |
| Tape, Blue Scotch 2" x 60'                       | 10         | Roll        |   |
| Tape/Tape Dispensers                             | 4          | Ea          |   |
| Tape, Clear, Packing, 2"x60'                     | 5          | Ea          |   |
| T-Card Racks (cloth or metal)                    | 10         | Ea          |   |
| Vest, Green with Finance<br>Section Chief Labels | 3          | Ea          |   |

### 9.3. Functional Interactions

Below are functional interactions to assist the Finance Section Chief with obtaining information from other ICS positions and providing information to ICS positions.

| MEET With | WHEN                    | FSC OBTAINS                                                               | FSC PROVIDES                                        |
|-----------|-------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|
| IC        | Initial brief           | Incident status                                                           | N/A                                                 |
|           | Cmd & General Staff mtg | Command's direction (e.g. IC priorities, objectives, and work assignment) | Status on FSC support to incident                   |
|           | Planning mtg            | Validation of command direction for IAP                                   | Ability of FSC to support next IAP                  |
|           | Ops briefing            | Concerns from field supervisors                                           | Finance update                                      |
| SOFR      | Ops briefing            | Safety information                                                        | Feedback on safety issues                           |
|           | As needed               | Safety information                                                        | Feedback on safety issues                           |
| LOFR      | Ops briefing            | Agency concerns regarding use of resources                                | Feedback on previous encounters with other agencies |
| PIO       | Ops briefing            | Incident policy on press corps encounters                                 | Feedback on previous encounters with press corps    |
| THSP      | As needed               | Technical information to help conduct assignment                          | Feedback on assignment                              |

| <b>MEET With</b> | <b>WHEN</b>              | <b>FSC OBTAINS</b>                                                                                                                 | <b>FSC PROVIDES</b>                      |
|------------------|--------------------------|------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|
| PSC & PIng Staff | Upon arrival at incident | Assignment (if available)<br>Status of current situation<br>Work assignments<br>Resources in play                                  | Home base<br>contact info<br>Other quals |
|                  | Daily                    | Up to date info from SITL and RESL as appropriate to COST and TIME                                                                 | Feedback on resource use summary         |
| LSC              | Ops briefing             | Briefing on logistical issues<br>Food, fuel, etc.<br>Resource request process<br>Medical plan<br>Comms plan<br>Transportation plan | Feedback on resource use summary         |

## **9.4. Section Standard Operating Guide (SOG)**

Having established a Standard Operating Guide (SOG) for your personnel ensures clear communication of your expectations, expected codes of conduct, and procedures/processes. You cannot hold people accountable for information they did not receive. This is especially important when working with personnel from other agencies as not everyone has the same leadership concepts/protocols. Some items to include in the Section SOG:

- “Command philosophy” or guidance
- Section organizational structure and chain of command
- Duties & work expectations of Section personnel
- CIRs and IRTs for you (“when to call me”)
- Code of Conduct (fair treatment, etc.)
- Available employee resources (if any)
- Request and ordering procedures
- Conflict resolution procedures
- Work schedule and rest periods
- Training, qualification and evaluation standards
- Safety procedures and injury reporting procedures

Modify the following example Finance Section SOG to best meet your needs and update it as needed during the incident.

## Finance Section Standard Operating Guide

### 1. Introduction:

This document provides guidance for and expectations of all Finance Section personnel during the \_\_\_\_\_ incident/event. In the absence of supervision, all resources personnel shall be guided by the procedures set forth by this document. All personnel are expected to exercise proper judgment, common sense and training in all situations.

### 2. General Instructions to all Finance Section Personnel: (This section should address work/duty policies and topics)

- All personnel shall ensure they are rested and physically and mentally ready to assume assigned duties
- All personnel shall adhere to the watch/duty schedule
- Change of shifts/watch shall occur \_\_\_\_\_.
- All personnel shall read and sign the Incident ICS 208-CG Site Safety and Health Plan
- Resource Request procedures (Use 9.12 Example Resource Request Process as starting point)
- Resource Order Procedures (Use 9.17 Resource Order Process as starting point).
- Notify the FSC immediately for the following conditions/situations:
  - Injuries or illness involving resources personnel
  - Equipment casualties
  - Major operational changes or incident developments
  - Personnel conflicts that cannot be resolved at immediate supervisor level
  - Complaints concerning Finance service

### 3. Organization:

This section describes and outlines the structure of the Section to show chain of command. See Figure 1 inside the front cover for an example.

### 4. Expectations:

This section should describe the expectations that you, the Finance Section Chief (FSC), have for each function within the Section, including but not limited to:

- Reporting requirements, participation in meetings, communications duties, assistance within Section and to other members of the IMT, etc. (do NOT retype the IMH. You can make it incident specific).
- Deputy FSC (DFSC): (put in information as to how you expect the DFSC to perform). Act in the place of the FSC when the FSC is not in the ICP or is at a meeting.
- XXX Unit Leader: note specific expectations for assigned unit leaders.

### 5. Personnel Policies:

- All personnel shall be in professional attire, such as appropriate uniform of the day or own-agency dress code.
- Professional conduct is expected from all personnel, both on and off duty. Sexual harassment, hazing, bullying, discrimination, and other such unprofessional conduct will not be tolerated.
- Conflict resolution procedures.
- Critical Incident Stress Management (CISM).
- Time off requests.
- Injuries & claims.

- Training.
- Social Media.
- Evaluations.
- Safety procedures.

#### 6. Documentation:

All Finance Section personnel shall maintain required documentation according to positional duties. Do not throw ANYTHING away. All documentation shall be filed by ICS form number and then grouped by Operational Period.

- ICS 214 Activity Logs shall be routed to the DFSC for review.
- Duplication of documents shall be performed by the DOCL.

## 9.5. Section Meeting Guidelines

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

- If 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 IC/UC.
- 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.
- Give your team a situation update. While some will not need or even want details, they will appreciate a quick update. This helps your staff know how the work they are doing is supporting the response.
- Brief current Finance activities. Identify the work expected of your staff during this operational period and the next operational period.
  - Status/availability of financial picture: Your COST and TIME units should have the detail on the resource utilization picture. You should have a broader view of the funding in place, burn rate, direct versus indirect costs, key stakeholders that will be seeking reimbursement, etc.
  - Are there unfilled requests more than 72 hours

old? If so, you and the LSC should be aware of them. A gross rule of thumb is that an unfilled request more than 72 hours old may have lost its value to the incident. Some LSCs require that requests more than 72 hours old be resubmitted or the PROC may ask the SPUL to validate the original request.

- Clarify effectiveness of processes. You should be asking if the processes currently in place are working well. If the processes are not in place, then the FSC develops or coordinates as appropriate:
  - Resource Request Process.
  - Resource Order Process.
  - Expanded Ordering – See discussion on 9.10 Financial Management Processes.
  - Cost Sharing Agreement – See discussion 9.10 Financial Management Processes.
- Compliment staff 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 provide input to the Section ICS 214 daily.

## **9.6. Finance Staff Debrief**

Upon completion of the shift or operational period, the FSC should collect information from subordinates on lessons learned and be prepared to present this during the Command and General Staff meeting.

- Debrief all subordinates on progress.
  - Note percent of work completed.
  - Note resource utilization and effectiveness (e.g. are these assets the right tools for the job and were there enough, too many or too few?).
- Note any safety concerns (slips, trips, falls, etc.).
- Ensure all pilferable resources are either transferred to oncoming shift or secured.
- Collect all forms of documentation (e.g. ICS-213RR-CGs, ICS-214, logs, etc.).
- Ensure ICS 214, Activity Log, is complete (all key events), accurate and signed. See 9.20 Example ICS 214 Activity Log.
- Provide original ICS 214 to Documentation Unit. Keep a copy for yourself.
- Ensure financial issues discussed prior to releasing subordinates (replenish supplies, secure gear, food and lodging, etc.).

## **9.7. Business Management Meeting**

The purpose of this meeting is to ensure that there is an on-going dialogue regarding logistical and financial processes and activities for the incident and that they are communicated to key personnel. While the meeting can take place anytime, experience suggests that a quick daily meeting just after the Command and General Staff meeting works well. This enables the FSC and FSC to have the most up-to-date information prior to the Tactics meeting.

Attendees: FSC and FSC.

Other possible attendees: COST, PROC, SPUL, SITL, RESL, and DOCL.

Items for discussion include but are not limited to the following:

- Resource Request/Order processes:
  - Are resource orders keeping up with requests? If not, why not.
  - Are all incident personnel using the Resource Request process? Including other shift personnel?
  - Are specific agency procedures causing problems?
  - Any updates needed to the processes?
- Cost/Funds: Generally, the FSC and FSC should have a treetop view of this issue.

- Is there an adequate incident cost sharing agreement between parties?
- What is the ceiling for each funding stream? A rule-of-thumb is when costs have reached 80% of the current ceiling, the ceiling should be increased.
- What is the burn rate? This is calculated by the FSC and staff and always includes direct costs but may include indirect costs.
- Property tracking: Effective property tracking is a key indicator of a successful resource management system. An inadequate property tracking system, or not having a system at all, will likely result in unexplained losses, an increase in the time for responders to demobilize, and provides plenty of opportunity to come back after the incident to clean up loose ends. Get this started early!
  - How is accountable property being tracked and is the process working well? Spreadsheet, ICS 219-9's, etc.
  - Who is tracking accountable property – SPUL or is a Property Unit Leader (PROP) needed?
- Good stewardship: You must strike a balance between providing timely support and doing so in the most cost effective way. During the early phase of an incident, it is harder to be cost effective due to the emergent nature of operations. However, as the incident progresses, the Business

Management Team should be striving to improve this balance. This includes smart buying and recycling.

- Documentation:
  - Are decisions documented properly?
  - What decisions are documented on the ICS 214 vs. a Decision memo? See 9.21 Example Decision Memo.



## 9.9. Example ICS 213 General Message

This example is using the CG version of the form.  
The FEMA version can also be used.

|                                                                                           |                                                 |                               |
|-------------------------------------------------------------------------------------------|-------------------------------------------------|-------------------------------|
| 1. Incident Name<br>YAZ NORTHERN                                                          | 2. Date and Time of Message<br>30 AUG 2006 1040 | GENERAL MESSAGE<br>ICS-213-CG |
| 3. TO:<br>L. Martin                                                                       | ICS Position<br>SITL                            |                               |
| 4. FROM:<br>J. Reisling                                                                   | ICS Position<br>FOBS                            |                               |
| 5. SUBJECT:<br>Field Report                                                               |                                                 |                               |
| 6. MESSAGE                                                                                |                                                 |                               |
| The Fire Group has six engines and one Type II crew. Attached is a map of the             |                                                 |                               |
| current fire situation. Fire suppression activities are hindered east of the Yaz Railroad |                                                 |                               |
| right-of-way due to the continuing chlorine release.                                      |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
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|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
| 7. Reply                                                                                  |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
|                                                                                           |                                                 |                               |
| 8. Signature/Position (person replying):                                                  |                                                 | Date/Time of reply            |
|                                                                                           |                                                 |                               |
| GENERAL MESSAGE                                                                           |                                                 | ICS-213-CG (Rev 04/04)        |

## **9.10. Financial Management Processes**

The primary role of the Finance Section Chief is to support the incident with the financial management process for the incident. Your goal is to make the financial management process easy for your customers. Whether you are the first FSC or the last, you must have the global view on requesting, approval, ordering, receipt and distribution, utilization, maintenance, and demobilization. The Resource Management “R” shows the lifecycle of a resource and the forms used in this process (see 9.11 Life Cycle of a Resource – Resource R). Below are some of the processes that support the business of managing finances on an incident.

**Fund(s) Management.** Every incident has the potential for multiple sources of funding. As the FSC, you are responsible for ensuring good stewardship of ALL incident funding. See 9.14 Incident Funding for a short primer on incident funds typically used by the federal government.

**Resource Request Process.** This process is internal to the incident. It defines flow, including who on the IMT can request resources, how requests are made, who must approve each request, what the requestor can expect from the process, which form will be used (i.e. ICS 213RR-CG), and any limitations on funding that may be imposed by Command.

Establishing this process is important for the LSC and FSC. It should stop “initial” ordering (i.e. where incident management team personnel are ordering without a request and approval process and actually acquiring resources that may or may not be tied to incident objectives). This process should always be posted for incident personnel to use. See 9.12 Example Resource Request Process for more information on request process.

Resource Order Process. This process is the companion to the Resource Request Process. It defines for Finance and Finance Section personnel how an internal request is turned into an external order. It can include how the Supply Unit and Procurement Unit will work together, how the resource order number is developed and tracked, Right of First Refusal, etc. It includes important nuances like; which funding stream (OSLTF, CERCLA, state, Responsible Party, FEMA Mission Assignment (MA), AFC-30, etc.) may be used to pay for a specific request, which unit (SPUL or PROC) orders and pays for specific requests, and Command guidance to be followed. The order process is generally not posted. See 9.17 Resource Order Process for more information on ordering.

Expanded Ordering. An organization (e.g. CG Base procurement shop) that is authorized to set up

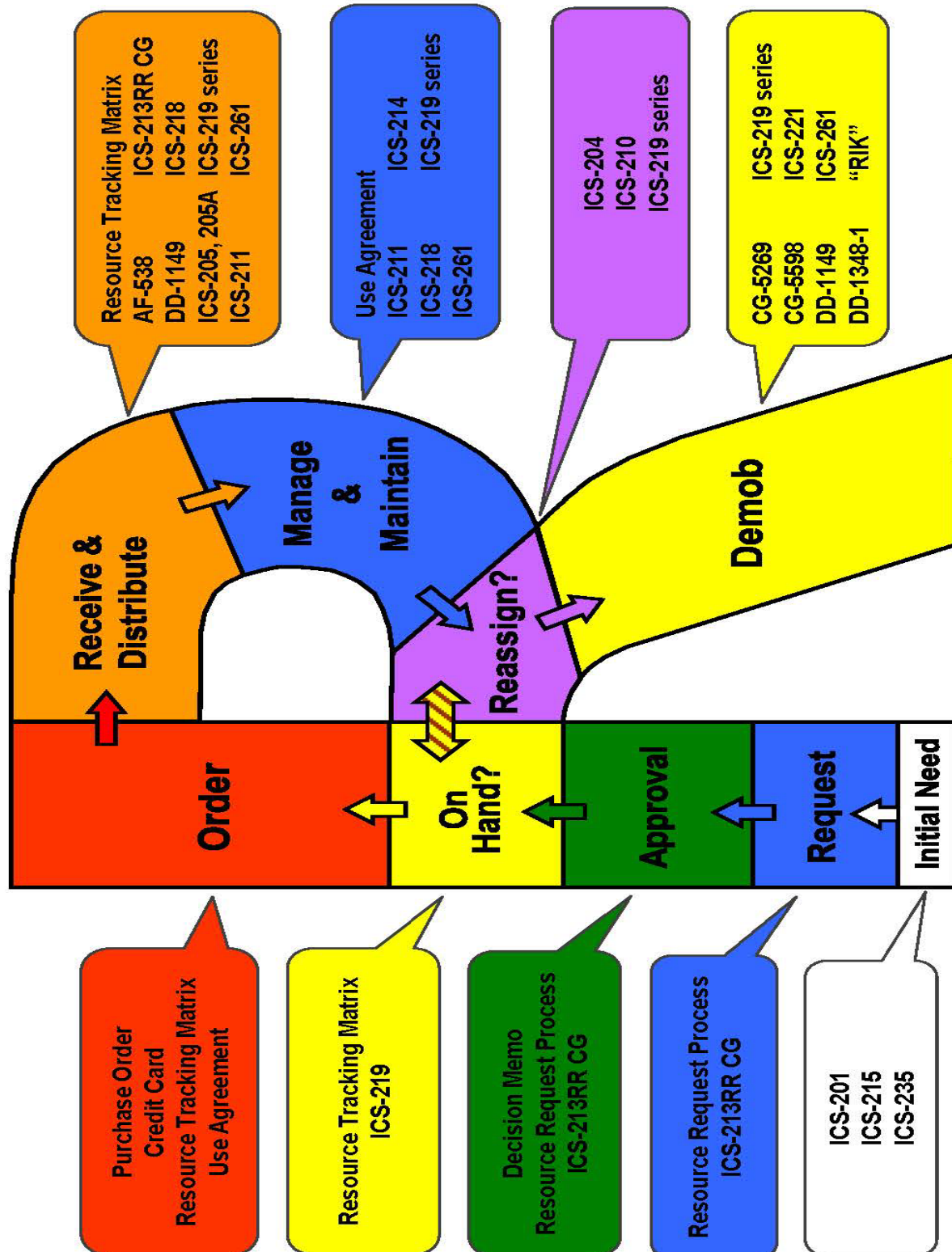
outside of the ICP to assist the PROC/SPUL with ordering supplies, services and resources to support the incident. The FSC and LSC need to determine if this should be used to support the incident.

**Cost Sharing Agreement.** This guidance document is generally created if more than one fund is being used to support the incident. It helps the SPUL and/or Procurement Unit Leader (PROC) decide which fund is the most appropriate for a given request. For instance, sometimes it is easier to have the federal government use an established funding instrument like a Pollution Funding Removal Agreement (PRFA) to pay for another federal, state or local agency than to have a Responsible Party do the same thing. The cost sharing agreement is not posted.

**Decision making process.** You may want to document the process for decisions. Simple decisions are typically documented on the ICS 214 Activity Log and large or contentious decisions are documented on a decision memo. Some decision memos will be signed by the FSC and others will require the IC/UC signature(s). See 9.21 Example Decision Memo. This process can be documented in the Section Operating Guide.

## 9.11. Life Cycle of a Resource – Resource R

The resource R shows the overall lifecycle of a resource on an incident.



## 9.12. Example Resource Request Process

The following is an example Resource Request Process and should be modified for incident use.

-----

All resource requests **MUST** be filled out on the ICS 213RR-CG Resource Request form, utilizing the following procedures:

1. Originator fills out numbers 1-9 and gets the respective Section Chief approval while insuring significant detail on tactical resource(s) or qualifications/skills of personnel needed is provided. The request should focus on capability rather than naming the brand or specific item (e.g. helicopter capable of carrying 4 personnel from location A to B rather than requesting a Coast Guard H-65 Helicopter). This gives the Finance section the ability to find the best resource to meet the need. If you have a source of supply or pre-standing agreement, please provide the specifics in your detailed description under number 4. Originator retains the green copy.

2. a. Tactical Resources and Personnel  
Originator passes ICS 213 RR form to the Planning Section, Finance Section Chief (FSC) for review. Upon approval, form is passed onto Finance Section after being initialed by the FSC in the lower right corner.

2. b. Non-Tactical Resources (e.g. supplies, non-tactical equipment, etc.) Originator passes the form to the Finance Section. It does not need to go to FSC because it does not deal with tactical resources and personnel (which FSC would track).

3. Finance Section reviews resource request. If approved, resource is ordered filling out numbers 10-16. ICS 213 RR form is then forwarded to Finance/Admin Section, minus the pink copy, for cost analysis/documentation. If request is denied, form is returned to the originator with an applicable explanation.

4. Finance/Admin Section fills out numbers 17-19 on the ICS 213 RR form and forwards to Planning Section FSC, minus the yellow copy, who retains it until the end of the operational period. At that time, it is forwarded to the Documentation Unit Leader for archival reference.

5. Finance Section gives a status spreadsheet to the Command and General Staff of all orders at the end of each operational period. Refer to the example ICS 213 RR and the detailed instructions included.

## 9.13. Example ICS 213 RR-CG Resource Request Message

| Resource Request Message                                                                                                                                                        |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     | ICS-213 RR CG (12/06) |                 |           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------|----------------------------------------|------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|--|--|-------------------------------------|-----------------------|-----------------|-----------|
| 1. Incident Name: Mills Point                                                                                                                                                   |                                        |                             | 2. Date/Time: 02 Apr 2007 1330         |                                          |                                                                                                                                                 | 3. Resource Request Number: B01009 |  |  |                                     |                       |                 |           |
| 4. ORDER Note: Use additional forms when requesting different resource sources of supply                                                                                        |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| a. Qty                                                                                                                                                                          |                                        | b. Kind                     | c. Type                                | d. Priority<br>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<br>Location: | g. Order #<br>(LSC)   | h. ETA<br>(LSC) | i. Cost   |
| 1                                                                                                                                                                               |                                        |                             | R                                      |                                          | Helicopter - able to carry a minimum of 10 passengers with gear<br><br>up to 500 pounds.                                                        |                                    |  |  | Helibase                            | E090                  | 4 Apr<br>0800   | \$2356.00 |
|                                                                                                                                                                                 |                                        |                             |                                        |                                          | Contact Helibase Manager, Jeff Jones, to discuss<br><br>specific flight line reporting procedures/requirements.                                 |                                    |  |  |                                     |                       |                 |           |
|                                                                                                                                                                                 |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
|                                                                                                                                                                                 |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
|                                                                                                                                                                                 |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
|                                                                                                                                                                                 |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 5. Suggested source(s) of supply - POC phone number if known and suitable substitutes:<br><br>Heavy Lift Helicopters POC: Sean Kaufman 550-555-9245 or Heliquwest International |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 6. Requestor Position and Signature: <i>Dan Brinkley</i> Date/Time: 02 Apr 06 1330                                                                                              |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 7. Section Chief/Command Staff Approval: <i>Jeff Barton</i> Date/Time: 02 Apr 06 1345                                                                                           |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 8. RESL - check box (a) if request is for tactical or personnel resources. Then note availability in box 8.b or 8.c.                                                            |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| Plans                                                                                                                                                                           | a. <input checked="" type="checkbox"/> | b. <input type="checkbox"/> | c. <input checked="" type="checkbox"/> | Resources available as noted in block 12 | Resources not available                                                                                                                         |                                    |  |  |                                     |                       |                 |           |
| 10. Requisition/Purchase Order #: 24-06-276HXXQ016                                                                                                                              |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 11. Supplier Name/Phone/Fax/Email: <i>Heliquwest International, Randy Simon 550-555-4041</i>                                                                                    |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 12. Notes:<br><i>Quoted daily price includes 1 pilot, 1 aircraft mechanic, and aviation fuel.</i>                                                                               |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 13. Logistics Section Signature: <i>David Jones</i> Date/Time: 02 Apr 06 2040                                                                                                   |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 14. Order placed by (check box): <input type="checkbox"/> SPUL <input checked="" type="checkbox"/> PROC <input type="checkbox"/> OTHER _____                                    |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 15. Reply/Comments from Finance:<br><br>Contract #: FS-02HB-C-05-0001 Accounting: 2/H/SZ/105/95/0/P07001/37150/2523                                                             |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |
| 16. Finance Section Signature: <i>Sam Chase</i> Date/Time: 02 Apr 06 2100                                                                                                       |                                        |                             |                                        |                                          |                                                                                                                                                 |                                    |  |  |                                     |                       |                 |           |

Full instructions on back page. Requestor fills in blocks 1-5, except #3 & #4.g (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. Tan copy is returned to RESL for tactical/personnel or requestor for non-tactical. White copy goes to DOCL.

## 9.14. Incident Funding

One of the first things an FSC must do upon reporting to an incident is validate that the incident has sufficient funds to operate.

- Does the incident have funding available to support activities?
- Is the incident using the appropriate fund(s) given the incident type? Although a fund may have already been opened and a ceiling established, this question must be answered early.
- Does each opened fund have an appropriate ceiling (i.e. enough money available) to sustain the current projected operations (i.e. projected costs)?
- Has a line of communication been established with appropriate finance partners?
  - Incident Commander
  - Logistics Section Chief/Supply Unit Leader
  - Responsible Party (as appropriate)
  - NPFC Case Officer (as appropriate)
  - USCG Appropriated Funds Manager
  - Contracting and Procurement – Base or Shore Infrastructure Logistics Center (SILC) Contracting
- What the kinds of costs the CG is incurring?
  - **Direct Costs:** CG Costs actually expended. This includes procurements and contracts, TONOs, rental vehicles, etc.
  - **Indirect Costs:** CG Costs not actually expended: This includes government personnel regular time salary, boat hours, aircraft hours, etc.

There are five sources of funding typically available to support Coast Guard involved or managed responses.

### 9.14.1. Oil Spill Liability Trust Fund (OSLTF) Funding

**AKA:** Oil funds, OPA funds, Clean Water Act funds

#### **Source in Law**

- Oil Pollution Act of 1990 (33 USC 2701)
- Clean Water Act (33 USC 1321)
- National Oil and Hazardous Substance Contingency Plan (40 CFR 300)

#### **Purpose:**

- The OSLTF has two major components: the Emergency Fund and the Principal fund. The Emergency Fund is used to fund removal of oil discharges or substantial threats of oil discharges into the navigable waters of the United States including the Exclusive Economic Zone (EEZ) out to 200 miles.
- Paying for government cost in overseeing the removal of an oil spill by a responsible party (spiller) or unknown spill.
- Paying for the removal of an oil spill if the responsible party (spiller) is unwilling or unable to fund the operation.
- Similar costs for a substantial threat of an oil spill.
- See [https://www.uscg.mil/Mariners/National-Pollution-Funds-Center/About\\_NPFC/OSLTF/](https://www.uscg.mil/Mariners/National-Pollution-Funds-Center/About_NPFC/OSLTF/)

#### **Restrictions (NOT used for)**

- OSLTF cannot be used for responding to releases of hazardous substances, pollutants or contaminants (only hydrocarbons classified as OPA 90 Oils).
- OSLTF cannot be used for the investigation portion of a response.

- OSLTF cannot be used to backfill personnel at unit or for responder training.
- If Stafford Act (ESF-10) funds are available, will not use OSLTF – contact NPFC before opening a case.

**Manager and funding:** for all federal agencies:

USCG National Pollution Funds Center  
2703 Martin Luther King Jr Ave SE Stop 7605  
Washington, DC 20593-7605

- Funding via a Federal Project Number (FPN) is accessed through NPFC Ceiling and Number Assignment Processing System (CANAPS) tool 24-7 from any Internet connected computer.  
<http://www.npfc.gov/canaps/>
- Available to only to Federal On-Scene Coordinators (FOSC), who are by definition the Commanding Officers of Sectors and some other marine safety units or their representatives (FOSCRs) with unit specific passwords.
- CANAPS is also available to USEPA FOSCs and they manage who has access in their agency.
- If CANAPS is not available or to obtain funding amounts in excess of the limit in CANAPS (\$500,000), contact the appropriate case officer at NPFC.
- The NPFC is available during business hours at 1-800-358-2897. The NPFC Duty Officer can be reached at 202-494-9118 (cell).

**Documentation Requirements**

- Complete documentation of every transaction plus documentation of the response itself is required to support recovery of funds from the involved party/responsible party (vessel or facility owner or operator). See NPFC TOPS for more information.

### 9.14.2. Comprehensive Environmental Response Compensation and Liability Act (CERCLA) Funding

**AKA:** Superfund, chemical funds, Hazchem or HAZMAT funds

#### **Source in Law**

- Comprehensive Response, Compensation and Liability Act of 1980 (42 USC 9601)
- National Oil and Hazardous Substance Contingency Plan (40 CFR 300)

#### **Purpose**

- CERCLA provides federal funding to clean up uncontrolled or abandoned hazardous waste sites as well as accidents, spills and other releases or imminent threats of releases of hazardous substances, pollutants and contaminants into the environment (air, water or on and under land). Through CERCLA, EPA was given power to seek out those parties responsible for any release and assure their cooperation for the cleanup.
- These definitions are very far reaching and can apply to chemical, biological and radiological weapons (terrorism and overt illegal acts intended to harm). Good judgment is required for use of these funds for terrorism – contact NPFC.
- <http://www2.epa.gov/laws-regulations/summary-comprehensve-environmental-response-compensation-and-liability-act/>

#### **Restrictions (NOT used for)**

- There is an explicit prohibition against the use of

CERCLA funds for responding to petroleum oil.

- CERCLA cannot be used for the investigation portion of a response.
- CERCLA cannot be used to backfill personnel at unit or for responder training.
- If Stafford Act (ESF-10) funds are available, will not use CERCLA – contact NPFC before opening a case.

### **Manager and Funding:**

- EPA is the manager for all federal agencies. NPFC is the manager for the Coast Guard.  
USCG National Pollution Funds Center  
2703 Martin Luther King Jr Ave SE Stop 7605  
Washington, DC 20593-7605
- CERCLA Project Number (CPN) is issued through NPFC CANAPS from any Internet connected computer.  
<http://www.npfc.gov/canaps/>
- Available only to Federal On-Scene Coordinators (FOSC), who are by definition the Commanding Officers of Sectors and some other marine safety units or their representatives (FOSCRs) with unit specific passwords.
- If CANAPS is not available or to obtain funding amounts in excess of the limit in CANAPS (\$249,999), contact the appropriate case officer at NPFC. NOTE; To obtain a ceiling of \$250,000 or higher, an Action Memorandum is required. Contact NPFC.
- The NPFC is available during business hours at 1-800-358-2897. The NPFC Duty Officer can be reached at 202-494-9118 (cell).

### **Documentation Requirements**

- Same as OSLTF - See NPFC TOPS for more information.

### 9.14.3. Stafford Act Funding

**AKA:** FEMA funds, Disaster funds, ESF funds

#### **Source in Law**

- Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 USC 5121)
- The National Response Framework (NRF), which is required by Homeland Security Presidential Directive 5 (HSPD-5) but is not a law
- The NRF incorporates the National Contingency Plan (NCP) which is law (40 CFR 300) and the NCP applies to ESF-10 pollution operations.

#### **Purpose:**

- Stafford Act funds are for responses to disasters of all kinds. The funds are made available by FEMA on a case-by-case basis to selected agencies following a major disaster first declared by the Governor of a state and then the President of the United States. The President may also declare an emergency without the Governor. Disasters are generally not thought of as Type 3 incidents. However, a governor can request a disaster declaration for any incident and the Coast Guard may be assigned to response to part of that disaster. There are fifteen Emergency Support Functions (ESFs) and this reference is for typical Coast Guard funded missions under ESF-9 Search and Rescue and ESF-10, Oil and Hazardous Materials, and ESF-13 Public Safety and Security.
- These funds may only be used for the specific actions identified in the Mission Assignment(s) issued to the primary agency receiving the funds. Task Orders are sometimes used to further specify Mission Assignments.

EPA is the most often the primary agency for ESF-10. However the Coast Guard receives ESF-10 funds via direct mission assignments. A mission may be subdivided and part assigned to the Coast Guard. Cannot authorize more actions for the Coast Guard than are specified in the Mission Assignment. There is typically a 25% cost share required for the state requesting assistance (75% to be paid by the federal government).

### **Restrictions (NOT used for)**

- Anything not specified in the Mission Assignment, and/or Task Order (if issued). Also note that Stafford Act funds are used for direct costs, i.e., only out of pocket costs. Indirect costs or government funded costs such as regular time salary or boat hours. Indirect costs are documented but not covered. Overtime for that same employee is a direct cost and covered.

### **Manager and funding**

- FEMA is the manager for all federal agencies. NPFC is the manager for the Coast Guard.  
USCG National Pollution Funds Center  
2703 Martin Luther King Jr Ave SE Stop 7605  
Washington, DC 20593-7605
- Funds are not obtained like OSLTF or CERCLA, but assigned by FEMA as a Mission Assignment (MA) through a unit's district and NPFC issues a Disaster Project Number (DPN).
- In the early stages of a disaster response, MAs may be issued from the Regional Response Coordination Center (RRCC). As a response operation matures, A Joint Field Office (JFO) will be established and the JFO

will issue MAs. The Coast Guard will have a liaison officer or POC in both the RRCC and the JFO as well as the state Emergency Operations Center (EOC).

Requests for MA funding go through this person and are approved by the Coast Guard District Office.

## **Documentation Requirements**

- Similar to documentation for OSLTF and CERCLA - Complete documentation of every transaction plus documentation of the response itself is required to support recovery of funds from the FEMA. See NPFC TOPS for more information.
- Document government direct costs (e.g. contracts, purchases, TONO's, civilian overtime, boat repair costs, etc.) via the CG-5136 form.
- Document indirect costs or government funded costs (e.g. boat hours, personnel hours, etc.) via CG-5136 form for documentation purposes but these hours will not be billed for cost recovery (except civilian overtime).
- Note that Mission Assignment Funds must be documented separately for each Mission Assignment in each state, and then billed to FEMA by Mission Assignment through the NPFC. Essentially, this requires a separate account line for each Mission Assignment in each state.
- See the Financial Management Support Annex of the National Response Framework. See also FEMA course IS-293 – Mission Assignment Overview.

#### 9.14.4. AFC-30 Funding

**AKA:** Normal operating funds

**Source in Law:** Same laws that apply to regular Coast Guard OE funds (AFC-30).

#### **Fund Use**

- Legal use is the same as for regular budgeted funds. The chain of command may limit use for specific incident or event needs.

#### **Restrictions (NOT used for)**

- Anything normally off limits plus any additional restrictions from the chain of command.

#### **Managed by**

- CG-8 in Headquarters for the whole Coast Guard.
- Fund managers
- District may get involved

#### **How to Obtain**

- The unit Commanding Officer may request addition Coast Guard funding through the chain of command. The Coast Guard does not have large “slush” funds in reserve, and a plus-up in one place may have to be taken from a pocket somewhere else. If you think you need additional funds, you must present a compelling reason for it, and do it in writing unless there is fire all around you.

#### **Documentation Requirements**

- Documentation requirements depend on the particular event or incident. Even if there is no mention of documentation, assume that questions will follow. An

event or incident that requires additional funding will probably attract attention and senior people somewhere, perhaps in the Congress, will want to know the size and or impact. One standard measure is “How much did it cost.” You are well advised to have an answer.

- In most cases, only direct costs are covered – not vessel hours or personnel costs (except civilian overtime). The vessel and personnel hours are still documented but not charged.

### 9.14.5. Other Funding (OGA and Non-OGA)

**AKA:** Other Federal agency, State, local, Responsible Party, etc.

**Source in Law:** Depends on source.

**Other Government Agency (OGA) Funding:** While the pollution trust funds and Stafford Act disaster funds are the most common funding sources, Other Government Agency (OGA) funds may also be used by the Coast Guard. Military programs are funded by the Department of Defense (DOD), Presidential protection details are funded by the Secret Service, and other agencies may provide funding for Coast Guard support.

**Non-OGA funding:** Non-OGA funds are typically those provided by a private company (e.g. the affected party or responsible party) or their insurance company. Their use of these funds is limited only by company policy and/or their board of directors.

**Restrictions (NOT used for):** Depends on source.

#### **Managed by**

- The source is probably outside the Coast Guard.
- For OGA funding, the coast Guard usually receives a MIPR. The managers for the Coast Guard are probably the OE managers, CG-8 and district funds managers.
- For Non-OGA funding, the lead CG representative in the Finance Section on the incident (usually the FSC or Deputy FSC) will work with the entity providing funding to determine what exactly will be funded and what will not be funded. For example, for an oil discharge (spill) where there is a responsible party (RP) paying for all the

incident costs, the RP is typically the FSC and will staff most positions in finance, do most all the purchasing, etc. However, the Coast Guard will still access the OSLTF to both document Coast Guard costs including vessel and personnel hours (will be charged), repair costs, Coast Guard personnel lodging and per diem costs, etc. In addition, most states would rather have a Pollution Removal Funding Authorization (PRFA) from the Coast Guard to bill their costs through the OSLTF rather than deal with the RP.

**Documentation Requirements:** Depends on the nature of the funds and how they are used. If they are reimbursable, full documentation should be required to support billing. There may be special requirements. If unsure, ask well in advance.

## 9.15. Ceiling Calculation

Establishing the ceiling is an art more than science. The initial ceiling is calculated by the person who accessed the funding source. In the case of OSLTF or CERCLA, the FOSCR will have done this. A good rule of thumb is to review your ceiling daily AND consider adjusting the ceiling when total costs are 80% of the ceiling.

The simplest way to calculate a ceiling, is to gather information on the expected length of the response (in days), estimated daily direct costs and if used, indirect costs. It is recommended to use 120% of the estimate to help provide a small buffer for cost overruns. Final estimated cost is rounded to the next \$10,000 for the ceiling request. The electronic CG-5136 (e5136) can help you do these estimates. The e5136 website:

<https://www.uscg.mil/Mariners/National-Pollution-Funds-Center/Documentation-Cost/e5136-Workbooks/>

An easy litmus test for direct/indirect costs is to determine whether there is an entry in FPD/CAS for the item. If so, then it is a direct cost because the government paid.

**Example:** Expected is response 10 days. Initial ceiling is \$25,000.

### **Direct costs:**

There is a contract for \$10,000.

There are seven CG personnel who have TONOs: all traveled by air (est \$1,000 ea), there are three rental vehicles (est \$150/day), and total for lodging/per diem is \$200 per day. Estimated total TONO cost: \$200/day x 10 days + \$1,000 = \$3,000.

Estimated TONO cost with rental car: add to TONO

\$150/day x 10 days = 1,500 (\$4,500 total)

|                                       |                 |
|---------------------------------------|-----------------|
| Contracts/Purchases:                  | \$10,000        |
| TONOs w/rental cars = \$4,500 x 3 =   | \$13,500        |
| TONOs w/o rental cars = \$3,000 x 4 = | <u>\$12,000</u> |
| Total Estimated Direct Costs:         | \$35,500        |

Multiply by 1.2 (120%) \$42,600

Round to nearest \$10K **\$50,000**

If you were only asking for direct costs, the ceiling should be increased to \$50,000.

**Indirect Costs:** Current fiscal year CG costs can be found in the USCG Standard Rates (COMDTINST 7310.1 series). For this example, there are 30 CG personnel, 1 CG response boat small (RBS) and one CG H65 helicopter. For this estimate will use costs of response boat small (RBS) \$4,848/hr and H65 \$10,803/hr. Hourly rates for personnel vary depending on rank. You can initially do a general estimate for personnel hours and hourly rate but should use the e5136 for a more exact estimate. For this estimate for personnel, we will use \$100/hr and an average of 14 hrs per day.

|                                               |                  |
|-----------------------------------------------|------------------|
| RBS: \$4,848/hr x 12 hrs x 10 days =          | \$581,760        |
| H65: 10,803/hr x 6 hrs x 10 days =            | \$648,180        |
| Personnel: \$100/hr x 14 hrs x 10 days x 30 = | <u>\$420,000</u> |
| Total Indirect Costs:                         | \$1,649,940      |

Multiply by 1.2 (120%) \$1,979,928

Round to nearest \$10K **\$1,980,000**

So if we were going to charge all costs (direct and indirect), the total ceiling should be: **\$2,030,000.**

## **9.16. Document Control Number (DCN) Log**

Every obligation or transaction (purchases, contracts, travel orders, Pollution Removal Funding Authorizations (PRFAs), etc.) executed by the Coast Guard has a unique Document Control Number (DCN). The design of the system prevents confusion and duplicated use of numbers. A DCN log keeps track of all numbers created.

The NPFC TOPS has specific requirements for DCNs and account strings using FPN, CPN and DPN funding. This also helps when documenting costs for the incident.

The example DCN log below is a simple excel spreadsheet and can be modified to meet the end users requirements. It is not an ICS form, but rather a tracking aid for finance.

| Hiatusport - DCN Log For All-Hazards Responses |                                                      |                    |  |       |             |             |            |           |  |
|------------------------------------------------|------------------------------------------------------|--------------------|--|-------|-------------|-------------|------------|-----------|--|
| ACCT STRINGS:                                  |                                                      |                    |  |       |             |             |            |           |  |
|                                                | Accounting String: 2/H/SZ/105/95/0/P07001/37150/XXXX |                    |  |       |             |             |            |           |  |
|                                                | Document Number: XX/07/31/7/H/YP/---/000             |                    |  |       |             |             |            |           |  |
|                                                |                                                      |                    |  |       |             |             |            |           |  |
| DCN:                                           | ISSUED TO:                                           |                    |  | TYPE: | ISSUE DATE: | AMOUNT:     | REMARKS:   | TVS Rcvd: |  |
| 24/07/05/7/H/XP/001                            | Clean Rivers, Inc. - BOA Contractor                  |                    |  | BOA   | 04-Feb-07   | \$10,000.00 | FPN P07001 |           |  |
|                                                | Amendment #001                                       | Increase in Amount |  | BOA   | 05-Feb-07   | \$40,000.00 | FPN P07001 |           |  |
| 24/07/05/7/H/XP/002                            | Coral Marine & Salvage, Inc.                         |                    |  | BOA   | 04-Feb-07   | \$7,500.00  | FPN P07001 |           |  |
|                                                | Amendment #001                                       | Increase in Amount |  | BOA   | 05-Feb-07   | \$17,500.00 | FPN P07001 |           |  |
| 11/07/05/7/H/XP/003                            | Lt. Joe Harris - Sector Hampton Roads                |                    |  | TONO  | 14-Jan-07   | \$2,584.00  | FPN P07003 | Yes       |  |
| 11/07/05/7/H/XP/004                            | MST1 Andy Smith - Sector Hampton Roads               |                    |  | TONO  | 14-Jan-07   | \$1,850.00  | FPN P07003 | Yes       |  |
| 11/07/05/7/H/XP/005                            | MST2 Harry Chichester - Sector Hampton Roads         |                    |  | TONO  | 14-Jan-07   | \$1,852.20  | FPN P07003 | Yes       |  |
| 24/07/05/7/H/XP/006                            | Clean Rivers, Inc. - BOA Contractor                  |                    |  | BOA   | 12-Jan-07   | \$24,852.25 | FPN P07003 |           |  |
| 34/07/05/7/H/XP/007                            | NOAA                                                 |                    |  | PRFA  | 12-Jan-07   | \$8,545.00  | FPN P07003 |           |  |
| 11/07/05/7/H/XP/008                            | Frank Shelley - IMAT                                 |                    |  | TONO  | 05-Feb-07   | \$2,800.00  | FPN P07001 |           |  |
| 11/07/05/7/H/XP/009                            | Cdr. Kelly Kachele - PCAF                            |                    |  | TONO  | 05-Feb-07   | \$2,000.00  | FPN P07001 |           |  |
| 11/07/05/7/H/XP/010                            | Bob Hildebrand (GS-13) - NPFC                        |                    |  | TONO  | 05-Feb-07   | \$1,500.00  | FPN P07001 |           |  |
| XX/07/05/7/H/XP/011                            |                                                      |                    |  |       |             |             |            |           |  |
| 34/07/05/7/H/XP/012                            | Marine Police                                        |                    |  | PRFA  | 04-Feb-07   | \$2,000.00  | FPN P07001 |           |  |
| 34/07/05/7/H/XP/013                            | Depart of Commerce - NOAA                            |                    |  | PRFA  | 05-Feb-07   | \$7,500.00  | FPN P07001 |           |  |
| 34/07/05/7/H/XP/014                            | Delaware Marine Fisheries                            |                    |  | PRFA  | 05-Feb-07   | \$2,500.00  | FPN P07001 |           |  |
| 34/07/05/7/H/XP/015                            | U.S. Fish & Wildlife Service                         |                    |  | PRFA  | 05-Feb-07   | \$4,000.00  | FPN P07001 |           |  |
| XX/07/05/7/H/XP/016                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/017                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/018                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/019                            |                                                      |                    |  |       |             |             |            |           |  |
| 11/07/05/7/H/XP/020                            | Lt Jeff Rubini - IMAT                                |                    |  | TONO  | 05-Feb-07   | \$1,400.00  | FPN P07001 |           |  |
| XX/07/05/7/H/XP/021                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/022                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/023                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/024                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/025                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/026                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/027                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/028                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/029                            |                                                      |                    |  |       |             |             |            |           |  |
| 27/07/05/7/H/XP/030                            | Mr. Stan Goodbee - CG AUX Patrol Orders              |                    |  | TONO  | 05-Feb-07   | \$2,500.00  | FPN P07001 |           |  |
| XX/07/05/7/H/XP/031                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/032                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/033                            |                                                      |                    |  |       |             |             |            |           |  |
| XX/07/05/7/H/XP/034                            |                                                      |                    |  |       |             |             |            |           |  |

## 9.17. Resource Order Process

### 9.17.1. Example Resource Order Process

The following is an example Resource Order Process and should be modified for incident use.

-----  
Described below is the “Resource Ordering Process” as agreed upon at the Business Management Meeting held on 6 July 2007 between the FSC and FSC.

The following procedures will be adhered to:

- SPUL has a purchase card and \$25,000.00 warranted for supply purchases and \$3,000.00 authority for services.
- PROC has unlimited purchase authority and will be on-site for the duration of the incident.
- Any questions on correct funding source(s) shall be referred to FSC for resolution:
  - All HAZMAT related orders shall use CERCLA accounting information.
  - All Oil related orders shall use the OSLTF accounting information.
- All orders over \$100,000.00 must be approved by the IC prior to obligation.
- SPUL is responsible for all personnel orders, equipment and supply purchases within warrant capability.
- PROC is responsible for all others including any Basic Ordering Agreement (BOA) or Pollution Removal Funding Authorization (PRFA).
- PROC and SPUL shall maintain “order documentation” at a single location, filed by ICS 213RR-CG number and cross-referenced by “Order Number”.

- A single DCN (Document Control Number) Log shall be used by PROC and SPUL regardless of the funding source. It should be clearly annotated in the log, which are FPN related and which are CPN related.
- All Orders shall be tracked on a Resource Tracking Matrix by the PROC & SPUL.
- SPUL shall receive all orders and notify requestors of status. SPUL shall maintain close contact with RESL to keep updates on resources checked-in.
- PROC is responsible for all incident accountable property tracking.
- PROC and SPUL shall coordinate with RESL and TIME & COST for resource demobilization based on Demobilization Plan.
- ICS 213 RR Processing procedures:
  - FSC/ SPUL reviews for accuracy, determines funding, validates need etc.
  - FSC signs all ICS 213s block 13.
  - For items that fall within parameters of “a” above, SPUL takes all action necessary, provide copy of all documents to COST, FSC/PROC
  - PROC takes all action on items covered in “b” above
  - If request is denied or cancelled, requestor is provided written explanation & Resource Tracking matrix is updated to reflect it
- FSC will assign one member to perform audits of random sample of ICS 213 file documentation at least every 3<sup>rd</sup> day. Report results to FSC and FSC.

### 9.17.2. Basic Order Process:

**First Right of Refusal:** If there is a Responsible Party (RP), there is generally a process in place by which the RP can decide if they want to acquire the resource. If there are two RPs, there might be a first and a second Right of Refusal. If the RP accepts the request, the only action required by the SPUL is adding an order number and basic resource information to the ICS 213RR before sending the ICS 213RR back to the requestor.

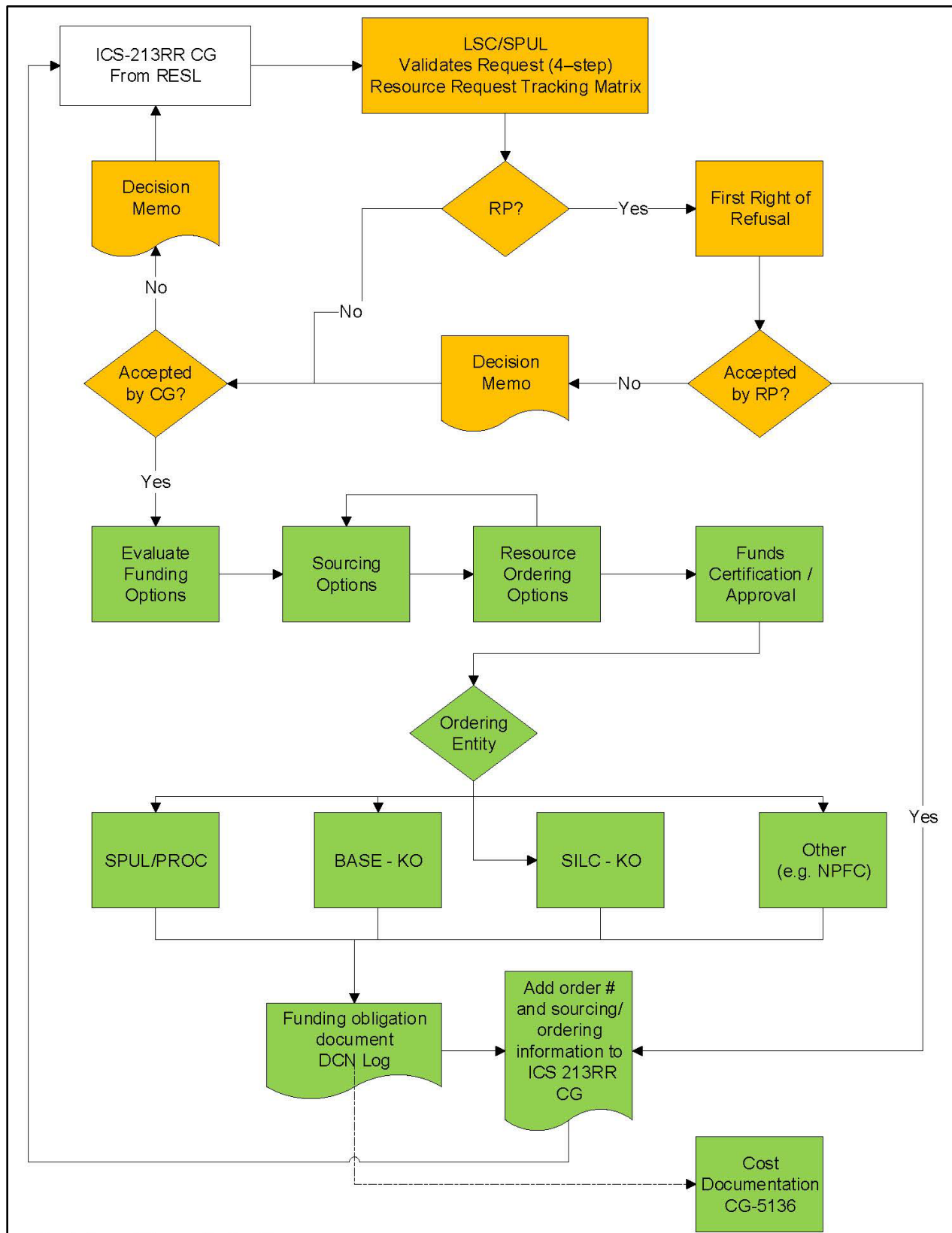
NOTE: If the RP does not accept the request then a decision memo must be written explaining the rationale for the refusal. This decision memo will be required for justification after the response is concluded.

**CG Order Process:** If there is no RP or the RP has refused a request, then next step is for the Coast Guard to accept the request and evaluate funding options.

- If the request is still good, then funding options (AFC 30, OSLTF, CERCLA, etc.) are evaluated. The next step is to determine who is most likely to have the resource (CG, OGA, BOA contractor, independent contractor, etc.).
- Determine the best ordering option for the selected source. The return arrow in the diagram is used to suggest that the source may have to change depending on the most appropriate ordering option.
- FSC must certify that funds are available before the order is actually placed with the Ordering Entity (SPUL, Base, SILC, NPFC, etc.).

This process is shown below as a flow chart.

## 9.17.3. Resource Order Process Flow Chart



#### 9.17.4. Resource Order Source Options

Resources can be organized into categories for ordering purposes: personnel; supplies; and services. These categories may also be turned into managers under the SPUL position depending on the size of the incident.

- Responsible Party Funds - If there is a Responsible Party (RP), or an organization has been named as a potentially responsible party, they are usually going to have the First Right of Refusal. Simply put this means that all resource requests will go through the RP to see if they want to acquire the resource. This reduces use of other funds and potentially reduces cost to the RP if they can fund less expensive but equally capable resource. The RP cannot pay for government resources (e.g., hours, TONOs, etc. typically billed via FPN/CPN). Resource Order process should delineate how the ICS 213RR-CG is annotated to reflect who is paying for what (e.g. RP or CG, etc.).
- Direct Access Mobilization (DA MOB)– DA MOB is used by the Coast Guard to support surge-staffing requirements. Requires incident/event name be established by Surge Staffing Branch. This increases probability of receiving the most qualified person. Approved requirements are instantly advertised on the Volunteer Bulletin Board. Tracking of requirements is a collaborated effort between incident and supporting commands. Surge capability can be monitored by parent commands. Takes time to work through the layers of approval. This is NOT the appropriate tool to get National Strike Force resources to a response in a timely manner. This is internal to Coast Guard but requires TONO for resources external to requesting unit.

- Request For Forces (RFF) - The RFF is a message from the Coast Guard Incident Commander/Federal On-Scene Coordinator (FOSC) to the District requesting resources. DA is capable of drafting an RFF message for personnel. Same as DA for benefits. An RFF may have different obligation requirements depending on the acquisition method.
- Request For Assistance (RFA) – An RFA is a request for other than Coast Guard resources. DOD requires a MIPR with the RFA, which must be approved by the Office of the Secretary of Defense (see MIPR below).
- Pollution Removal Funding Authorization (PRFA) - A PRFA is used by the Coast Guard to fund the services of another government agency for personnel and/or equipment supporting a pollution response operation. There are two types of PRFAs: Federal or Non-federal, which includes state, local and tribal governments. Executed by the FOSC vice a contracting officer. Requires Statement of Work. Requires a funding ceiling. Enables participation by all government agencies with authority and ability to participate in a given response. Can be executed quickly. A PRFA is obligated in the CG accounting system. It is not a contract but an instrument to transfer funds to a non-military governmental agency.
- Interagency Agreement (IAA) - IAAs are written agreements between federal agencies under which goods or services are provided. IAAs are executed under a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) and are reimbursable. IAAs are used to define the requirements needed from another government agency. USCG can originate or receive IAAs. Assures that all government

agencies with response authority or impact involvement are funded to participate in the response. Identifies reimbursement process. The CG manager for the IAA is assigned by CG-8 and is probably the manager of the related MOU/MOA.

- Military Interdepartmental Purchase Request (MIPR) DD448 - MIPRs are very similar to IAAs, but are used only for DOD and DOD agencies. There are two types: Financial – resources used to fulfill requirement are internal to the agency and Contractual – resources used to fulfill requirement are contracted by the agency. Makes specialized DOD assets and capabilities available to USCG and enables USCG support of DOD operations. Financial MIPRs executed by supporting budget office and Contractual MIPRs executed by Coast Guard KO.
- Basic Ordering Agreement (BOA) – A BOA contains pre-negotiated labor and material prices between an oil spill response contractor and the USCG. It is an agreement and not a contract. BOAs are used to obtain cleanup services for pollution incidents. The FOSC can issue an authorization to proceed (ATP) to the BOA contractor up to \$50,000 to initiate pollution removal services. BOA contractors are selected on basis of capability and response time defined by the FOSC. The FOSC informs SILC an ATP was issued by C2OIX. Increases can be issued by FOSCs up to \$50,000 increments. Speed is needed to respond to pollution incidents and the FOSC can issue an ATP to initiate a BOA response almost instantly. The BOA operators are pre-vetted by SILC and have a known track record. Quality response is practically guaranteed. The field

manager is the FOSC, or his/her designated representative (FOSCR) and SILC KO. The contractor submits CG-5136 Contractor forms daily to the FOSC/FOSCR. Contractor invoices per the terms and conditions of the BOA is for services, time and materials.

- Negotiated Competitive Stand Alone Contract (sometimes referred to as a Non-BOA Contract) - A standard contracting vehicle executed by a KO (Base or SILC) and may be used if: a BOA is not the appropriate contractual vehicle, a BOA contractor is not available, or an existing BOA contractor does not have the capability to complete the work or cannot subcontract a required resource. For instance, since BOAs are created and used for pollution responses, a non-pollution response may require a different type of contract. The KO (with appropriate warrant) must either have an existing class Justification for Other than Full and Open Competition (JOTFOC) (e.g. pollution) or they must be prepared to create a justification outlining why this type of contract needed to be executed. The field manager is the Contracting Officers Representative (COR). Base or SILC KO manages the contract. All the terms and conditions that the contractor will be required to adhere to will be negotiated/provided to the contractor when the contract is awarded/issued. The contractor submits CG-5136 Contractor forms daily to the FOSC/FOSCR. Contractor invoices per the terms and conditions of the contract is for services, time and materials.
- Purchase Order - POs are used to buy/lease supplies and services. The USCG official executing a PO must have procurement authority (a Contracting Officer

Warrant) equal to or greater than the value of the PO. The Federal Acquisition Regulations (FAR) and agency regulations, which include emergency provisions, must be followed. Needed supplies and services can be obtained using standard commercial procurement tools. If funds from other participating federal agencies are used, USCG procurement officials do not have authority to spend those funds. Only an appropriate official from the source agency has procurement authority for those funds. When other government agencies are participating in a response and contributing funding, a procurement official from each non-USCG funding agency should be embedded in the Finance and/or Logistics Section(s). Normal procurement documentation is required, except that the ICS-213RRCG can be used instead of the standard procurement request form.

- Government Purchase Card - Government Purchase Cards can be used in an ICS organization for procurements within the procurement authority of the card holder. Card holder must ensure that the incident line of accounting is associated with the purchase card. Modifying LOA typically takes 48-72 hours. Fast and convenient for making procurements. Preferred method of procurement under Simplified Acquisition Procedures (SAP). Vendor is paid within 48 hours of delivery. More familiar process to a majority of procurement officials. Card holders have individual procurement limits (\$3,500 to \$10,000). Procurements above the limit must be tasked to a different, higher procurement level (Base Senior Field Contracting Officer (SFCO) or SILC cob-1). Purchase card Approving Official (AO) at parent command must approve all transactions prior to

execution. Tracking of requirements is a collaborated effort between incident and supporting commands. Standard support documentation for a purchase card must be generated.

**Table 3: Resource Order Source Options**

| <b>Resource Kind</b> | <b>Agency / Org Source</b> |                                    | <b>Funding Vehicle</b>                                      | <b>Executing Agency</b>  |
|----------------------|----------------------------|------------------------------------|-------------------------------------------------------------|--------------------------|
| Personnel            | CG                         | Individual                         | Travel Orders in DA                                         | Sector / Dist            |
|                      |                            | Crew (e.g. SERT)                   | RFF                                                         | District                 |
|                      | OGA<br>Federal<br>or State | Individual or Crew (e.g. NOAA SSC) | PRFA through Statement of Work                              | NPFC                     |
|                      | Non-Govt                   | Individual or Crew                 | BOA Contract or Negotiated Competitive Stand-Alone Contract | Base or SILC KO          |
| Supplies             | Non-Govt                   | Less than \$10,000                 | Government Purchase Card                                    | SPUL                     |
|                      |                            | Above \$10,000                     | Contract / Purchase Order                                   | PROC (KO)                |
| Services             | Non-Govt                   | Pollution                          | Contract on BOA                                             | SILC (KO)                |
|                      | OGA                        |                                    | PRFA                                                        | NPFC                     |
|                      |                            |                                    | MIPR                                                        | SILC (KO)<br>Base (Comp) |

### 9.17.5. Resource Order Completion

The resource order process shown above shows the ICS 213RR-CG being returned to the requestor once the resource has been sourced and ordered. However, resource management on an incident must be considered from a cradle to grave perspective. Everything acquired to support an incident must eventually be returned, demobilized, or even potentially destroyed in order to close the books on the incident. When an order is technically complete depends on the type of resource. Some agencies may have slightly different actions/requirements but generally, these actions include notification to the requestor of the request status, receiving the resource, tracking the resource as appropriate, demobilizing the resource, and completion of all financial payments and documentation.

#### Personnel

- All overhead personnel will be assigned an order number.
- The SPUL will notify the requestor via the ICS 213RR (with the order number) that the resource is en-route.
- When the person checks-in to the incident on the ICS 211, a copy of the ICS 211 needs to be provided to the Logistics Section and the Finance Section to confirm that the ordered resource actually arrived.
- Complete when the person has demobilized from the response, arrived back at their unit, and the completed travel claim is received back at the response and financials updated.

Supplies/Equipment

- Major items of equipment (whether tactical or support) will be assigned an order number to assist in tracking the resource.
- The SPUL will notify the requestor via the ICS 213RR-CG (with the order number) that the resource is en-route.
- Check-in/Receipt:
  - When equipment is checked-in to the incident on the ICS 211, a copy of the ICS 211 needs to be provided to the Logistics Section and the Finance Section to confirm that the ordered resource actually arrived.
  - Supplies (i.e. office supplies) may or may not be assigned an order number (expendable supplies typically do not get an order number) but the supplies will be received by the incident (possibly by a Receiving and Distribution Manager – RCDM) and thus “checked-in”.
- Complete when:
  - Leased equipment has been refurbished if necessary, returned to owner, final invoice received and paid, and the documentation complete, or
  - Purchased equipment/supplies have been properly disposed of through the appropriate channels (DRMO, etc.) and all response paperwork updated accordingly

Services

Usually a contract must be managed until the service reaches a conclusion.

- Complete when the contract ends, final invoice received and paid, and financial documentation updated.

## **9.18. Example ICS 219-9 Accountable Property Assignment Record**

The ICS 219-9 Accountable Property Assignment Record is an excellent tool to track accountable property. Accountable property is any item that must be returned to its owner upon the completion of the incident and includes items like radios, meters, cell phones, computers, etc.

Typically the COML and SPUL will maintain T-Card racks for the accountable property assigned to them. Header cards (ICS 219-1) are used to distinguish like groups of equipment.

The ICS 219-9A Accountable Property Transfer may also be used on the equipment itself.

Below is information on how to use the ICS 219-9 Accountable Property Assignment Record.

## ICS-219-9 Accountable Property Assignment Card

The ICS-219-9 is usually filled out by the Logistics section to track the assignment of accountable property (e.g.; radios, meters, computers, etc.).

**Kind of Property:**

Common Name of Item

**Cache/Unit Name:**

Agency that owns equipment; if purchased with incident funds, place name of incident here.

**Order number** from block 4g of ICS-213 RR and/or block 5 on the ICS-211.

**Size/Capacity:**

Description of Item

**Date/Time:** property assigned.

**Name** and home unit/agency of person to whom item assigned.

**Incident Assignment:**

Location person and/or equipment assigned on incident; e.g., ICP, Division, Group

**Date/time** returned to Logistics or **transferred** to another person

|                                                               |                                                           |                                                     |
|---------------------------------------------------------------|-----------------------------------------------------------|-----------------------------------------------------|
| <b>1. Kind of Property</b><br><b>Gas Alert<br/>Micro</b>      | <b>2. Cache/Unit Name</b><br><b>Sector<br/>Hiatusport</b> | <b>3. I.D. No.</b><br><b>E 125</b>                  |
| <b>4. Size/Capacity</b><br><b>Handheld multi-gas detector</b> |                                                           |                                                     |
| <b>ASSIGNMENT RECORD</b>                                      |                                                           |                                                     |
| <b>5. Date/Time</b><br><b>4/7/07-1400</b>                     | <b>6. Operational Period</b><br><b>0600-1800</b>          |                                                     |
| <b>7. Name</b><br><b>George Schwartz</b>                      |                                                           |                                                     |
| <b>8. Home Base</b><br><b>CGC SEA OTTER</b>                   |                                                           |                                                     |
| <b>9. Incident Assignment</b><br><b>HAZMAT GROUP</b>          |                                                           |                                                     |
| <b>10. Returned Date/Time</b>                                 |                                                           | <b>or 11. Transferred</b><br><b>4/7/07 - 2200 ↓</b> |
| <b>5. Date/Time</b><br><b>4/7/07 - 2200</b>                   | <b>6. Operational Period</b><br><b>1800-0600</b>          |                                                     |
| <b>7. Name</b><br><b>Don Jacobs</b>                           |                                                           |                                                     |
| <b>8. Home Base</b><br><b>CGC SEA OTTER</b>                   |                                                           |                                                     |
| <b>9. Incident Assignment</b><br><b>HAZMAT GROUP</b>          |                                                           |                                                     |
| <b>10. Returned Date/Time</b>                                 |                                                           | <b>or 11. Transferred</b><br><b>↓</b>               |
| <b>5. Date/Time</b>                                           | <b>6. Operational Period</b>                              |                                                     |
| <b>7. Name</b>                                                |                                                           |                                                     |
| <b>8. Home Base</b>                                           |                                                           |                                                     |
| <b>9. Incident Assignment</b>                                 |                                                           |                                                     |
| <b>10. Returned Date/Time</b>                                 |                                                           | <b>or 11. Transferred</b><br><b>↓</b>               |
| <b>ACCOUNTABLE PROPERTY<br/>ASSIGNMENT CARD NFES 2098</b>     |                                                           |                                                     |
| <b>ADD CARD</b>                                               |                                                           |                                                     |

| Incident Maintenance Record                                                                                                                                                           |                                                                                                                                                                                                   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>12. Special Maintenance Requirements - Parts</b><br/> <b>Requires two AA batteries</b></p> <hr/> <p><b>Runs 16 hrs on batteries, change at end of each op period.</b></p> <hr/> | <div style="border: 1px dashed black; border-radius: 15px; padding: 10px; margin-top: 20px;"> <p><b>Special Maintenance Requirements:</b><br/> Maintenance and servicing instructions.</p> </div> |
| <p><b>13. Maintenance Performed and Date:</b></p> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>                                                             |                                                                                                                                                                                                   |
| <p><b>14. Note:</b></p> <p><b>Detects: H2S, CO, O2, SO2 &amp; combustibles.</b></p> <hr/> <hr/> <hr/> <hr/>                                                                           | <div style="border: 1px dashed black; border-radius: 15px; padding: 10px; margin-top: 20px;"> <p><b>Note:</b><br/> Additional information about item.</p> </div>                                  |
| <p><b>ICS 219-9</b></p>                                                                                                                                                               |                                                                                                                                                                                                   |

## 9.19. ICS 261-CG Example Incident Property Tracking Worksheet

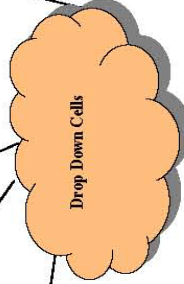
| 1. Incident Name:     |                       | Hurricane Zephir                     |                  |                | 3. Funding Source:           |                        | DPN (FEMA)     |                 | INCIDENT ACCOUNTABLE RESOURCE TRACKING WORKSHEET |                                      |                            |  |  |  |  |
|-----------------------|-----------------------|--------------------------------------|------------------|----------------|------------------------------|------------------------|----------------|-----------------|--------------------------------------------------|--------------------------------------|----------------------------|--|--|--|--|
| 2. Incident Location: |                       | Mobile, AL                           |                  |                | 4. Project Number:           |                        | D07BC1         |                 | ICS-261-CG (rev 5/07)                            |                                      |                            |  |  |  |  |
| 5. In Service Date    | 6. Acquisition Method | 7. Item/Resource Name & Model Number | 8. Serial Number | 9. Actual Cost | 10. ICS-213RR Request Number | 11. Issued to Location | 12. Issued to  | 13. Issued Date | 14. Date Returned to Supply Unit                 | 15. Current Disposition              | 16. Final Disposition Date |  |  |  |  |
| 1-Apr-07              | Purchase              | Dell Laptop / D7500                  | D0700010893874   | \$ 2,200.00    | 009-07                       | ICP (Finance)          | SKI I. M. Cost | 1-Apr-07        |                                                  | In Use                               |                            |  |  |  |  |
| 1-Apr-07              | Rent / Lease          | Canon Copier / NP-5900               | C8008237987737   | \$ 7,000.00    | 010-07                       | ICP (Planning)         | MSTC J. Coakie | 1-May-07        |                                                  | In Use                               |                            |  |  |  |  |
| 10-Apr-07             | Purchase              | Brother Fax Machine / B500           | K8377727421      | \$ 250.00      | 029-07                       | ICP (Logistics)        | SKC B. Kind    | 15-May-07       |                                                  | Transfer to FEMA Abandon / Destroyed | 20-May-07                  |  |  |  |  |
|                       | Home Unit             |                                      |                  |                |                              |                        |                |                 |                                                  | Unit Owned                           |                            |  |  |  |  |
|                       | Purchase              |                                      |                  |                |                              |                        |                |                 |                                                  | Available                            |                            |  |  |  |  |
|                       | Loaned                |                                      |                  |                |                              |                        |                |                 |                                                  |                                      |                            |  |  |  |  |

### INTRODUCTION:

This workbook is designed to be an electronic **Incident Accountable Property** Management Form. The workbook allows an FOSC's designated Incident Property Officer to track and report all accountable property during the incident as well as summarize the final disposition of property at the completion of the incident.

### USER TIPS:

- ENTERING NEW DATA:** Simply overwrite the existing data. The highlighted data cells are "Drop Down Cells" that do not require manual entry, just as they appear in the workbook(s).
- PROTECTING SHEETS:** This workbook is "protected", so it will tab to next open cell. If you need to modify the workbook, go under "tools", "protection", "unprotect worksheet". There is no password associated with the protection. It is recommended as each workbook is finalized that it be protected to avoid corruption. Use "Tools" from the drop down menu then select "Protection," then "Protect Sheet." Accept the default checks, a password is not recommended.
- INSERTING MORE ROWS:** There are currently 3 pages that can be used to list items/resources. If more rows are needed, there are several ways to do this. It is recommended that you always insert from the last dateline of a section or a page. Then "copy and paste" the Drop Down cell formulas from existing rows in that section, repeat as necessary. Remember to unprotect the worksheet before doing this (see #2 above). The drop down menus are listed on what is currently the 4th page of the worksheet (line 126 to 141). These cannot be deleted on the pull down menus will not work.



This example is using the FEMA version of the form.  
The CG version can also be used.

|                                                                                      |                                                                                                                         |                                             |                                   |
|--------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|-----------------------------------|
| <b>1. Incident Name:</b>                                                             |                                                                                                                         | <b>2. Operational Period:</b>               |                                   |
| Animas                                                                               |                                                                                                                         | Date From: 31 AUG 20<br>Time From: 31AUG 20 | Date To: 0600<br>Time To: 1800    |
| <b>3. Name:</b>                                                                      |                                                                                                                         | <b>4. ICS Position:</b>                     | <b>5. Home Agency (and Unit):</b> |
| G. Foss                                                                              |                                                                                                                         | SITL                                        | USCG Sector Hiatusport            |
| <b>6. Resources Assigned:</b>                                                        |                                                                                                                         |                                             |                                   |
| Name                                                                                 | ICS Position                                                                                                            | Home Agency (and Unit)                      |                                   |
| C. Murchison                                                                         | FOBS                                                                                                                    | USCG Sector Hiatusport                      |                                   |
| M. Monk                                                                              | DPRO                                                                                                                    | USCG Sector Hiatusport                      |                                   |
| T. Jones                                                                             | DPRO                                                                                                                    | HFD                                         |                                   |
| M. Thomas                                                                            | ASITL                                                                                                                   | HFD                                         |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
| <b>7. Activity Log:</b>                                                              |                                                                                                                         |                                             |                                   |
| Date/Time                                                                            | Notable Activities                                                                                                      |                                             |                                   |
| 31AUG/0700                                                                           | SITL gave status briefing at IC/UC Meeting                                                                              |                                             |                                   |
| 31AUG/0800                                                                           | SITL gave status briefing at C&GS Meeting                                                                               |                                             |                                   |
| 31AUG/0900                                                                           | PSC held Section meeting. Provided status of Unit. Noted issues with information flow from OSC.                         |                                             |                                   |
| 31AUG/0940                                                                           | Conducted Unit Meeting. Passed key issues from PSC. updated unit ICS 233 with assigned tasks to staff.                  |                                             |                                   |
| 31AUG/1000                                                                           | During routine safety inspection, SOFR identified potential electrical hazards with power cords. Corrected on the spot. |                                             |                                   |
| 31AUG/1100                                                                           | SITL gave status briefing at Tactics Meeting. Provided projections for next op period.                                  |                                             |                                   |
| 31AUG/1130                                                                           | T. Jones became ill. Send to MEDL. Was sent home to recover. Requested replacement.                                     |                                             |                                   |
| 31AUG/1145                                                                           | Provided training to M. Monk on ERMA.                                                                                   |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
|                                                                                      |                                                                                                                         |                                             |                                   |
| <b>8. Prepared by:</b> Name: G. Foss      Position/Title: SITL      Signature: _____ |                                                                                                                         |                                             |                                   |
| <b>ICS 214, Page 1</b>                                                               |                                                                                                                         | Date/Time: _____                            |                                   |

## 9.21. Example Decision Memo

A decision memo can be used to document key decisions for Finance and finance.

U.S. Department of  
Homeland Security

United States  
Coast Guard



Commander  
United States Coast Guard  
Sector Seattle

1519 Alaskan Way South  
Seattle, WA 98134-1192  
Staff Symbol: imd  
Phone: (206) 217-6066  
FAX: (206) 217-6187

16480  
01 Sep 2005

### MEMORANDUM

From:   
M. J. Huebschman, CDR  
CG Sector Seattle, Acting FOSC

To: File

Subj: EMERGENCY ENVIRONMENTAL RESPONSE DECISION MEMO,  
HARBORVIEW MARINA FIRE

Ref: (a) FPN S05049; MISLE # 156353

1. This decision memorandum has been developed in response to the Harborview Marina fire in Gig Harbor, WA (FPN S05049) which occurred on 31 August 2005 and is being used to document a decision to issue a Basic Ordering Agreement #S050049 to Global Diving and Salvage.

2. During the subject incident, the roof of the affected pier section collapsed onto most of the moored vessels affected during the fire and hinders emergency environmental response actions. The crane barge needs to be moved and repositioned closer to the pier roof for complete removal of debris covering the sunken vessels for further mitigation. Therefore, vessels in the path of the crane barge need to be removed. I, as the Acting FOSC, have elected to utilize the Oil Spill Liability Trust Fund to remove only the vessels in the path of the crane barge in an effort to mitigate the continuing pollution.

3. Once vessels are lifted by the crane, they will be photographed, the owner and vessel name identified, and a determination will be made as to whether or not the vessel is leaking oil. All of the above listed information will be documented.

4. Each owner of the affected vessels removed will be contacted and issued an Administrative Order and Notice of Federal Interest. The Administrative Order will explain that the removal of their vessel from the water was due to the emergency response. Each individual owner will be required to develop a comprehensive plan that outlines the removal from the barge or temporary storage location for final disposition of their vessel to the satisfaction of the cognizant Captain of the Port.

5. The above points were discussed and agreed upon by Mr. Pat Ryan and Mr. Robert Hildebrand of the National Pollution Funds Center and a variety of members of the Thirteenth District staff on this date.

## 9.22. Example ICS 233-CG Open Action Tracker

The FSC can use the ICS 233-CG Open Action Tracker to track open actions for Finance activities.

| 1. Incident Name: Yaz Northern |                                                                                                                |            | INCIDENT OPEN ACTION TRACKER<br>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                                                                                | PIO/LSC    | x                                                  | 10-Sep-13     |           | 10-Sep-13      |                |
| 4                              | Develop a media strategy and have signed off by UC. 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        | §                                                  | 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                             |                                                                                                                |            |                                                    |               |           |                |                |

## 9.23. Example ICS 235 Facility Needs Assessment

| FACILITY NEEDS ASSESSMENT WORKSHEET<br>ICS-235-CG (Rev 12/11) |                               | 4. Requirements |     | 5. Facility Needs                                       |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|---------------------------------------------------------------|-------------------------------|-----------------|-----|---------------------------------------------------------|-------------------------|-----------------------------------------------------------------|-----------------------------------|------------------------------------------------------------------------|-------------------------------------------|--------------|-------------|------------|--------|------------|---------------|--------------|---------------|-------------------|----------|------------------------|------------------|---------------|-----------------|--------|-----------|----------------|
| 2. LOCATION                                                   | 3. FACILITIES                 | REQ             | EXP | Internal/Building<br>Workspace Sq Ft (60 sq<br>ft/pers) | Wall Space Linear Sq Ft | Mult-Purpose Mtg Rm Sq<br>Ft (20 sq ft/pers + display<br>space) | External/Outside Laydown<br>Sq Ft | Parking Space Sq Ft (120<br>sq ft/vehicle x 1.4<br>circulation factor) | Climate Control (HVAC)<br>needed - yes/no | Toilet Rooms | Work Tables | Conf Table | Chairs | Telephones | Speaker Phone | Fax Machines | Power Outlets | Comp Workstations | Printers | Chart Printer/ChartPro | Video Projectors | Copy Machines | Paper Shredders | Easels | Generator | GP Medium Tent |
| ICP                                                           | Unified Command               | REQ             | 4   | 320                                                     | 60                      | 400                                                             |                                   | 480                                                                    | yes                                       | 2            | 3           | 1          | 10     | 4          | 2             | 1            | 5             | 2                 | 2        | 2                      |                  |               |                 | 1      |           |                |
|                                                               | Liaison Officer & Agency Reps | REQ             | 7   | 600                                                     | 60                      |                                                                 |                                   | 360                                                                    | Yes                                       | 1            | 2           |            | 5      | 2          | 1             | 1            | 4             | 2                 | 1        |                        |                  |               | 2               |        |           |                |
|                                                               | Safety Officer                | REQ             | 3   | 240                                                     | 60                      |                                                                 |                                   | 240                                                                    | yes                                       | 1            | 1           |            | 3      | 1          |               |              |               | 1                 |          |                        |                  |               | 1               |        |           |                |
|                                                               | Public Information Officer    | REQ             | 2   | 200                                                     | 60                      | 400                                                             |                                   | 240                                                                    | yes                                       | 1            | 2           | 1          | 10     | 2          | 1             | 1            | 4             | 2                 | 1        |                        |                  |               | 2               |        |           |                |
|                                                               | Planning Section              | REQ             | 18  | 2000                                                    | 160                     |                                                                 |                                   | 1440                                                                   | yes                                       | 4            | 5           |            | 16     | 8          | 1             | 2            | 20            | 4                 | 4        | 2                      | 1                | 2             | 2               | 4      |           |                |
|                                                               | Operations Section            | REQ             | 2   | 300                                                     |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               | Logistics Section             | REQ             | 12  | 1000                                                    | 120                     |                                                                 |                                   | 960                                                                    | Yes                                       | 2            | 8           |            | 14     | 6          | 1             | 8            |               |                   | 6        |                        |                  |               | 2               |        |           |                |
|                                                               | Finance/Admin Section         | REQ             | 6   | 400                                                     | 60                      |                                                                 |                                   |                                                                        | Yes                                       |              |             |            |        | 2          |               |              |               | 2                 |          |                        |                  |               | 1               |        |           |                |
|                                                               | Common Areas                  | REQ             |     | 1000                                                    |                         |                                                                 |                                   |                                                                        | Yes                                       |              |             |            | 20     |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
| Base                                                          | Base                          | REQ             | 100 |                                                         |                         |                                                                 | 10K                               | 3600                                                                   | N                                         | 10           |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 | 3      | 5         |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
| JIC                                                           | JIC                           | REQ             | 20  | 1600                                                    | 240                     |                                                                 |                                   |                                                                        | Y                                         | 2            | 4           | 2          | 20     | 4          | 1             | 2            | 20            | 4                 | 2        |                        | 1                | 1             |                 | 3      |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
| Staging                                                       |                               | REQ             | 50  |                                                         |                         |                                                                 | 5K                                |                                                                        | N                                         | 5            | 2           |            | 10     | 2          |               |              |               |                   |          |                        |                  |               |                 | 1      | 1         |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |
|                                                               |                               | REQ             |     |                                                         |                         |                                                                 |                                   |                                                                        |                                           |              |             |            |        |            |               |              |               |                   |          |                        |                  |               |                 |        |           |                |

## 9.24. Example ICS 237-CG Incident Mishap

**INCIDENT MISHAP REPORTING RECORD (ICS 237-CG rev 07/13)** 1. Incident: MIRLO

2. Date/Time: 9 SEP 13 0830Z 3. Location: Safety/Security Group 4. CG Unit: Sector Matusport

5. OPFAC: — 6. Name of Injured: N/A 7. Age: N/A 8. M / F: N/A 9. Rank/Rate/Grade: N/A (If Applicable) (circle)

10. Narrative of Mishap: CG-2500 while enforcing safety/security zone, encountered floating debris in water & port propeller/lower unit damaged. Vessel returned to Staging Area. Contacted USUL for repair.

|                                                                                             |                                           |                                                                   |                                               |                                       |                                    |                                      |                                   |
|---------------------------------------------------------------------------------------------|-------------------------------------------|-------------------------------------------------------------------|-----------------------------------------------|---------------------------------------|------------------------------------|--------------------------------------|-----------------------------------|
| 11. Part(s) of Body Injured (if applicable):                                                |                                           | <input type="checkbox"/> Abdomen                                  | <input type="checkbox"/> Chest                | <input type="checkbox"/> Back         | <input type="checkbox"/> Lungs     | <input type="checkbox"/> Int. Organs | <input type="checkbox"/> Head     |
| <input type="checkbox"/> Neck                                                               | <input type="checkbox"/> Eyes             | <input type="checkbox"/> Ear                                      | <input type="checkbox"/> Hip/Pelvis           | <input type="checkbox"/> Leg          | <input type="checkbox"/> Knee      | <input type="checkbox"/> Ankle       | <input type="checkbox"/> Foot     |
| <input type="checkbox"/> Elbow                                                              | <input type="checkbox"/> Hand             | <input type="checkbox"/> Wrist                                    | <input type="checkbox"/> Finger               | <input type="checkbox"/> Other        | <u>N/A</u>                         |                                      |                                   |
| Nature of Injury:                                                                           |                                           | Days Hospitalized: <u>N/A</u>                                     |                                               | Lost Work Days (NFFD/SIQ): <u>N/A</u> |                                    | Days Restricted (FFLD): <u>N/A</u>   |                                   |
| <input type="checkbox"/> Abrasion                                                           | <input type="checkbox"/> Concussion       | <input type="checkbox"/> Paralysis                                | <input type="checkbox"/> Bruise               | <input type="checkbox"/> Cut          | <input type="checkbox"/> Puncture  | <input type="checkbox"/> Sprain      |                                   |
| <input type="checkbox"/> Absorption                                                         | <input type="checkbox"/> Ingestion        | <input type="checkbox"/> Burn                                     | <input type="checkbox"/> Amputation           | <input type="checkbox"/> Dislocation  | <input type="checkbox"/> Fracture  | <input type="checkbox"/> Inhalation  |                                   |
| <input type="checkbox"/> Gunshot Wound                                                      | <input type="checkbox"/> Electrical Shock | <input type="checkbox"/> Loss of Consciousness                    | <input type="checkbox"/> Occupational Illness | <u>N/A</u>                            |                                    |                                      |                                   |
| <b>Personal Protective Equipment (PPE):</b> Circle R = PPE Required and/or U = PPE Utilized |                                           |                                                                   |                                               |                                       |                                    |                                      |                                   |
| R / U - Hearing                                                                             | R / U - Seat Belt                         | R / U - Head                                                      | R / U - PFD                                   | R / U - Hand                          | R / U - Eye                        |                                      |                                   |
| R / U - Foot                                                                                | R / U - Respirator                        | R / U - Fall/Harness                                              | R / U - Other:                                |                                       |                                    |                                      |                                   |
| 12. Damaged Property/Estimated Cost                                                         |                                           | <input checked="" type="checkbox"/> CG Property                   | <input type="checkbox"/> Non-CG Property      | Op Days Lost: <u>UNK</u>              | Cost Est \$ <u>UNK</u>             |                                      |                                   |
| <input type="checkbox"/> Aircraft                                                           | <input type="checkbox"/> Aton             | <input checked="" type="checkbox"/> Boats                         | <input type="checkbox"/> Buildings            | <input type="checkbox"/> Cutter       | <input type="checkbox"/> Equipment | <input type="checkbox"/> Piers       | <input type="checkbox"/> Vehicles |
| List Damaged Property: <u>CG-25001</u>                                                      |                                           |                                                                   |                                               |                                       |                                    |                                      |                                   |
| 13. Signature: <u>J. Jones</u> (Person completing form)                                     |                                           | 14. Name: <u>J. J. Jones</u> (Person completing form - Print)     |                                               | 15. Rank/Rate/Grade: <u>BML</u>       |                                    |                                      |                                   |
| 16. ICS Position: <u>Safety/Security Divs</u> (Person completing form - Print)              |                                           | 17. Email: <u>jjj@cgmail.com</u> (Person completing form - Print) |                                               | 18. Report #: <u>A-003</u>            |                                    |                                      |                                   |

Original - Safety Officer

Copy 1 - HSWL Service Center (se)

Copy 2 - Retained by member

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## 9.25. Tracking Time and Costs

One of the most important things an FSC must do is establish a comprehensive time and cost documentation system. While the responsibilities for TIME and COST would suggest two different people, for most Type 3 incidents these may be the same person.

### 9.25.1. Starting Collection of Time

Figure 4 below shows most of the common forms used by TIME to collect data. The resource should first be identified as either emergency response or post emergency response phase. The resource should then be identified as either “Tactical” or “Support”. These two identification categories will help indicate the appropriate time data source. Resources are then validated – meaning entered and tracked (for the CG on the e5136).

- The ICS 201 from RESL will give the initial response resources and the ICS 211 from RESL will give the information for what is on the incident.
- The ICS 211a from RESL will give the daily information as to the hours worked/not worked.
- The ICS 204s Work Assignment (from the IAP), ICS 219s T-Cards, ICS 210 status change cards, and ICS 214 Activity Logs give when (timeframes) and where the resources are assigned. These should be compared to the ICS 211As to validate resource work.
- The ICS 236 Tentative Release list from DMOB will give what is scheduled to demobilize from the incident and the ICS 221 Checkout form from DMOB will give what resources have departed the incident.
- The ICS 213RR-CG Resource Request forms help also validate resources requested and used. They may also give cost information.

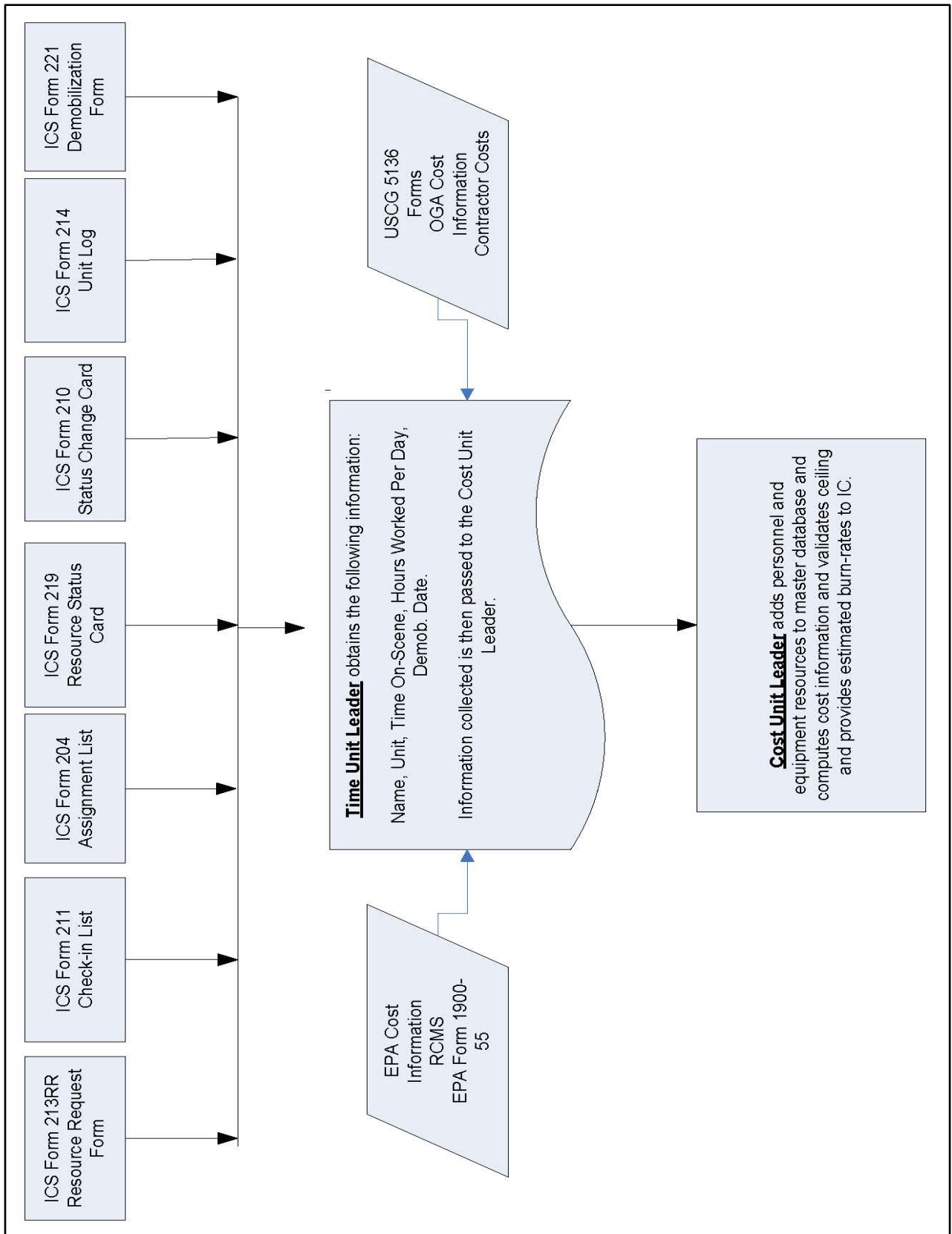
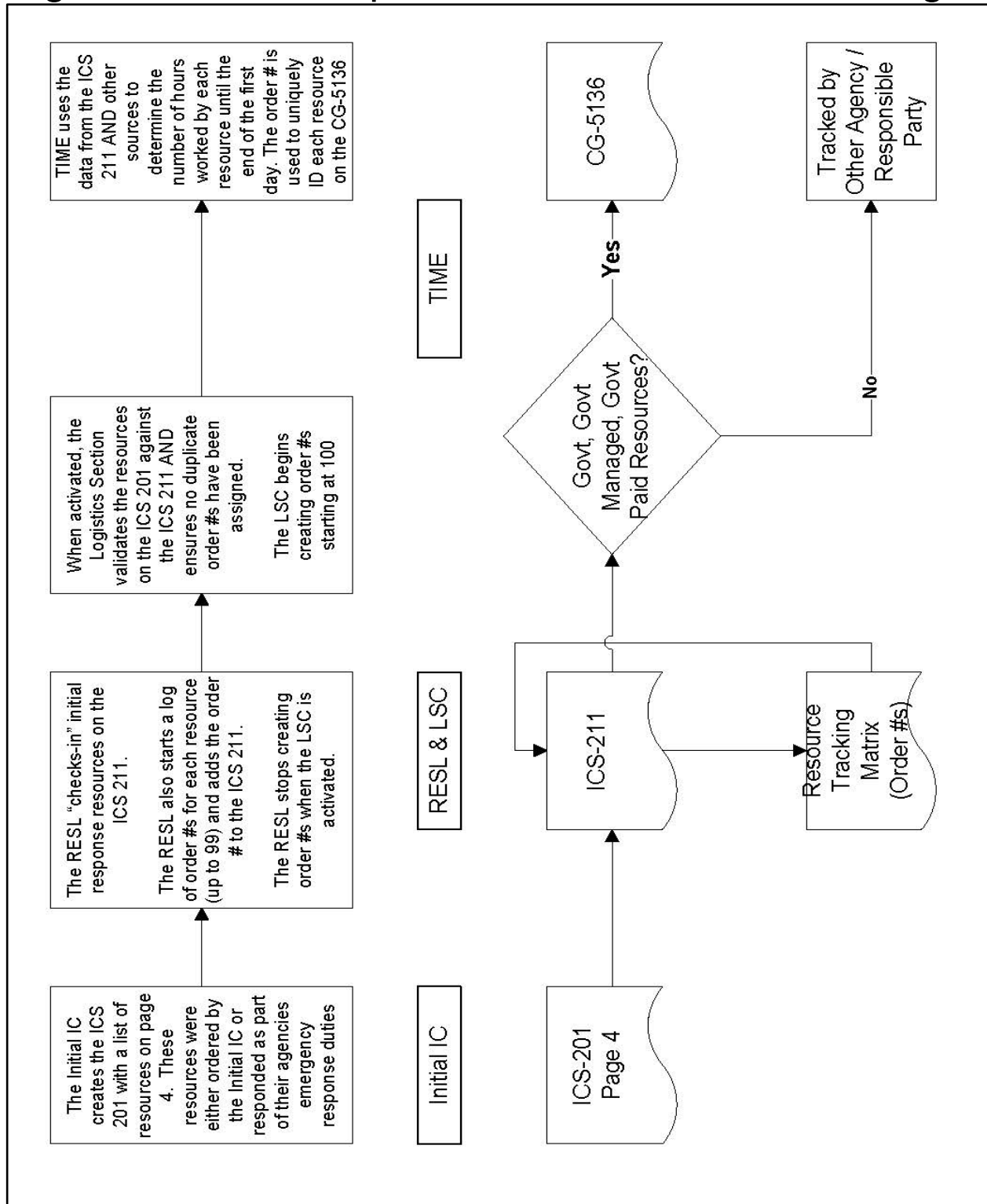


Figure 4: Time Unit Data Sources

Figure 5: Initial Response Resource Cost Tracking



When a resource linkage is broken there are other forms that can be accessed to help reconnect.

Figure 6: Daily Resource Cost Tracking

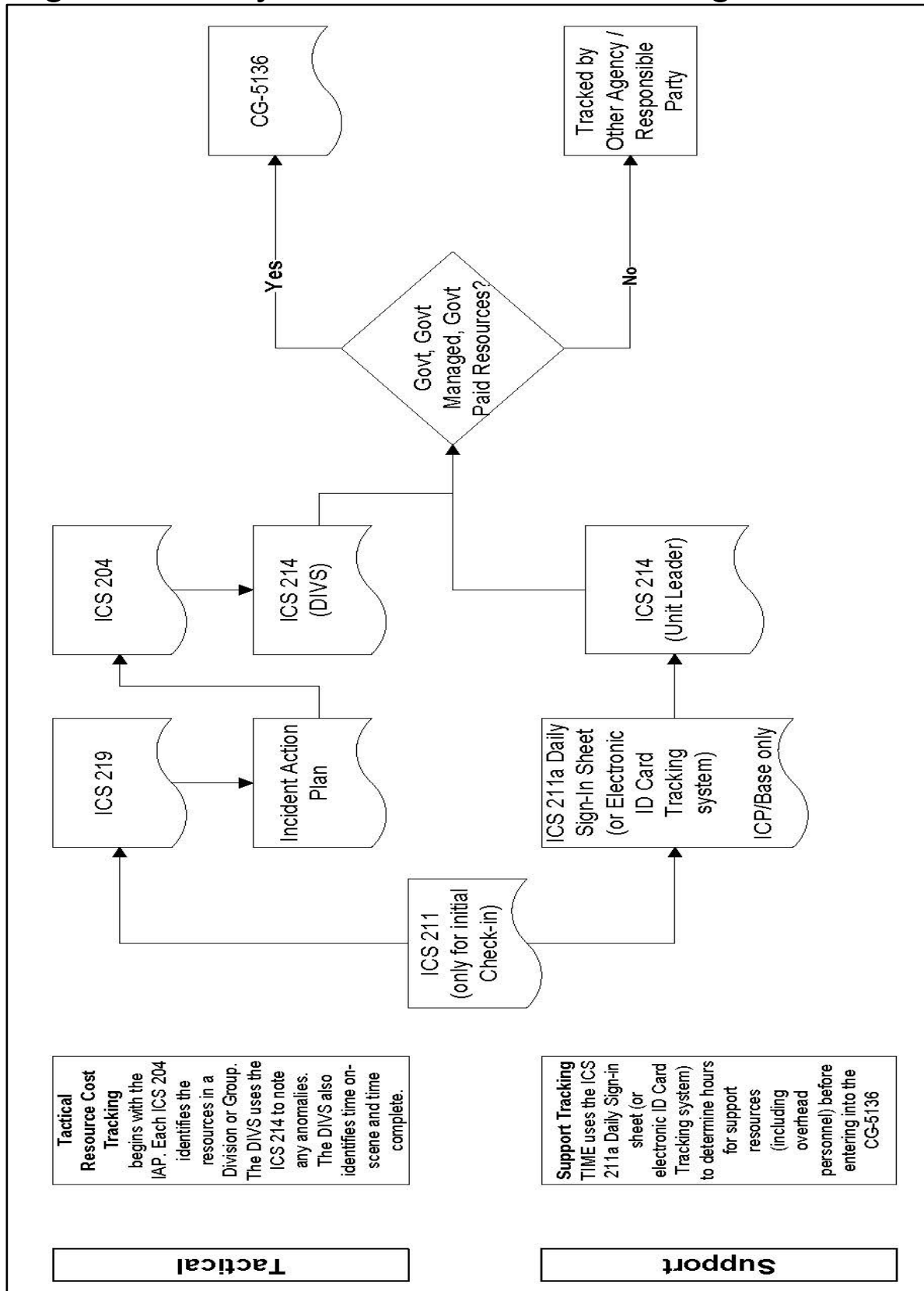


Figure 7: Linkage Between the ICS 201, ICS 211 and CG-5136

**1.a ICS 201**

|                                    |                     |                                                                           |     |                                 |                              |
|------------------------------------|---------------------|---------------------------------------------------------------------------|-----|---------------------------------|------------------------------|
| 1. Incident Name<br><b>SunCruz</b> |                     | 2. Prepared by: <b>B. Nelson, IC</b><br>Date: 10 May XX Time: <b>0800</b> |     | INCIDENT BRIEFING<br>ICS 201-CG |                              |
| 7. Resources Summary               |                     |                                                                           |     |                                 |                              |
| Resource                           | Resource Identifier | Date Time Ordered                                                         | ETA | On-Scene (X)                    | NOTES: (Location/Assignment) |
| USCG                               | B. Nelson           |                                                                           |     | X                               | IC                           |
| USCG                               | D. Montoro          |                                                                           |     | X                               | OSC                          |
| HCSD                               | Sheriff Boat #1     |                                                                           |     | X                               | SAR Group                    |
| USCG                               | CG-47230            |                                                                           |     | X                               | SAR Group                    |

These two times do not need to match but they should be relatively close.

**1.b ICS 211**

INCIDENT CHECK-IN LIST (ICS 211-CG)

|                                                                    |        |                     |      |                                                                                                                                                                     |                             |                                           |           |
|--------------------------------------------------------------------|--------|---------------------|------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|-------------------------------------------|-----------|
| 1. Incident Name: <b>SunCruz</b>                                   |        | 2. INCIDENT NUMBER: |      | 3. CHECK-IN LOCATION:<br><input type="checkbox"/> BASE <input type="checkbox"/> STAGING AREA <input checked="" type="checkbox"/> ICP <input type="checkbox"/> OTHER |                             | 4. START DATE/TIME:<br>10 MAY <b>0800</b> |           |
| CHECK-IN INFORMATION (use reverse of form for remarks or comments) |        |                     |      |                                                                                                                                                                     |                             |                                           |           |
| STATE                                                              | AGENCY | CAT                 | KIND | TYPE                                                                                                                                                                | RESOURCE OR NAME IDENTIFIER | ST/TF                                     |           |
|                                                                    | USCG   |                     | O    |                                                                                                                                                                     | B. NELSON                   | O-011                                     | 5/10-0700 |
|                                                                    | USCG   |                     | O    |                                                                                                                                                                     | P. MONTORO                  | O-012                                     | 5/10-0700 |
|                                                                    | USCG   |                     | O    |                                                                                                                                                                     | S. WATKINS                  | O-013                                     | 5/10-0700 |
|                                                                    | USCG   |                     | O    |                                                                                                                                                                     | A. WORTH                    | O-014                                     | 5/10-0700 |

**1.c CG 5136**

FPN: **S16025** Name: **P/V SUNCRUZ**

Date: **5/10/xx** FOSC/FOSCR Signature: \_\_\_\_\_

| Name      | Employee ID | A/R/C | Unit       | Pay Grade | Duty         | Total Hours | Standard Rate | Total Costs |
|-----------|-------------|-------|------------|-----------|--------------|-------------|---------------|-------------|
| B. Nelson | 9991234     | A     | Hiatusport | O-4       | ICS Position | 12          | \$124.00      | \$1,488.00  |
| (Name)    |             |       | Sector     | O-2       | ICS Position | 0           | \$90.00       | \$0.00      |
| (Name)    |             |       | Sector     | O-3       | ICS Position | 0           | \$107.00      | \$0.00      |
| (Name)    |             |       | Sector     | O-4       | ICS Position | 0           | \$124.00      | \$0.00      |
| (Name)    |             |       | Sector     | O-5       | ICS Position | 0           | \$140.00      | \$0.00      |
| (Name)    |             |       | Sector     | O-6       | ICS Position | 0           | \$159.00      | \$0.00      |
| (Name)    |             |       | Sector     | W-4       | ICS Position | 0           | \$115.00      | \$0.00      |
| (Name)    |             |       | Sector     | O-8       | ICS Position | 0           | \$184.00      | \$0.00      |
| (Name)    |             |       | Sector     | O-9       | ICS Position | 0           | \$213.00      | \$0.00      |

CG information EMPID, Status (Active, Reserve), Unit, etc. is provided by unit or on their orders

### 9.25.2. Daily TIME and COST Documentation

- **Update demobilized resources**
  - ICS 236 – who/what is scheduled to demobilize from the incident? **ENTER these resources for the last time on the e5136.**
  - ICS 221 who has actually demobilized? **Remove these resources from the e5136** for that day and in the future.
- **Update current resources:** Is the resource:
  - Tactical? **UPDATE** the resources on the current day of the CG-5136e. If there is a discrepancy, then consult the RESL and the appropriate ICS 219 and/or ICS 211A.
  - Support/Overhead? **ENTER** these resources on the current day of the e5136. If there is a discrepancy, consult the unit leader and then the RESL and the appropriate ICS 219 and/or ICS 211A. Remember that overhead and support resource often work different hours than an operational period.
  - The best practice for tracking hours is to use the ICS 211a. This should complement the ICS 211 in the sense that you must have checked-in on the ICS 211 before you start using the daily sheet.
- **Enter New Resources:**
  - ICS 211 – who/what has checked into the incident? Since resources should only check-in once, this document should have all new resources. **ADD** these to the current day on the e5136.

**9.26. Finance Section Self-Evaluation Checklist**

The Self-Evaluation Checklist can help FSC properly evaluate how the Section is performing and make changes as appropriate.

|  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|--|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | <p>Staffing and organization of Section appropriate for incident</p> <ul style="list-style-type: none"><li>• Personnel assigned receiving proper in brief and expectations from FSC</li><li>• Personnel issues properly dealt with</li><li>• Performance feedback/evaluations conducted</li><li>• Work/rest timeframes appropriate</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                  |
|  | <p>Workspace and equipment appropriate for incident and utilizing appropriate technology</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|  | <p>Status of the Finance Processes</p> <ul style="list-style-type: none"><li>• Status of Time Unit and time reports</li><li>• Status of Cost Unit and cost reports</li><li>• Status of Procurement Unit<ul style="list-style-type: none"><li>○ Funding sources and ceilings</li><li>○ Contracts in place</li><li>○ Other financial assistance (RP)</li><li>○ Resource request process</li><li>○ Resource Order Process</li></ul></li><li>• Status of Compensation/Claims Unit</li><li>• Status of Administrative Unit</li><li>• Status of Property Management Unit<ul style="list-style-type: none"><li>○ Accountable property tracking status</li></ul></li><li>• Status of Section ICS 233</li><li>• Feedback on support provided</li></ul> |

|  |                                                                                                                                                                                                                             |
|--|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | <ul style="list-style-type: none"><li>• Status of Documentation (ICS 214, contracts, etc.)</li></ul>                                                                                                                        |
|  | ICS Process Meeting Support suitable <ul style="list-style-type: none"><li>• Tactics Meeting Support appropriate</li><li>• Planning Meeting Support appropriate</li><li>• Operations Briefing support appropriate</li></ul> |
|  | Section Documentation (ICS 214, etc.)<br>appropriately completed and filed with DOCL                                                                                                                                        |
|  | Obtaining Feedback from IMT members on products                                                                                                                                                                             |

**9.27. Personnel Evaluation Criteria**

|  |                                                         |
|--|---------------------------------------------------------|
|  | Section morale?<br>High Med Low                         |
|  | Are assignments completed on time?                      |
|  | Are injuries exceeding normal operating environment?    |
|  | Is team effectively interacting?                        |
|  | Are there a number of unresolved problems/issues?       |
|  | Is there any aggression or frustration by team members? |
|  | Possible solutions to problems/issues?                  |

## 9.28. Transition/Relief Checklist

The Transition/Relief Checklist can help the incoming and outgoing FSC conduct a proper relief process.

|  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | Organization of Section                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|  | Workspace and equipment status                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|  | <b>Personnel Status</b> <ul style="list-style-type: none"><li>• Number of personnel assigned</li><li>• Expected lengths of assignment</li><li>• Personnel issues</li><li>• Performance evaluations</li><li>• Incoming personnel</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|  | <b>Status of the Finance Processes</b> <ul style="list-style-type: none"><li>• Status of Time Unit and time reports</li><li>• Status of Cost Unit and cost reports</li><li>• Status of Procurement Unit<ul style="list-style-type: none"><li>○ Funding sources and ceilings</li><li>○ Contracts in place</li><li>○ Other financial assistance (RP)</li><li>○ Resource request process</li><li>○ Resource Order process</li></ul></li><li>• Status of Compensation/Claims Unit<ul style="list-style-type: none"><li>○ Incident and responder claims</li></ul></li><li>• Status of Administrative Unit</li><li>• Status of Property Management Unit<ul style="list-style-type: none"><li>○ Accountable property tracking status</li></ul></li><li>• Status of Section ICS 233</li></ul> |

|  |                                                                                                                                                                                       |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | <ul style="list-style-type: none"><li>• Feedback on support provided</li><li>• Status of Documentation (ICS 214, contracts, etc.)</li></ul>                                           |
|  | ICS Process Meeting Support Status <ul style="list-style-type: none"><li>• Tactics Meeting Support</li><li>• Planning Meeting Support</li><li>• Operations Briefing Support</li></ul> |
|  | Outstanding problems/issues?                                                                                                                                                          |

This example is using the FEMA version of the form.  
The CG form can also be used.

| <b>DEMOBILIZATION CHECK-OUT (ICS 221)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                       |                                                                         |                                            |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------|--------------------------------------------|
| <b>1. Incident Name:</b> Baker City Incident                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                       | <b>2. Incident Number:</b> N/A                                          |                                            |
| <b>3. Planned Release Date/Time:</b><br>Date: 24NOV20    Time: 1300                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                       | <b>4. Resource or Personnel Released:</b><br>TUG ANGELICA MADREA & Crew |                                            |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                       | <b>5. Order Request Number:</b><br>VL005                                |                                            |
| <b>6. Resource or Personnel:</b><br>You and your resources are in the process of being released. Resources are not released until the checked boxes below have been signed off by the appropriate overhead and the Demobilization Unit Leader (or Planning Section representative).                                                                                                                                                                                                                                                                   |                       |                                                                         |                                            |
| <b>LOGISTICS SECTION</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                                                         |                                            |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Unit/Manager</b>   | <b>Remarks</b>                                                          | <b>Name                      Signature</b> |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Supply Unit           | Return incident supplies/equipment                                      |                                            |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Communications Unit   | Return hand-held VHF-FM radios                                          |                                            |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Facilities Unit       | Inspect hotel Room/return hotel keys                                    |                                            |
| <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Ground Support Unit   |                                                                         |                                            |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Security Manager      | Return access badges                                                    |                                            |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Vessel Support Unit   | Inspect Vsl for damage on incident                                      |                                            |
| <b>FINANCE/ADMINISTRATION SECTION</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                       |                                                                         |                                            |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Unit/Leader</b>    | <b>Remarks</b>                                                          | <b>Name                      Signature</b> |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Time Unit             | Verify daily time on incident                                           |                                            |
| <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                                                         |                                            |
| <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                                                         |                                            |
| <b>OTHER SECTION/STAFF</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                       |                                                                         |                                            |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Unit/Other</b>     | <b>Remarks</b>                                                          | <b>Name                      Signature</b> |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Medical Unit          | Post Incident health assessment                                         |                                            |
| <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Safety Officer        | Confirm Decon of Vessel vessel complete                                 |                                            |
| <b>PLANNING SECTION</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                       |                                                                         |                                            |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Unit/Leader</b>    | <b>Remarks</b>                                                          | <b>Name                      Signature</b> |
| <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                                                                         |                                            |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Documentation Leader  | Turn in all documentation - ICS 214                                     |                                            |
| <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Demobilization Leader | Final checkout                                                          |                                            |
| <b>7. Remarks:</b><br>Vessel and crew are released to return to parent company, Shortly's Tug & Barge services. Parent company is to notify Demobilization Unit at xxx-xxx-xxxx upon vessels arrival at home moorings. If vessel is diverted to another job prior to return, parent company will notify Demobilization Unit. Vessel is not authorized to depart until ICS 221 complete and given to Demobilization Unit.                                                                                                                              |                       |                                                                         |                                            |
| <b>8. Travel Information:</b><br>Estimated Time of Departure: <u>1700, 24NOV20</u><br>Destination: <u>Shortly's Tug &amp; Barge Services Moorings, Hiatusport</u><br>Travel Method: <u>Vessel</u><br>Manifest: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>Number: _____<br>Room Overnight: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>Actual Release Date/Time: _____<br>Estimated Time of Arrival: _____<br>Contact Information While Traveling: _____<br>Area/Agency/Region Notified: _____ |                       |                                                                         |                                            |
| <b>9. Reassignment Information:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Incident Name: _____ Incident Number: _____<br>Location: _____ Order Request Number: _____                                                                                                                                                                                                                                                                                                                                                            |                       |                                                                         |                                            |
| <b>10. Prepared by:</b> Name: _____ Position/Title: _____ Signature: _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                       |                                                                         |                                            |
| <b>ICS 221</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                       | Date/Time: _____                                                        |                                            |

## 9.30. ICS 225-CG Incident Personnel Performance Rating

This example is using the CG version of the form.  
The FEMA version can also be used.

| INCIDENT PERSONNEL<br>PERFORMANCE RATING<br>ICS 225-CG                                                                                                                                                             |                          | INSTRUCTIONS: 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 ONLY FOR DETERMINING AN INDIVIDUAL'S PERFORMANCE ON AN INCIDENT/EVENT                                                                                                                    |                          |                                                                                                                                                                                                                                                                                                                                                       |                          |                                                                                                                                                                 |                          |                                                                                                                                                                                                                            |
| 1. Name:                                                                                                                                                                                                           |                          | 2. Incident Name:                                                                                                                                                                                                                                                                                                                                     |                          |                                                                                                                                                                 |                          |                                                                                                                                                                                                                            |
| 3. Home Unit and Phone Number:                                                                                                                                                                                     |                          | 4. Location of Incident:                                                                                                                                                                                                                                                                                                                              |                          |                                                                                                                                                                 |                          |                                                                                                                                                                                                                            |
| 5. Position Assigned:                                                                                                                                                                                              | 6. Date of Assignment:   | 7. Date Incident                                                                                                                                                                                                                                                                                                                                      | 8. Incident              | 9. Incident Kind:                                                                                                                                               |                          |                                                                                                                                                                                                                            |
|                                                                                                                                                                                                                    | From: To:                |                                                                                                                                                                                                                                                                                                                                                       | III                      |                                                                                                                                                                 |                          |                                                                                                                                                                                                                            |
| 10. Evaluation                                                                                                                                                                                                     |                          |                                                                                                                                                                                                                                                                                                                                                       |                          |                                                                                                                                                                 |                          |                                                                                                                                                                                                                            |
| Rating Factors                                                                                                                                                                                                     | N/A                      | 1 - Unacceptable                                                                                                                                                                                                                                                                                                                                      | 2                        | 3 - Met Standards                                                                                                                                               | 4                        | 5 - Exceeded Expectations                                                                                                                                                                                                  |
| A. Knowledge of the job/ Professional Competence & Using ICS:                                                                                                                                                      | <input type="checkbox"/> | Questionable competence and credibility. Operational or specialty expertise inadequate or lacking in key areas. <input type="checkbox"/>                                                                                                                                                                                                              | <input type="checkbox"/> | Competent and credible authority on specialty or operational issues. <input type="checkbox"/>                                                                   | <input type="checkbox"/> | Superior expertise; advice and actions showed great breadth and depth of knowledge. <input type="checkbox"/>                                                                                                               |
| B. Planning/Preparedness & ability to obtain performance/results:                                                                                                                                                  | <input type="checkbox"/> | Got caught by the unexpected; appeared to be controlled by events; routine tasks accomplished with difficulty. <input type="checkbox"/>                                                                                                                                                                                                               | <input type="checkbox"/> | Consistently prepared. Set high but realistic goals. Work was timely and of high quality; required same of subordinates. <input type="checkbox"/>               | <input type="checkbox"/> | Exceptional preparation. Always looked beyond immediate events or problems. Maintained optimal balance among quality, quantity, and timeliness of work. <input type="checkbox"/>                                           |
| C. Adaptability/Attitude:                                                                                                                                                                                          | <input type="checkbox"/> | Unable to gauge effectiveness of work; recognize political realities, or make adjustments when needed. Maintained a poor outlook. <input type="checkbox"/>                                                                                                                                                                                            | <input type="checkbox"/> | Receptive to change, new information, and technology. <input type="checkbox"/>                                                                                  | <input type="checkbox"/> | Rapidly assessed and confidently adjusted to changing conditions; political realities, new information and technology. <input type="checkbox"/>                                                                            |
| D. Communication Skills:                                                                                                                                                                                           | <input type="checkbox"/> | Unable to effectively articulate ideas and facts; lacked preparation, confidence, or logic. <input type="checkbox"/>                                                                                                                                                                                                                                  | <input type="checkbox"/> | Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. <input type="checkbox"/>           | <input type="checkbox"/> | Clearly articulated and promoted ideas. Adept at presenting complex or sensitive issues. <input type="checkbox"/>                                                                                                          |
| E. Directing Others:                                                                                                                                                                                               | <input type="checkbox"/> | Showed difficulty in directing or influencing others. Unwilling to delegate authority to increase efficiency of task accomplishment. <input type="checkbox"/>                                                                                                                                                                                         | <input type="checkbox"/> | Set high work standards; clearly articulated job requirements, expectations and measurement criteria; held subordinates accountable. <input type="checkbox"/>   | <input type="checkbox"/> | An inspirational leader who motivated others to achieve results not normally attainable. Modified leadership styles to best meet situations. Won people over rather than imposing will. <input type="checkbox"/>           |
| F. Ability to work on/ Consideration for team:                                                                                                                                                                     | <input type="checkbox"/> | Ignorance of individuals' capabilities increased chance of failure. Seldom recognized or rewarded deserving subordinates or others. Used teams ineffectively or at wrong times. <input type="checkbox"/>                                                                                                                                              | <input type="checkbox"/> | Skillfully used teams to increase unit effectiveness, quality, and service. Cared for people. Recognized and responded to their needs. <input type="checkbox"/> | <input type="checkbox"/> | Insightful use of teams raised unit productivity beyond expectations. Inspired high level of esprit de corps, even in difficult situations. Ensured appropriate and timely recognition of others. <input type="checkbox"/> |
| G. Judgment/Decisions under stress:                                                                                                                                                                                | <input type="checkbox"/> | Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts. <input type="checkbox"/>                                                                                                                                                                                             | <input type="checkbox"/> | Skillfully used teams to increase unit effectiveness, quality, and service. <input type="checkbox"/>                                                            | <input type="checkbox"/> | Combined keen analytical thought and insight to make appropriate decisions. Focused on the key issues and the most relevant information. <input type="checkbox"/>                                                          |
| H. Initiative                                                                                                                                                                                                      | <input type="checkbox"/> | Postponed needed action. Implemented or supported improvements only when directed. <input type="checkbox"/>                                                                                                                                                                                                                                           | <input type="checkbox"/> | Championed improvement through new ideas, methods, and practices. self-starter. <input type="checkbox"/>                                                        | <input type="checkbox"/> | Aggressively sought out additional responsibility. A self-learner. Optimized use of new ideas. <input type="checkbox"/>                                                                                                    |
| I. Adherence to safety:                                                                                                                                                                                            | <input type="checkbox"/> | Failed to adequately identify and protect personnel from safety hazards. <input type="checkbox"/>                                                                                                                                                                                                                                                     | <input type="checkbox"/> | Ensured that safe operating procedures were followed. <input type="checkbox"/>                                                                                  | <input type="checkbox"/> | Demonstrated a significant commitment towards safety of personnel. <input type="checkbox"/>                                                                                                                                |
| 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 (signature) This rating has been discussed with me.                                                                                                                                               |                          |                                                                                                                                                                                                                                                                                                                                                       |                          |                                                                                                                                                                 | 13 Date:                 |                                                                                                                                                                                                                            |
| 14. Rated By (signature/print name):                                                                                                                                                                               |                          | 15. Supervisor Home Unit (address/phone):                                                                                                                                                                                                                                                                                                             |                          | 16. Supervisor Position:                                                                                                                                        |                          | 17. Date:                                                                                                                                                                                                                  |

## 9.31. Finance Section Chief Activities in the ICS Planning Process

### Finance "P"

