# *Concept of Operations Workshop*

Supporting Doctrine

The following documents are the foundational doctrine for the *Concept of Operations Workshop*. The documents (and the location of the originals) are:

***Concept of Operations Program Essentials***

*https://intranet.redcross.org/content/dam/redcross/documents/our_services/DisasterCycleServices/dcs-management/disaster-cycle-service-operations/ConceptofOperationsProgramEssentials.pdf*

***Incident Reporting Standards and Procedures***

*https://intranet.redcross.org/content/dam/redcross/documents/our_services/DisasterCycleServices/dcs-management/disaster-cycle-service-operations/IncidentReportingStandardsandProcedures.pdf*

***Operations Planning Standards and Procedures***

*https://intranet.redcross.org/content/dam/redcross/documents/our_services/DisasterCycleServices/dcs-management/disaster-cycle-service-operations/OperationsPlanningStandardsandProcedures.pdf*

# Concept of Operations

## Disaster Cycle Services Program Essentials

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# Introduction

The American Red Cross Disaster Cycle Services is committed to ensuring a nationwide disaster program that provides the American people with preparedness, response and recovery services that are:

- Accessible,
- Timely,
- Relevant,
- Predictable,
- Scalable,
- Consistent with the intent of Red Cross donors.

To accomplish this, Disaster Cycle Services uses a concept of operations founded in Red Cross and Disaster Cycle Services principles. This concept of operations is:

- Focused on service to clients and communities,
- Based in local knowledge of communities, volunteers, and relationships,
- Grounded in collaboration with partners and community mobilization,
- Aligned with partners at every level of government,
- Supplemented with nationally available human, material, technological, managerial and subject matter resources.

This approach ensures that local leadership, local knowledge and local presence are at the leading edge of providing Disaster Cycle Services preparedness, response and recovery services, and that the services we provide our clients are consistent and integrated regardless of the scale of operation.

# Purpose

This Concept of Operations document expands upon high-level concepts in the forthcoming Disaster Cycle Services Framework, as well as the published Preparedness, Response and Recovery Frameworks. It is designed to provide the next level of detail on the operational components of Disaster Cycle Services.

This document builds out the framework for managing disaster operations within the context of chapter, regional, divisional and national disaster operations. In addition, this document:

- Identifies accountability and responsibility for individuals engaged in Disaster Cycle Services operations,
- Defines types of operations and their associated fiscal authorities and accountabilities,
- Describes the central components of Disaster Cycle Services functions and operations,
- Articulates critical principles for how we operate.

This document does not provide prescriptive or procedural guidance for implementation. Disaster Cycle Services standards and procedures contain detailed “how to” information to help field personnel implement operations programs. Standards and procedures have been developed or are in development for Division Disaster Leadership Teams, incident reporting, operations planning and other functional areas of Disaster Cycle Services operations.

Consistent with Disaster Cycle Services principles, this concept of operations creates the guardrails for leadership to establish and scale disaster operations. While this articulates a clear and consistent management structure, success of disaster operations depends on experienced leaders with good judgment and critical skills such as communication, coaching, critical thinking and empowerment of the work force. This reliance on capable leadership in the field enables deliberate and timely decision-making where it matters most, closest to our clients.

When taken as a whole, the forthcoming Disaster Cycle Services Framework, this concept of operations, and related standards and procedures define and establish a program that will enable Red Cross personnel to organize and execute operations to deliver quality services to clients across the disaster cycle and at all scales of operations.

# Audience

This document applies to Red Cross workers within Humanitarian Services, including those who work within the division structure, regional chapter network and Disaster Cycle Services at national headquarters. This also applies to Disaster Cycle Services supporting business units such as Humanitarian Services IT, Disaster Finance, Disaster Public Affairs, Government Relations, and Disaster Fundraising.

# Scope

This document applies to all Disaster Cycle Services operations, including preparedness, response and recovery operations, and to operations of all types, including chapter, regional, divisional and national operations.

# Key Operational Concepts

This concept of operations has been developed to align with Red Cross and Disaster Cycle Services principles. In addition to those principles, the following concepts are central to the Disaster Cycle Services concept of operations.

## Regions as the Leading Edge of Disaster Cycle Services Operations

Regions are at the leading edge of all Red Cross disaster operations. Regardless of the type of operation, the Red Cross delivers its services at the community level, and regional volunteers and employees are the primary Red Cross representatives in communities. In order to provide quality services to clients and communities and conduct timely, effective and efficient disaster operations, Red Cross regions execute plans, utilize their resources, and draw on national and divisional support to meet needs across the disaster cycle.

During the preparedness phase, regions are responsible for implementing preparedness operations throughout their jurisdictions. Regions lead and manage preparedness initiatives and campaigns ensuring preparedness programs are delivered in a rapid and accessible manner, meeting the urgent needs of people at risk of disasters or emergencies. Regions are responsible for ensuring the alignment of Red Cross preparedness operations with state and local government and partner activities.

In the response phase, operations begin with chapters or regions, usually with Disaster Action Team responses. Regions ensure that the immediate needs of clients are met through the delivery of relevant services in an accessible, predictable, timely and scalable manner. Regions initiate response priorities: sheltering, feeding, staffing emergency operations centers, assessing disaster impact and reporting, and implementing public affairs and fundraising plans. They ensure coordination and participation of local and state government and partners in response efforts.

For recovery operations, regions bring recovery services to clients through the development and deployment of volunteer cadres and by mobilizing the community to work together to implement recovery strategies for families and communities. They ensure that recovery services are delivered in a

rapid and accessible manner, meeting the urgent needs of clients, and that Red Cross recovery efforts are aligned with local government and local partners.

## Integration of Regional Volunteers and Employees in Operations

When a divisional or national operation is initiated in response to the size, scope or complexity of a disaster event, regional volunteers and employees partner with the divisional or national operation staff to develop service delivery plans and define and integrate the region's ongoing role in service delivery. Regions continue day-to-day activities, such as Disaster Action Team responses, and ask for support to meet management responsibilities and accomplish other functions to ensure their capacity to engage with the operation.

As divisional or national operations stand up, regions continue to provide or support service delivery and a mix of operations staff and regional volunteers and employees work together to provide service. In those cases, the DRO Director or his or her designee leads the operation. Regional Executives and Regional Disaster Officers that are engaged in service delivery are critical partners to the DRO Director.

## Balancing Constituent Interests

In the context of Disaster Cycle Services operations, the expectations of clients, workers, government and non-government partners, donors and communities all need to be effectively met. At times, the expectations of these groups must be balanced. Decisions related to that balance are the function of operational leadership. Finding the balance between client needs and available resources, between delivering services and working collaboratively with partner agencies, and between the quality of the volunteer experience and costs are only a few of the challenges operational leaders encounter. It is critical that all individuals involved in the conduct of relief operations understand that the needs of our clients and impacted communities should drive our individual and collective actions and that any real or potential conflicts between constituencies should be brought to the attention of operational leadership.

## Metrics and Continuous Improvement

To ensure the continuous improvement of our services, Disaster Cycle Services employs a system of business process management, performance measurement, feedback, review, analysis and solutioning. These activities will be consistently applied against operational performance to continually drive improvement of the services we provide to clients and communities across the disaster cycle.

# Definitions

### *Accountability*

An individual who is accountable has overall responsibility and is answerable for the performance and results of an operation, program, function or activity. Accountability cannot be delegated. Accountable individuals can delegate responsibility for activities to others but always remains accountable. Only one person can be accountable for a specific result.

### *Chapter*

A chapter is a geographical area within a region that covers a designated number of counties, based on minimum and maximum populations, for which regional disaster staff (frequently Disaster Program Managers or Disaster Program Specialists) have responsibility. A Disaster Program Manager's or

Disaster Program Specialist's area of responsibility may be the same as, or different from, the boundaries of chapters within the region.

### *Direct Services*

Direct services are services provided directly to Red Cross clients. They span the whole disaster cycle. Direct services in preparedness may include activities such as installing smoke alarms, providing preparedness training, and disseminating timely preparedness and safety messaging before and during disasters. Direct services in response include sheltering, feeding and bulk distribution, disaster health and mental health services, and reunification services. Direct services in recovery include casework and recovery planning and/or services provided to clients by our partners through Red Cross grants.

### *Disaster Action Team*

Disaster Action Teams (DATs) are teams of Red Cross volunteers and/or employees that deliver preparedness, response and recovery services at the chapter and regional level. The Disaster Action Team structure is the principle operational structure for the delivery of disaster programs in chapters and regions. Almost all Disaster Cycle Services operations begin at the local level with Disaster Action Teams. Depending on the scope of event, Disaster Action Team operations may be scaled up to become regional, divisional or national operations.

### *Disaster Operations Coordination Center*

The Disaster Operations Coordination Center (DOCC) provides operational support and coordination for all phases of the disaster cycle. This includes:

- Supporting operations at the regional and divisional levels,
- Serving as the national coordination center for collecting, reviewing and disseminating all-source information for all-threats and all-hazards,
- Providing national-level Red Cross coordination and integration of resources, policy guidance, situational awareness and planning in order to support affected region(s) and/or operations,
- Providing direct support for large scale operations, which may include nationally coordinated preparedness and recovery events and catastrophic incidents,
- Providing designated operational leadership and other senior leaders with information necessary to make operational decisions at the national-level.

### *Disaster Operation (also Disaster Relief Operation or "DRO")*

A disaster operation is a temporary field-based structure that provides a central location for the coordination of Red Cross efforts and resources for preparedness, response and recovery. The operation structure is organized, staffed, and managed in a manner consistent with adapted Incident Command System (ICS) principles and is led by a designated disaster leadership team, often located at an operation headquarters. Operations scale up and down in response to the scope and complexity of events. As operations scale up, regions within a state may be coordinated into a single operation. For accounting and reporting purposes, each operation includes only a single state's operational activities; multiple states are not combined in a single operation.

### *Operation Headquarters*

An operation headquarters is the temporary, central location for operations leadership for preparedness, response and recovery efforts. Depending on the type of operation, an operation headquarters may be a chapter office, regional office, or other location designated to house the administration for an operation. Headquarters are usually located as close to the impacted area as is safe and practical. While the operation headquarters are scaled to meet the support requirements of the operation, headquarters staffing is limited to only the staff necessary to support field operations.

### *Districts*

A district is a sub-unit of an operation within a specified geographical area within the operation's jurisdiction. Districts are established for events that occur over a broad geographic territory to ensure the needs of impacted communities can be met effectively and efficiently while maintaining an appropriate span of control. Districts are not structured to replicate headquarters. Rather, they are structured for the purpose of facilitating service delivery to their geographic area.

### *Division Response Management Team*

A Division Response Management Team is a multi-disciplinary, division-based team that deploys to augment regional operations leadership or to lead complex operations at divisional and national levels.

### *Division Capability Work Group*

A Division Capability Work Group is a division-based team that builds and enhances Disaster Cycle Services workforce competency and capabilities to support regions and divisions during both steady state and operational phases.

### *Financial Authority*

Disaster Cycle Services operations employ two types of financial authority: budgetary approval authority and financial transaction approval authority.

Budgetary approval authority is the ability to authorize a relief operation to make commitments and expenditures up to the dollar amounts specified in the field operations budget (Form 2066). The field operations budget sets the direction for and assists operations leadership in managing the incremental costs of the relief operation. An individual who has been assigned financial authority is accountable for signing the field operations budget and ensuring alignment with the service delivery plan (see definition below). In most cases, individuals with budgetary approval authority may be, but are not limited to, the Regional Executive, Division Disaster Executive, Division Vice President or the Vice President, Disaster Operations and Logistics. A full list of individuals with budgetary approval authority can be found in the Operations Planning Standards and Procedures.

Financial transaction approval authority is the ability to authorize a relief operation to make a particular expenditure or commitment. It is a requirement built into the purchasing systems for all individual purchases made on operations. (Purchasing systems include ReQuest (pre-transaction), P-card or Concur Invoice/Travel (post-transaction)). The sum of all transactions must stay within the approved field operations budget.

See the "Operation Types and Structures" section below for financial authorities for specific types of disasters.

### *Financial Levels*

The financial level of an operation is an indication of the expected size or cost of the Red Cross effort within the context of the operation. This is expressed as the "level of commitment". It is an internal administrative reference used for framing and communicating factors for management decision-making, including decisions about leadership required to manage the operation, assets needed for service delivery, and implications for fundraising. Financial levels are associated with "DR numbers", which are assigned by the Disaster Operations Coordination Center. Financial levels are not shared outside the operation. See the "Financial Levels" section below for more information.

### *Incident Action Plan*

The Incident Action Plan is a product of the incident action planning cycle and serves as a short-term plan for the operation. The incident action plan documents the plan for the coming operational period,

usually 24 hours, enabling the operation to plan today for what it will do tomorrow. The incident action plan communicates incident objectives, prescribes tactics and provides information on communications, resource assignments and work activities for the operation. It also serves as a mechanism for senior leadership to understand how incident objectives will be met. For more information, see the Operations Planning Standards and Procedures.

### *Operational Responsibility*

An individual who has been assigned operational responsibility develops and implements the service delivery plan (see definition below) and ensures its alignment with the approved budget. This individual is responsible for efficient and effective delivery of services to clients and communities. The individual with operational responsibility is usually the Disaster Action Team Leader, Disaster Program Manager, Regional Disaster Officer or Operation Director depending on operation type.

### *Oversight and Management*

An individual with oversight and management responsibility assumes overall authority for an operation and is responsible for the coordination of operational assets and for overseeing the operational strategy within guardrails articulated by Disaster Cycle Services doctrine. Depending on the size and scope of the operation, individuals who have been designated to have oversight and management responsibility include the Regional Disaster Officer, Division Disaster Director, Division Disaster Executive, Division Vice President, and Vice President, Disaster Operations and Logistics.

### *Programmatic Support*

An individual or team with responsibility for programmatic support provides technical guidance and support consistent with Disaster Cycle Services doctrine. This support can be provided from within the impacted region, from within the division or from national headquarters. Depending on the size and scope of the operation, individuals or entities that can provide programmatic support include regional disaster functional support, Division Response Management Teams, Disaster Capability Work Groups, Division Disaster staff and the Disaster Operations Coordination Center.

### *Resource Mobilization Unit*

The Resource Mobilization and Support Unit is made up of seven Resource Mobilization and Support Senior Associates aligned with divisions and reporting to the Director of Resource Mobilization and Support under the umbrella of Disaster Operations and Logistics. The unit is responsible for supporting chapters, regions and divisions in operations readiness efforts and supporting the initial staffing needs of regions affected by disaster. Once a DR number is issued, the unit works with operations and chapters to support human resource needs by identifying, deploying and supporting disaster responders. The Resource Mobilization and Support unit maintains close relationships with regions and assists wherever possible in meeting regional and divisional goals in each of the core processes within the disaster cycle.

### *Service Delivery Plan*

A service delivery plan describes the strategies, tactics and resources needed for the activities of a relief operation. It describes the clients, their needs, and the items of assistance and services that will be needed to accomplish the plan and meet clients' disaster-caused needs. It focuses on the collaboration and coordination needed between all functions to ensure that clients are provided with the right assistance at the right time, and using the right methods. Service delivery plans include:

- The number of clients and impacted communities anticipated to be in need of services,
- The numbers and types of facilities needed to provide services,
- The number of staff needed to provide services,
- The materials and equipment needed to provide services,

- Planned methods of service delivery.

### *Support Services*

Support services are services provided by Red Cross units to support the delivery of direct services and the overall operation. Support services include current groups/activities/positions from the following functions: Logistics, Staffing, Finance and Administration, Information and Planning, and External Relations. See the "Alignment of Workforce Structures" section below for a full list of the groups, activities and positions that provide these support services.

Support services are provided by the five Disaster Cycle Services mission-enabling processes - Align with Government; Deploy Materials, Workers and Technology; Engage Volunteers and Employees; Information Management and Situational Awareness; and Mobilize the Community - as well as Disaster Public Affairs and Disaster Fundraising.

### *Steady State*

Steady state is the posture for normal, day-to-day activities and reporting relationships. During steady state, events that occur are managed by local Red Cross staff and do not require shifts in operational structure or authority.

# Roles and Responsibilities

## Steady State Roles

### *Disaster Program Manager*

Disaster Program Managers are responsible for ensuring preparedness, response and recovery programs are delivered in their assigned chapter or geographic territory. They accomplish this through the development and deployment of volunteer cadres. They are also responsible for ensuring community mobilization occurs to support delivery of disaster cycle services. Disaster Program Managers are also responsible for ensuring wise use of donor resources and financial controls.

### *Regional Disaster Officer*

Regional Disaster Officers are responsible for leading the team that implements disaster cycle services programs throughout the region. They are responsible for meeting the urgent needs of our clients and for ensuring disaster cycle services are delivered in a timely and accessible manner in alignment with established metrics. Regional Disaster Officers are also responsible for ensuring wise use of donor resources and financial controls.

### *Regional Executive*

Regional Executives are accountable for ensuring Disaster Cycle Services functions are performed, goals are achieved and performance targets are met within their regions. Regional Executives are also accountable for relationship management with designated elected state and local officials and for providing whole cycle disaster related information. Regional Executives are also responsible for ensuring wise use of donor resources and financial controls.

### *Division Disaster State Relations Director*

Division Disaster State Relations Directors are responsible for ensuring there is a primary Red Cross interface with government entities (federal, state, local and tribal), non-government organizations, and other leadership entities in the field of emergency services, disaster policy and operations, and

community resilience. Division Disaster State Relations Directors may be assigned specific relationships within Federal Emergency Management Agency (FEMA) regions. They ensure coordinated planning at the state level and with FEMA regions. Division Disaster State Relations Directors are also responsible for ensuring wise use of donor resources and financial controls.

### *Division Disaster Director*

Division Disaster Directors are responsible for the state-wide achievement of goals for their assigned states. They coordinate statewide plans and the implementation of Disaster Cycle Services programs within a state. They are accountable for capacity building and volunteer leadership development within their assigned states. They may assume leadership roles in divisional and national operations. Division Disaster Directors are also responsible for ensuring wise use of donor resources and financial controls.

### *Division Disaster Executive*

Division Disaster Executives are responsible for division-wide disaster operations and for the achievement of whole cycle disaster goals established by Disaster Cycle Services. They are accountable for leading and managing the regional teams responsible for the implementation of disaster programs within the division, ensuring services are delivered in a rapid and accessible manner, and meeting the urgent needs of our clients. They are also accountable for alignment with FEMA regions and state governments within their divisions. Division Disaster Executives are also responsible for ensuring wise use of donor resources and financial controls.

### *Division Vice President*

Division Vice Presidents are accountable for division-wide disaster operations, achievement of whole cycle disaster goals established by Disaster Cycle Services, and for regional and divisional response efforts. They ensure that transition to the next operational level occurs at appropriate triggers and manage the coordination of resources, service delivery and communication. Division Vice Presidents are also responsible for ensuring wise use of donor resources and financial controls.

### *Executive Director, Recovery Operations*

The Executive Director, Recovery Operations is accountable for leading and managing the operational delivery of recovery services, particularly for large and/or complex events. The Executive Director, Recovery Operations coordinates across national headquarters, divisions, and regions to facilitate the development of recovery capabilities and to operationalize recovery doctrine, processes and programs. The Executive Director, Recovery Operations serves as a resource and partner with other Disaster Cycle Services staff to identify opportunities to improve national recovery programs and policies. Following the transition from response to recovery operations, the Executive Director, Recovery Operations serves in a coordination role with government and non-government partners. The Executive Director, Recovery Operations is also responsible for ensuring wise use of donor resources and financial controls.

### *Vice President, Disaster Operations and Logistics*

The Vice President, Disaster Operations and Logistics supports the implementation of preparedness, response and recovery programs. Specifically, the Vice President, Disaster Operations and Logistics is accountable for coordination of services for national disaster operations. The Vice President Disaster Operations and Logistics also provides coordination of support to regions and divisions for Disaster Cycle Services, and oversight and coordination of mobilization (human and material) for preparedness, response, and recovery. The Vice President, Disaster Operations and Logistics is also responsible for ensuring wise use of donor resources and financial controls.

### *Senior Vice President, Disaster Cycle Services*

The Senior Vice President, Disaster Cycle Services is responsible for creating and maintaining the nationwide programs of Disaster Cycle Services. The Senior Vice President, Disaster Cycle Services executes preparedness, response and recovery efforts that are beyond the capabilities of regional or divisional units, and sets performance metrics in collaboration with the President, Humanitarian Services. The Senior Vice President, Disaster Cycle Services has day-to-day responsibility for national disaster preparedness, response and recovery programs, supports regional and division disaster planning and capacity building, and provides technical expertise and leadership in risk assessment. The Senior Vice President, Disaster Cycle Services is accountable for national disaster expenditures within budgets and policies set by the Chief Financial Officer and keeps the Chief Executive Officer and the President, Humanitarian Services apprised of Disaster Cycle Services quality and efficiency. The Senior Vice President, Disaster Cycle Services is also responsible for ensuring wise use of donor resources and financial controls.

## Operational Roles

### *DRO Director*

DRO Director is a temporary position within the structure of a disaster operation. DRO Directors may be responsible for leading regional, divisional, or national level operations. They may be assigned for operations across the disaster cycle, including preparedness, response and recovery operations. For regional operations, the Director reports to the Regional Executive. For divisional or national operations, the Director reports to the Division Disaster Executive or Red Cross Coordinating Officer.

DRO Directors are responsible for:

- Setting the overall direction and tone of the operation,
- Ensuring the delivery of services to clients in order to meet their immediate disaster-caused needs (for response and recovery operations) or preparedness needs (for preparedness operations),
- Providing guidance and oversight to ensure the quality of services, and appropriate, timely and cost-effective service delivery, consistent with Disaster Cycle Services doctrine,
- Leading the transition from response operations into recovery operations,
- Ensuring mutually beneficial coordination with community and government partners,
- Ensuring that controls are in place to avoid reputational or financial risk to the Red Cross.

In addition, DRO Directors are accountable for ensuring that all personnel deployed to the operation have:

- A job to do,
- A supervisor to report to,
- A place to sleep,
- A method of getting to their respective work location.

### *Deputy Director*

Deputy Director is a temporary position within the structure of a disaster operation. Deputy Directors report to the DRO Director and are responsible for:

- Reinforcing the overall direction and tone set by the DRO Director for the operation,
- Ensuring the delivery of services to clients in order to meet their immediate disaster-caused needs (for response and recovery operations) or preparedness needs (for preparedness operations),
- Facilitating communication and coordination within the operation's leadership team,
- At the discretion of the DRO Director, providing guidance and oversight to ensure quality of services, and appropriate, timely and cost-effective service delivery,

- At the discretion of the DRO Director, ensuring mutually beneficial coordination with community and government partners,
- Assuming the responsibilities and authority of the DRO Director for designated or specific periods of time as appointed by the DRO Director.

### *Assistant Director of External Relations*

Assistant Director of External Relations is a temporary position within the structure of a disaster operation. Assistant Directors of External Relations are part of the operation's leadership team and report to the DRO Director. They are responsible for:

- Leading and managing the operation's four primary external-facing activities: Government Liaison, Community Partnerships, Fundraising, and Public Affairs,
- Leading a team that engages partners to mobilize human, material and skill-based resources across the disaster cycle,
- Ensuring the consistency of Red Cross messaging to external stakeholders,
- Leveraging partner resources to facilitate efficient and effective preparedness, response and recovery efforts,
- Ensuring Red Cross representation in local and state emergency operations centers and FEMA Joint Field Offices,
- Ensuring Red Cross representation and participation at Voluntary Organizations Active in Disaster meetings and community recovery committees,
- Working with subject matter experts to create or incorporate strategies for external messaging and fundraising needs,
- Coordinate with Regional Executives and other key stakeholders to ensure communication with local elected officials.

### *Assistant Director of Finance and Administration*

Assistant Director of Finance and Administration is a temporary position within the structure of a disaster operation. Assistant Directors of Finance and Administration report to the DRO Director and are responsible for:

- Setting the overall direction and tone for all finance-related activities on the operation,
- Leading a team that supports the development of the service delivery plan,
- Creating the operation's variable budget,
- Facilitating conversations with operation leadership around performance tools,
- Directing review and monitoring activities associated with the control environment,
- Leading the finance and administration function through the planning, approval, implementation and management of recovery operations,
- Providing finance-related guidance to all personnel assigned to the operation,
- Acting as the voice of the organization's Chief Financial Officer on the operation.

### *Assistant Director of Information and Planning*

Assistant Director of Information and Planning is a temporary position within the structure of a disaster operation. Assistant Directors of Information and Planning report to the DRO Director and are responsible for:

- Ensuring the overall direction and tone set by the DRO Director is executed,
- Overseeing the collection, analysis, dissemination, evaluation and use of information to provide situational awareness to inform decisions,

- Leading a team that collects information from a multitude of internal and external sources and synthesizes salient data points in accordance with the DRO Director's priority information requirements,
- Ensuring that collected and processed information is translated into actionable intelligence,
- Leading forward planning for the operation,
- Facilitating the development of planning documents, such as the incident action plan and the service delivery plan,
- Completing the Disaster Operations Control (Form 5266),
- Supporting the implementation of the service delivery plan.

### *Assistant Director of Logistics*

Assistant Director of Logistics is a temporary position within the structure of a disaster operation. Assistant Directors of Logistics report to the DRO Director and are responsible for:

- Ensuring that the overall direction and tone set by the DRO Director is executed,
- Translating the operational strategy into action for effective and efficient implementation of the service delivery plan,
- Overseeing the deployment, management and administration of human and material resources across the disaster cycle,
- Leading the team that supports the securing of resources (including staff), as articulated in the approved service delivery plan,
- Ensuring that the Assistant Director of Operations and other operation's leaders are informed when resource requests cannot be fulfilled with internal resources and/or there may be a delay in fulfilling a request.

### *Assistant Director of Operations*

Assistant Director of Operations is a temporary position within the structure of a disaster operation. Assistant Directors of Operations report to the DRO Director and are responsible for:

- Ensuring that the overall direction and tone set by the DRO Director is executed,
- Coordinating and executing the established strategy and specific tactics to accomplish the operational goals and objectives set by the DRO Director,
- Facilitating the generation of requirements to inform the incident action planning process,
- Overseeing direct services functions,
- Supporting the implementation of the service delivery plan,
- Overseeing and supporting geographic districts, when established, by:
    - Coordinating direct services resources to ensure that service delivery requirements are met and services are delivered in a cost-effective manner,
    - Leading the team that coordinates continuity between the districts and direct services,
    - Managing resources across impacted areas to ensure consistent and effective service delivery,
    - Ensuring the flow of information and intelligence from districts to the operation's leadership team.

### *District Directors*

District Director is a temporary position within the structure of a disaster operation. District Directors are appointed based on the needs of an impacted geographic jurisdiction and report to the Assistant Director of Operations. As part of the operation's leadership team, District Directors are responsible for:

- Leading service delivery for a designated geographic jurisdiction,
- Determining requirements and ensuring efficient and effective service delivery,

- Assessing immediate needs and resource demands and coordinating response with local officials,
- Identifying operation-specific requirements and sources of information,
- Facilitating communication with and between stakeholders within the district jurisdiction,
- Following processes for communicating and reporting,
- Identifying resources and gaps, and requesting and allocating assets,
- Providing administrative oversight of assigned district staff.

### *Red Cross Coordinating Officer*

Red Cross Coordinating Officer is a temporary position within the structure of a large-scale disaster operation (divisional or national). Red Cross Coordinating Officers are appointed in coordination with the Division Vice President, Division Disaster Executive and the Vice President, Disaster Operations and Logistics. For divisional operations, the Red Cross Coordinating Officer reports to the Division Vice President. For national operations, the Red Cross Coordinating Officer reports to the Vice President, Disaster Operations and Logistics. The Vice President, Disaster Operations and Logistics maintains the cadre list of Red Cross Coordinating Officers. In most instances, the Red Cross Coordinating Officer will be the Division Disaster Executive from the impacted division.

Red Cross Coordinating Officers are responsible for:

- Serving as the principal leader and coordinating official for large-scale disaster operations,
- Supporting regional operations and ensuring the transition to the next operational level occurs in accordance with appropriate triggers defined in this document,
- Providing oversight and coordination of service delivery in regions and districts in response to large events,
- Identifying multi-regional response demands and ensuring coordination of resources, service delivery, and communication (internal and external) of services, needs, gaps, etc.,
- Coordinating operations across multiple states (where necessary),
- Ensuring cost-efficient operations,
- Coordinating with national headquarters regarding resource requirements,
- Ensuring effective information sharing and coordination between the FEMA Federal Coordinating Officer, state emergency operation centers, and key partners,
- Providing a point of information and coordination for Division Vice Presidents, Regional Executives, and other field leadership.

### *Chief of Staff*

Chief of Staff is a temporary position within the structure of a large-scale disaster operation (divisional or national) and is appointed by and reports to the Red Cross Coordinating Officer. The Chief of Staff is responsible for:

- Reviewing and prioritizing operational issues,
- Establishing reporting routines and lines of communication,
- Brokering operating solutions and mediating disputes among and between operating groups for situations that, while important, may not require the attention of the Red Cross Coordinating Officer,
- Serving in an advisory role to the Red Cross Coordinating Officer,
- Taking on projects or initiatives as required to facilitate and advance operational objectives,
- Overseeing the management, morale and well-being of all deployed staff.

# Concept of Operations Components

The Disaster Cycle Services concept of operations is designed to create a flexible, scalable model that leaders can employ to execute operations of all sizes, scopes and types across the disaster cycle. To accomplish this, the concept of operations includes the following components:

- A structure based on six key operational functions,
- Incident Command System (ICS) principles adapted to the Disaster Cycle Services environment,
- Operational financial levels based on anticipated level of commitment,
- Operational types based on geography, scope, and complexity of events,
- Specific decision drivers for scaling operations,
- Alignment of workforce structures with the concept of operations.

Together, these components provide operation leaders with a flexible model with which to build operations that are responsive to the needs of our clients and communities.

## Operational Functions

The first component of the Disaster Cycle Services Concept of Operations is the incorporation of six operational functions in all operations. These six functions are applicable for operations of all levels and types, and across the whole disaster cycle. These functions can be initially executed by a small team (for example, a Disaster Action Team) with one or more functions being performed by each person, and can be scaled up as operation size, scope and complexity grow. This approach allows leadership to be flexible and adaptive in highly dynamic events. The six functions are described below.

### *Operational Leadership (Command and Control)*

Individuals performing the operational leadership function define operational goals and operational period objectives. For chapter and regional operations, this function is usually performed by the Disaster Program Manager, Disaster Action Team Leader or Regional Disaster Officer. For larger operations, it is performed by the operation leadership team: the DRO Director, Deputy Director, District Directors, and Assistant Directors for Operations, Logistics, Finance and Administration, Information and Planning and External Relations.

### *External Relations*

Individuals performing the external relations function ensure consistency of Red Cross messaging to external stakeholders, including the public and the media. They collaborate with partners and leverage donated resources to facilitate an efficient and effective whole cycle approach and coordinated transitions between preparedness, response and recovery. For chapter and regional operations, this function can be performed by any qualified individuals identified in the region with the unique skill set and experience needed to perform this function. Individuals performing this function may include volunteer leaders, regional communicators, Disaster Program Managers, Regional Disaster Officers or other chapter or regional staff. For larger operations, this function is led by the Assistant Director for External Relations and the team includes those that have been identified to serve in an External Relations capacity in activities such as Government Liaison, Community Partnerships, Public Affairs and Fundraising.

### *Finance and Administration*

Individuals performing the finance and administration function provide operational leadership and staff with support in ensuring financial controls and in developing and monitoring the operation budget.

For chapter and regional operations, this function can be performed by any qualified individuals identified in the region with the unique skill set and experience needed to perform this function. For larger operations, this function is led by the Assistant Director for Finance and Administration and the team includes staff assigned to support the Assistant Director for Finance and Administration.

### *Information and Planning*

Individuals performing the information and planning function coordinate support activities for incident planning as well as contingency, long range, and transition planning. Information and planning staff also support operational leadership and operations staff in processing incident information.

For chapter and regional operations, this function can be performed by any qualified individuals identified in the region with the unique skill set and experience needed to perform this function. Individuals performing this function may include volunteer leaders, Disaster Program Specialists, Disaster Program Managers or other chapter or regional staff. For larger operations, this function is led by the Assistant Director for Information and Planning and the team includes those that have been identified to serve in activities such as Disaster Assessment, Information Dissemination, Financial and Statistical Information and Information and Planning.

### *Logistics*

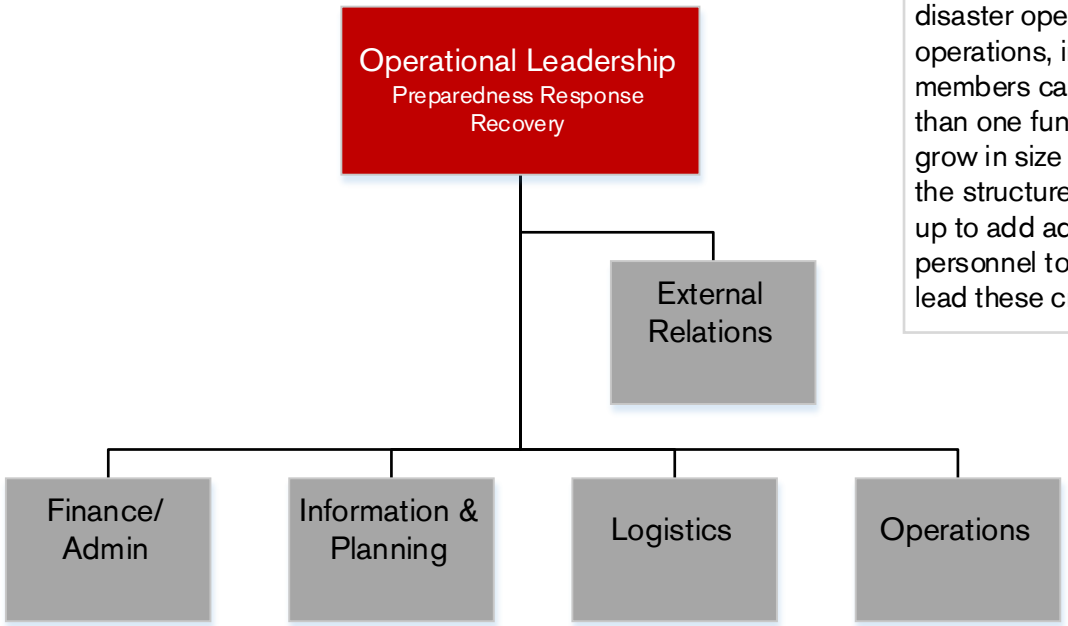
Individuals performing the logistics function support operational leadership and staff in their use of human resources, material resources, and technology. They acquire and coordinate resources for achievement of the service delivery plan. This function does not have the authority to say “no” to a resource request or change a resource request without coordinating with the DRO Director and the Assistant Director of Operations.

For chapter and regional operations, this function can be performed by any qualified individuals identified in the region with the unique skill set and experience needed to perform this function. Individuals performing this function may include volunteer leaders, Disaster Program Specialists, Disaster Program Managers or other chapter or regional staff. For larger operations, this function is led by the Assistant Director for Logistics and the team includes those that have been identified to serve in activities such as Logistics, Disaster Staffing and Disaster Services Technology.

### *Operations*

Individuals performing the 0perations function develop strategies and tactics to accomplish the goals and objectives set by operational leadership. In addition, the operations function executes the operational strategy and tactics, and employs internal and external resources to support direct services and district operations to achieve operational objectives. For chapter and regional operations, this function can be performed by any qualified individuals identified in the region with the unique skill set and experience needed to perform this function. Individuals performing this function may include volunteer leaders, Disaster Program Specialists, Disaster Program Managers or other chapter or regional staff. For larger operations, this function is led by the Assistant Director of Operations and the team includes those that have been identified to serve in direct services groups and activities such as Mass Care, Health Services and Disaster Mental Health and in preparedness and recovery services.

Figure 1: Functional Operational Structure




This figure illustrates the functional structure that is the foundation for Red Cross disaster operations. In small operations, individual team members can perform more than one function. As events grow in size and complexity, the structure can be scaled up to add additional personnel to perform and lead these critical functions.

## Adapted ICS Principles

The second component of the Disaster Cycle Services concept of operations is the adaptation of Incident Command System (ICS) principles to ensure a scalable, consistent and integrated approach to disaster operations. The Incident Command System is a widely accepted management system that enables effective and efficient incident management. It integrates human and material resources, facilities, procedures and communications within a common organizational structure.

The Disaster Cycle Services concept of operations adapts the core principles and intent of the Incident Command System to fit Red Cross organizational and operational needs. While Disaster Cycle Services is not adopting the Incident Command System in whole, we are applying Incident Command System principles to organize a broad spectrum of operations from small to complex. By adapting these principles, we can ensure a predictable and scalable organizational structure for operations that facilitates activities in all six major functional areas.

The following Incident Command System components have been adapted for the Disaster Cycle Services concept of operations.

### *Common Terminology*

Common operational terminology allows a diverse work force to work together across a wide variety of scenarios in different geographic locations. Our common terminology will be defined and published in the Disaster Cycle Services Glossary, and used consistently across our doctrine, training and in operational contexts.

### *Flexible, Scalable Organization*

Our concept of operations includes an organizational structure that is scaled based on the size, scope and complexity of an event.

### *Management by Objectives*

Our concept of operations includes management by objectives. This means employing the discipline of:

- Establishing operational priorities and objectives,
- Developing and issuing tasks,
- Developing incident plans to meet objectives,
- Documenting results to measure performance and continuous improvement and to inform after action reviews.

### *Incident Action Planning*

An incident action plan is a written plan that includes operational objectives and the overall strategy for managing the operation. An incident action plan provides a succinct, clear mechanism for communicating operational priorities, objectives, and tactics for delivering services and for support processes. Incident action planning also allows for identifying and defining operational periods within the context of an event.

### *Span of Control*

Span of control refers to the number of individuals a supervisor is responsible for. This concept ensures effective operations management. Within our concept of operations, the ideal span of control of any one individual is from three to seven subordinates.

### *Establishment and Transfer of Leadership*

Within the Disaster Cycle Services concept of operations, shifts in accountability and transition of leadership are clearly articulated and communicated.

### *Chain of Command*

Chain of command refers to the orderly lines of authority, responsibility and communication within the operational structure. An operational chain of command provides our workforce with well-defined reporting relationships and clear mechanisms for seeking direction and problem solving. A clear, simple, well-communicated and understood chain of command ensures optimal collaboration at all levels of the operation and supports the success of the operation.

### *Accountability, Responsibility and Authority*

Our concept of operations includes clear assignments of accountability, responsibility and authority to ensure effective stewardship of all resources (human and material) at all levels of operations. (For specific information about financial authorities, refer to the Operations Planning Standards and Procedures.)

### *Clear Communication (Formal and Informal)*

Open and clear communication is essential for successful disaster operations. Disasters are highly dynamic situations that require critical communication to ensure that information and situational awareness flow efficiently and effectively. There are two forms of communication emphasized in the Incident Command System: formal and informal communication.

Formal communication is maintained within the chain of command and direct reporting relationships for the exchange of information involving assignments and resource requests. Formal communication allows the operational leadership and other supervisors to manage more efficiently due to a decrease in time spent directing and communicating to people outside their direct authority.

Formal communication should be used when:

- Receiving and giving work direction and assignments,

- Requesting support or additional resources,
- Reporting progress on assigned tasks.

Informal communication is used when situations require the exchange of incident or event information only and do not involve tasking work assignments or requests for support or additional resources. Sharing relevant and timely information about an event should not be restricted to the formal communication lines as that might inhibit decision-making around service delivery.

## Financial Levels

The third component of the Disaster Cycle Services concept of operations is financial levels for operations. Financial levels are an indication of the expected size or cost of the Red Cross effort within the context of the operation. This is expressed as the "level of commitment". The level designation is an internal administrative reference used for framing and communicating management decision-making factors, including:

- The leadership skills, knowledge and abilities required to manage the operation,
- The likely amount of human and material assets to be committed for service delivery,
- Financial impact to the organization,
- The implications for fundraising in support of the event.

The level designation is made by estimating the principal cost drivers of an operation, including:

- The nature of services and assistance needed to meet client needs,
- The time required for completion of service delivery,
- The number of clients anticipated and the nature of client needs,
- The state of the infrastructure within the disaster affected area,
- The geographic range of the event,
- The relief operation organization, staffing and service delivery strategy.

Disaster relief operation levels are designated as follows:

- Level I Disaster (expected field operations budget less than $10,000),
- Level II Disaster (expected field operations budget $10,000 or more but less than $50,000),
- Level III Disaster (expected field operations budget $50,000 or more but less than $250,000),
- Level IV Disaster (expected field operations budget $250,000 or more but less than $2.5 million),
- Level V Disaster (expected field operations budget $2.5 million or more but less than $5 million),
- Level VI Disaster (expected field operations budget $5 million or more but less than $10 million),
- Level VII Disaster (expected field operations budget exceeding $10 million).

## Operation Types and Structures

The fourth key component of the Disaster Cycle Services concept of operations is operational types. Disaster Cycle Services operations are designated by type, based on the size, scope and complexity of the operation. Each type of operation includes specific financial authorities and operational responsibilities. The four types of operations are chapter, regional, divisional and national.

### *Chapter Operations*

**Definition**
A chapter operation is a local operation contained within a chapter.

**Level**
Chapter events typically do not exceed Level II. Larger metro chapters may have large complex events that are above Level II but are still managed as chapter operations.

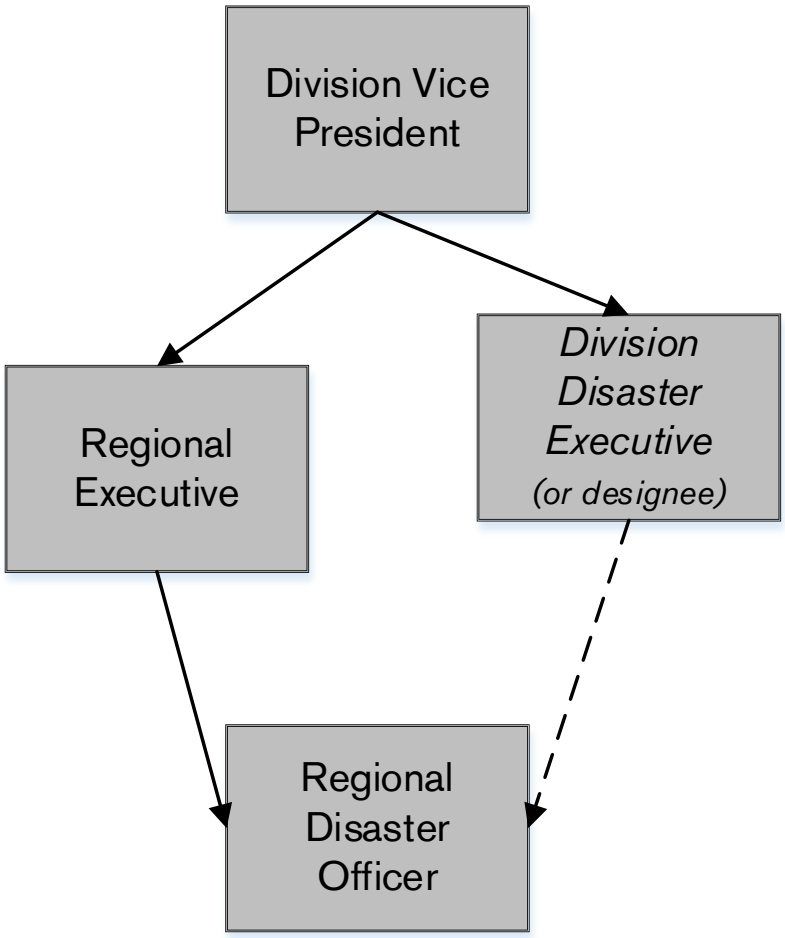
**Authorities and Responsibilities**
Authorities and responsibilities for chapter operations are granted through the Regional Executive and are as follows:

| | |
|---|---|
| Budgetary Financial Authority | <$50K:Regional Executive |
| Transactional Financial Authority | Regular regional approval chain |
| Operational Responsibility | Disaster Program Manager of affected chapter |
| Programmatic Support | Regional functional leadership support |
| Oversight and Management | Regional Disaster Officer |

**Reporting Structure**
Ordinarily, chapter operations do not require a shift in structure or authority and are handled within the Disaster Cycle Services steady state structure.

Chapter operations are routinely led by the designated Disaster Program Manager and are most frequently managed by local responders (in most cases Disaster Action Teams).

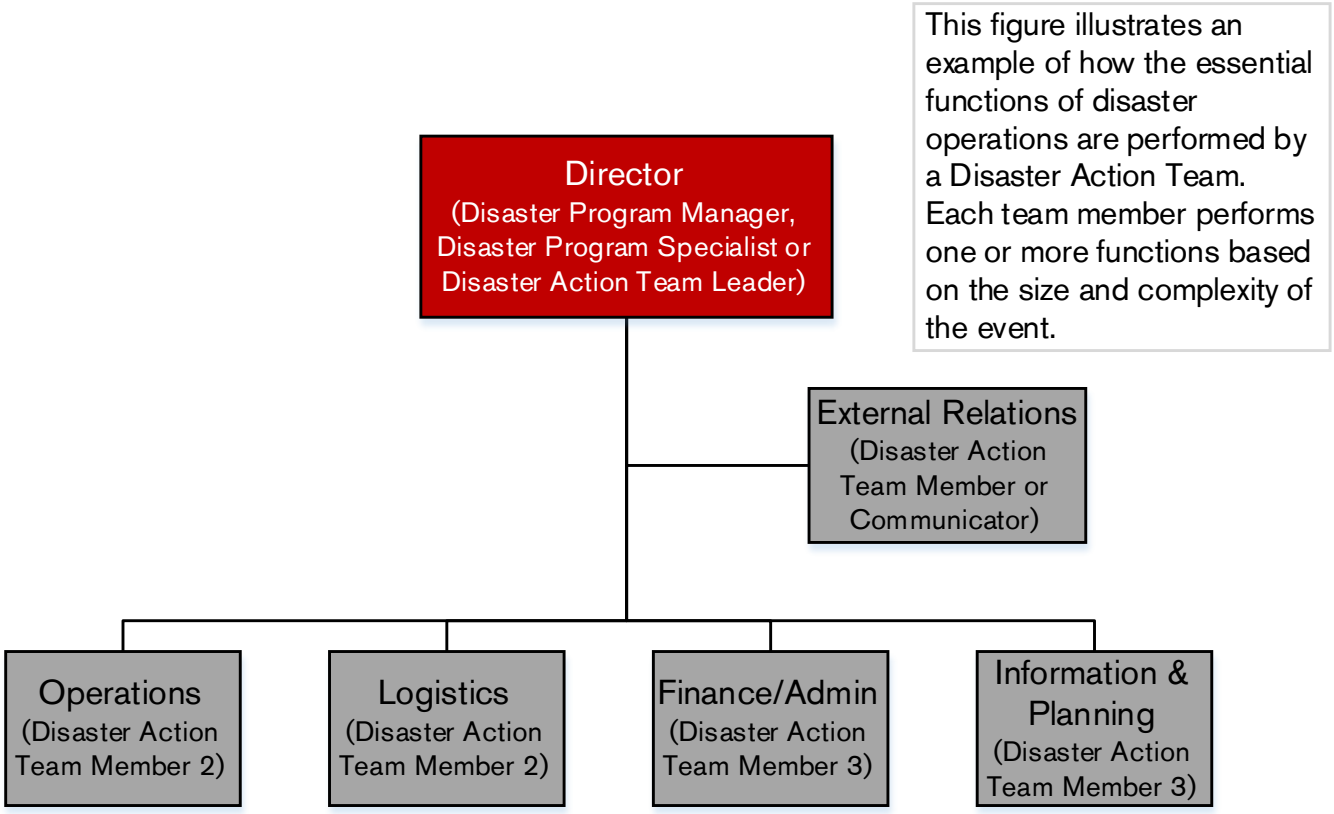
Figure 2: Steady State Reporting Relationships




This figure illustrates steady state reporting relationships for regions. For chapter and regional operations, there is no shift from steady state reporting relationships.

**Operational Structure**
Chapter operations involve two or more responders. In Disaster Action Team operations, each team member can perform more than one of the six operational functions. All tasks (including direct services like sheltering, feeding, casework, health and disaster mental health and support services like logistics, planning, finance and external relations) are performed by team members as assigned by the Disaster Program Manager, Disaster Program Specialist, or Disaster Action Team leader.

Figure 3: Chapter Operations




## *Regional Operations*

**Definition**

For regional operations, multiple chapters may be affected but the operation is contained and resourced from within the jurisdiction of a single region. This includes day-to-day operations as well as larger events within the pre-determined capacity of the regional unit.

**Level**

Like chapter operations, regional operations typically do not exceed Level II. Larger metro regions may have large complex events that are above Level II but are still managed as regional operations.

**Authorities and Responsibilities**

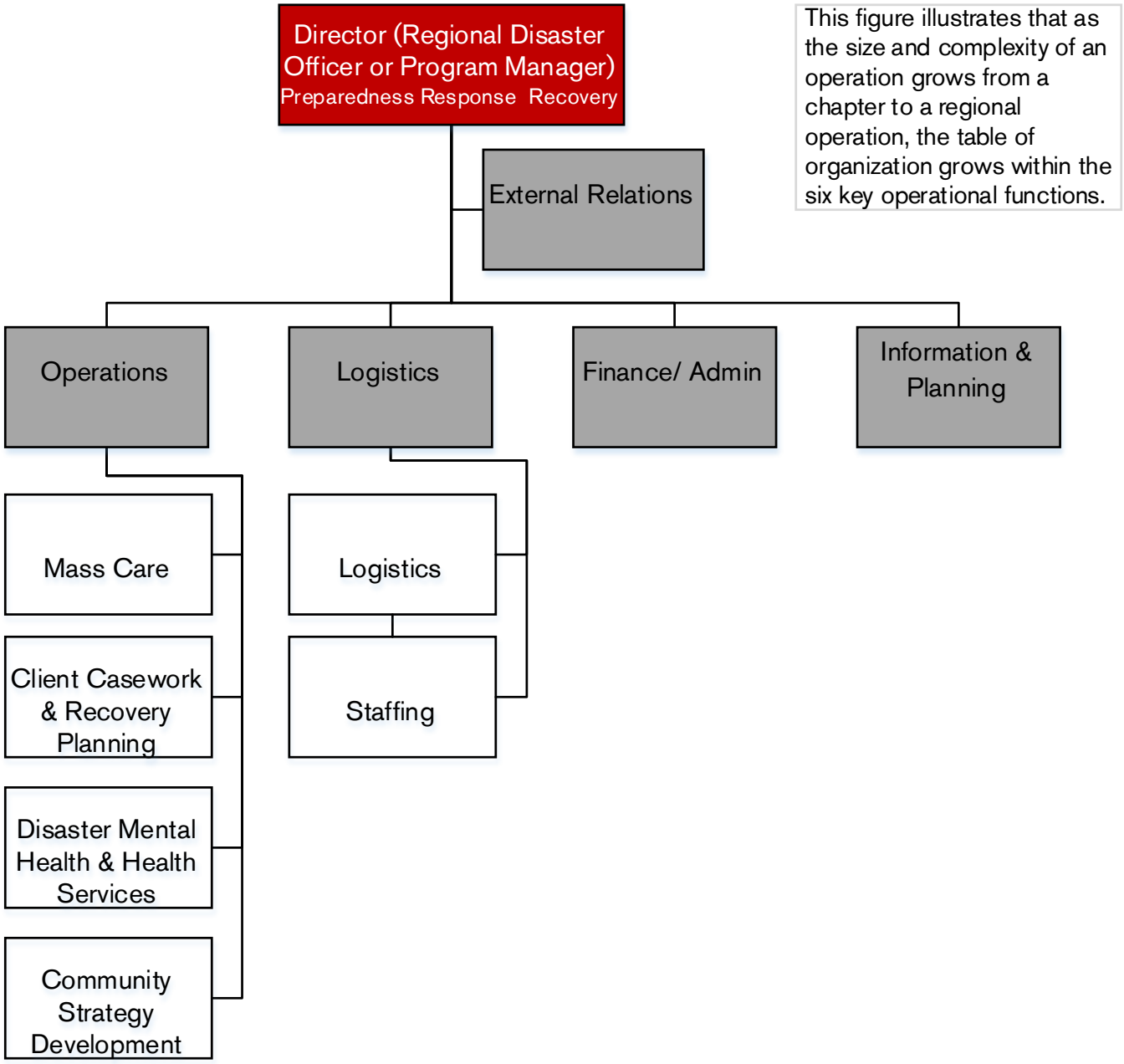
Authorities and responsibilities for regional operations are granted through the Regional Executive and are as follows:

| | |
|---|---|
| Budgetary Financial Authority | <$50K:Regional Executive |
| Transactional Financial Authority | Regular regional approval chain |
| Operational Responsibility | Regional Disaster Officer or DRO Director |
| Programmatic Support | Division Response Management Teams and Capability Work Groups |
| Oversight and Management | Division Disaster Director |

**Reporting Structure**
The reporting structure is the same for regional operations as for chapter operations, doesn't ordinarily require a shift in structure or authority, and is handled within the Disaster Cycle Services steady state structure.

**Operational Structure**
During a regional operation, as the event grows and when the need arises, the table of organization expands within the six operational functions to ensure manageable spans of control and provide effective and efficient delivery of services to clients.

Figure 4: Regional Operations



## *Divisional Operation*

**Definition**
A divisional operation is for events that cross regional boundaries and/or are beyond the scope of a single region. Divisional operations will be resourced first from within the division. However, this will not preclude the movement of human and/or material resources from outside of the division to support the operation.

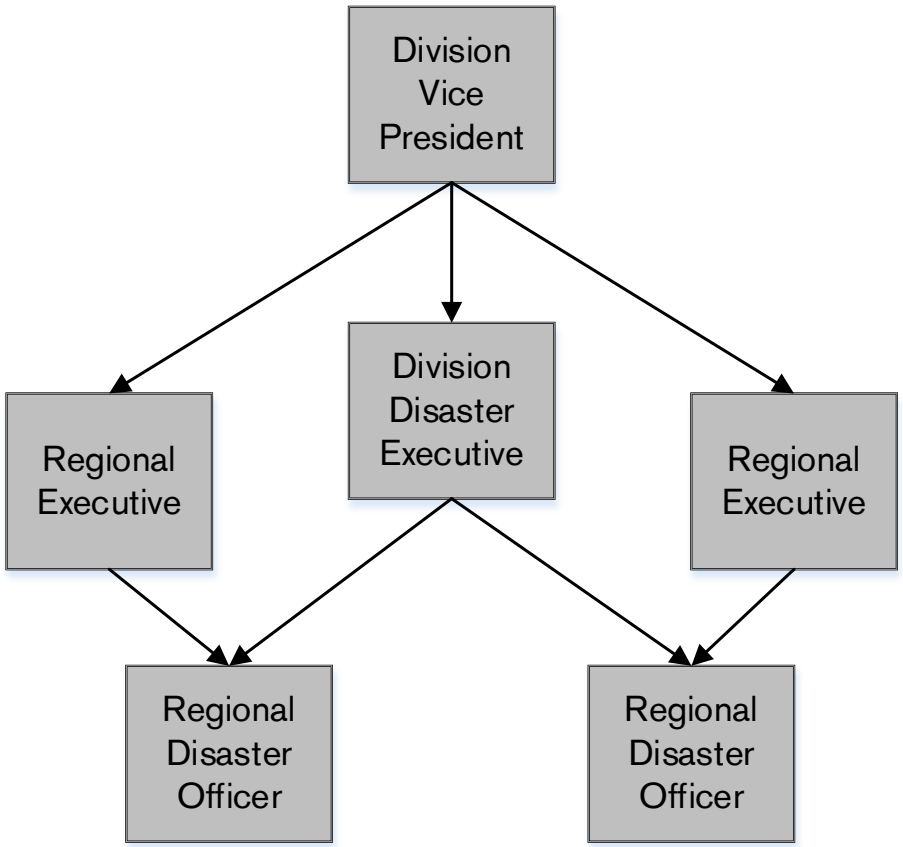
**Level**
Divisional operations are typically Level III or above. Unique events that may be a Level II may still scale to a divisional operation in accordance with the decision drivers articulated in this document.

**Authorities and Responsibilities**
For divisional operations, authorities and responsibilities are as follows:

| | |
|---|---|
| Budgetary Financial Authority | <$250K: Division Disaster Executive<br><$2.5M: Division Vice President |
| Transactional Financial Authority | Division-led operation approval chain (either Division Vice President or Division Disaster Executive) |
| Operational Responsibility | Division Disaster Director or DRO Director |
| Programmatic Support | Division Response Management Teams, Capability Work Groups, Disaster Operations Coordination Center |
| Oversight and Management | Division Disaster Executive or Division Vice President |

**Reporting Structure**
For divisional operations, overall management and authority shift from the Regional Executive to the Division Disaster Executive, working under the accountability of the Division Vice President. A shift in structure may be required; however, regional boundaries should be maintained to the greatest extent possible.

Figure 5: Divisional Operation Reporting Structure




This figure illustrates the shift that occurs when an operation transitions from a regional operation to a divisional operation. The reporting relationships and accountabilities shift.

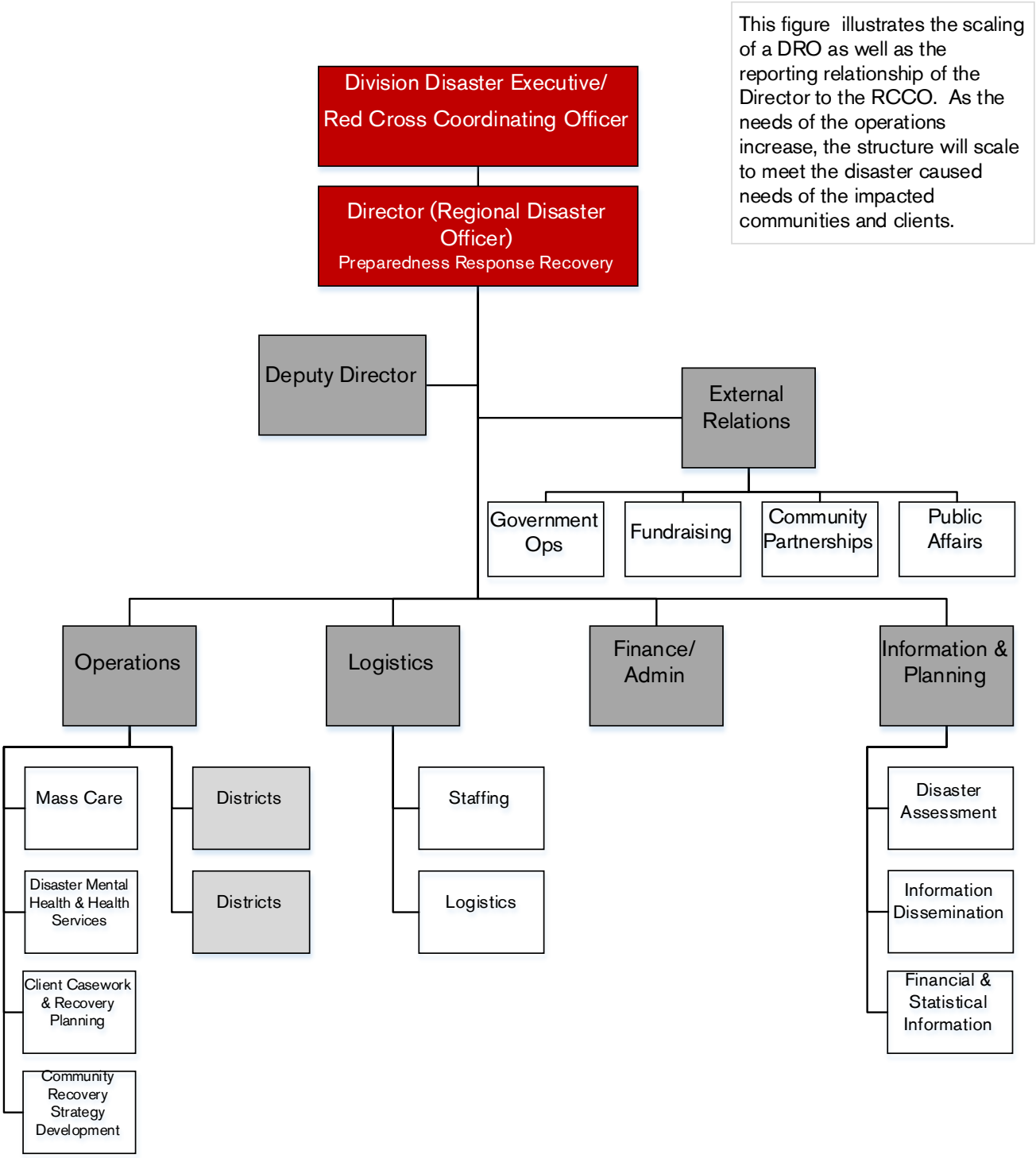
**Operational Structure**

Activation of Division Response Management Teams occurs at the divisional operation level. A Division Response Management Team is a multi-disciplinary team that deploys to augment regional leadership or lead divisional and national response operations. Per the Division Disaster Leadership Team Standards and Procedures, the Division Disaster Executive activates a Division Response Management Team, or portions of it, when appropriate to provide needed leadership, resources and guidance to support an operation. A Division Response Management Team is activated and deploys under the authority of the Division Disaster Executive. The Division Disaster Executive coordinates with the Resource Mobilization Unit to ensure a rapid deployment of team members.

When a Division Response Management Team is activated and deployed, operating under the Division Disaster Executive's authority, they will assume the leadership of the operation with a clear articulation and intentional transfer of leadership.

Within the divisional operation, the table of organization expands within the six operational functions to ensure manageable spans of control and provide effective and efficient delivery of services to clients.

Figure 6: Divisional Operation



## *National Operation*

**Definition**
National operations are established for events that:

- Affect multiple regions and/or divisions, and
- Require the movement of human and material resources from outside the division, and/or
- Create national impact and/or risk for the organization.

In many cases these events require the establishment of multiple relief operations that require national coordination.

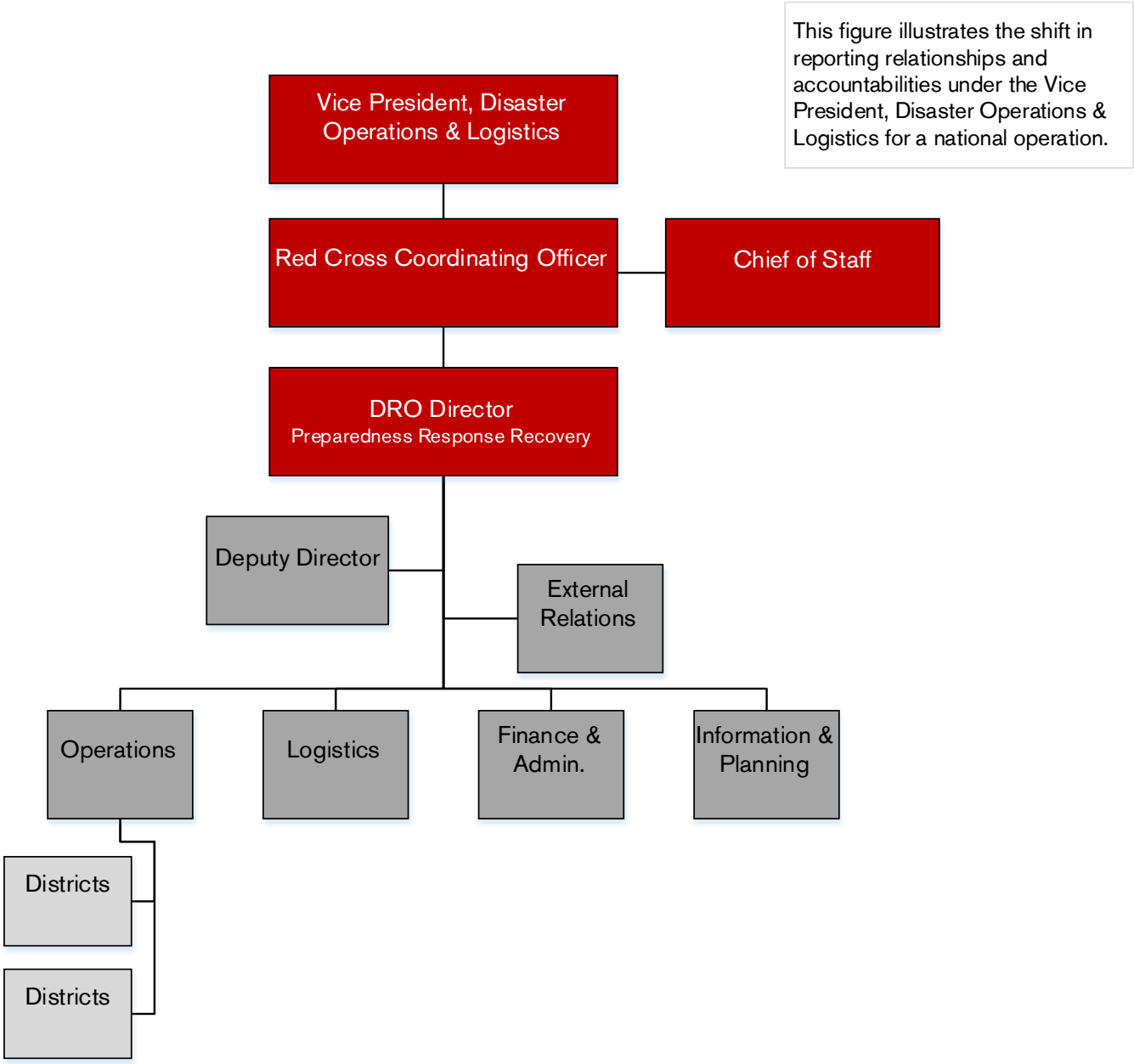
**Level**
National operations will almost always be Level III or above operations. Unique Level II events may result in a shift to a national operation in accordance with the decision drivers for shifts in accountability articulated in this document.

**Authorities and Responsibilities**
For national operations, authorities and responsibilities are as follows:

| | |
|---|---|
| Budgetary Financial Authority | <$5M:Vice President, Disaster Operations & Logistics<br><$10M: Senior Vice President, Disaster Cycle Services<br><$20M: President, Humanitarian Services<br>Any amount: President & Chief Executive Officer<br>(See the Operations Planning Standards and Procedures for additional approvers) |
| Transactional Financial Authority | National-led operation approval chain (either Vice President, Disaster Operations and Logistics or Senior Vice President, Disaster Cycle Services |
| Operational Responsibility | Red Cross Coordinating Officer |
| Programmatic Support | Disaster Operations Coordination Center |
| Oversight and Management | Vice President, Disaster Operations & Logistics |

**Reporting Structure**
For national operations, the Division Disaster Executive (or his or her designee) will assume operational command of the event as the Red Cross Coordinating Officer, while overall authority and accountability shifts from the division to the Vice President, Operations and Logistics at national headquarters.

Figure 7: National Operation




## *District Structure for Direct Services for Divisional and National Operations*

During either divisional or national operations, leadership may determine that specific geographical areas will be better served with an operational presence closer to the area being served. In those cases, leadership may employ districts designed to bring direct service capabilities closer to the geographical areas being served. The DRO Director will organize districts based on the event, geography and other driving factors.

The majority of district staff will report to the District Director and will be comprised primarily of direct services staff assigned to meet the requirements of the service delivery plan and the size, scale and scope of anticipated district activity.

### Roles of headquarters and districts

In operations that employ districts, districts focus on providing services to clients and communities and on the tactics of service delivery, while the headquarters focuses on resourcing the districts and coordinating and administrating activities. The intent of this structure is to ensure that each district gets the support it needs while allowing the District Director to focus on delivery of services to clients.

### Coordination to support service delivery

To meet the primary responsibility of district leadership to determine service delivery requirements and implement the service delivery plan, the District Director coordinates with the Assistant Director of Operations. The Assistant Director of Operations works directly with the operation's leadership team to solve problems and provide resources and technical guidance to districts to support the delivery of direct services.

### Coordination of direct and support services

The operation's leadership team, with primary responsibility designated to the Deputy Director, coordinates the interaction of direct services and support services staff conducting activities in each district. As issues arise, it is expected that assigned leadership will work across the table of organization to problem solve. This model is dependent on intentional and disciplined coordination with operational leadership to effectively coordinate services and solve challenges. It is expected that the footprint of operations headquarters locations will be maintained at an appropriate level to coordinate and support district operations.

### Support functions in districts

During the incident planning process, District Directors articulate needs for human and material resource support. The assignment of support service materials and staff within the districts is articulated in the incident action plan and supported by the approved service delivery plan. The incident planning process enables efficient and effective resolution of issues or conflicts related to district resourcing needs.

Staff in support functions may be assigned to work in a district but will report directly to leadership at headquarters. Staff in these functions includes:

- Staff services,
- Logistics,
- External Relations, including emergency operations center liaisons,
- Information and Planning, including Disaster Assessment workers.

Maintaining the direct reporting relationship to operation headquarters for these functions ensures that the district does not replicate headquarters functions and that leadership is able to maintain an appropriate span of control.

Any placement of support staff at the district level is coordinated with the Assistant Director of Operations. While the support staff continues to report to their respective supervisors at headquarters, District Directors have direct input into their work assignments and locations. As issues arise or assignments change, the District Director works with the Assistant Director of Operations and the operation's leadership team to resolve conflicts and make changes during the planning process.

Figure 8: Operation Structure for Direct Services

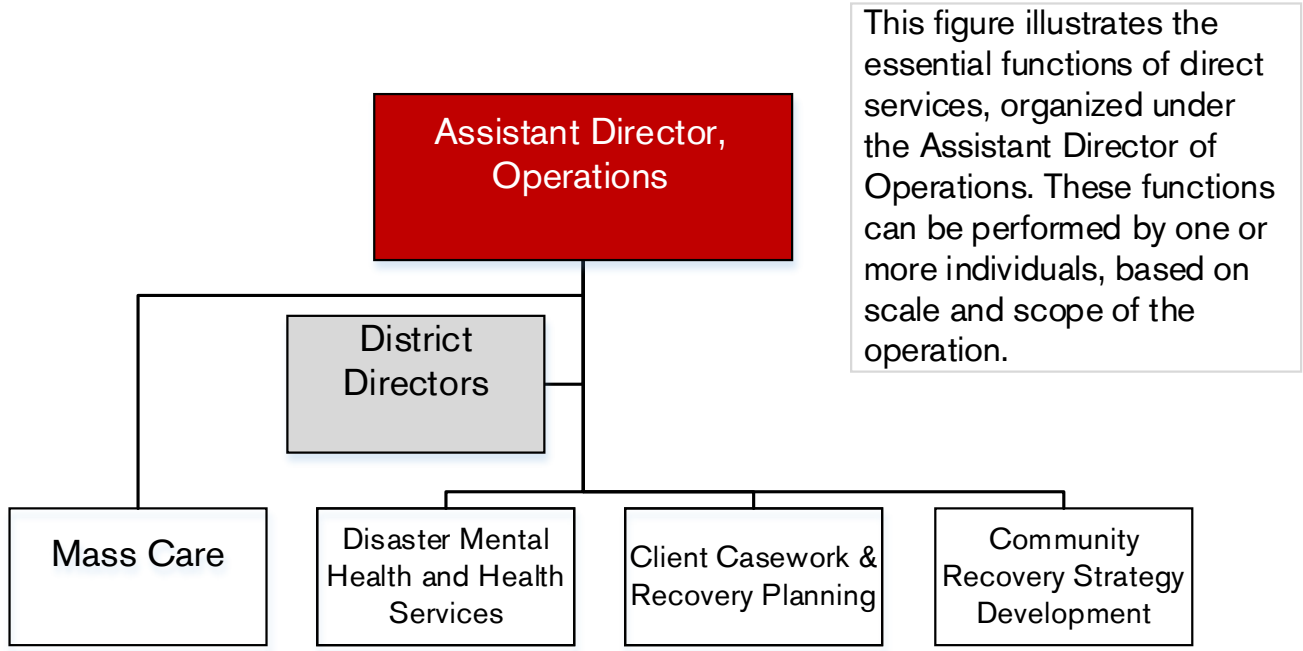
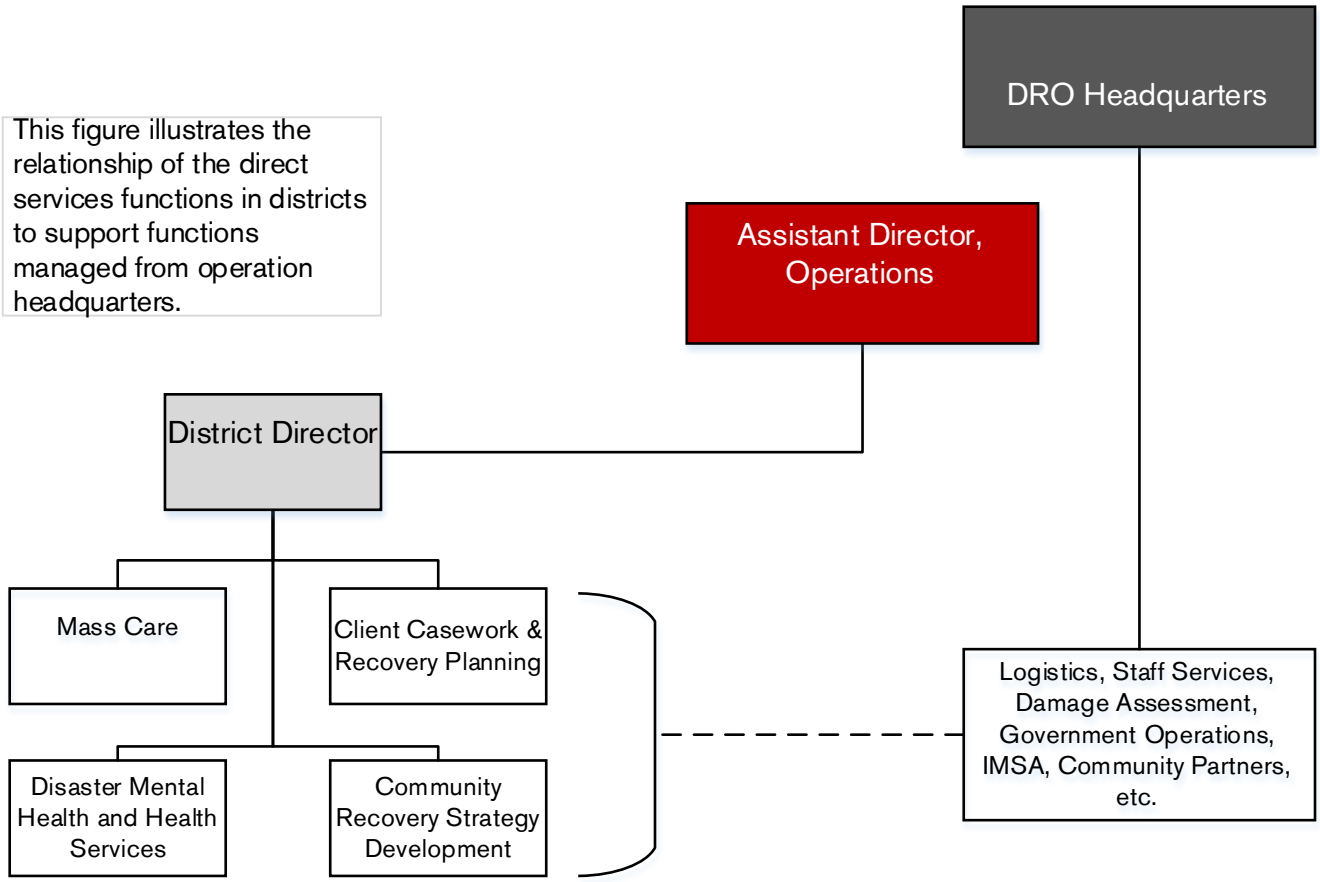



Figure 9: District Structure



### *Responsibilities & Authorities Based on Disaster Type*

The table below summarizes responsibilities and authorities, based on the four types of operations. For definitions of the four types of responsibility and authority, see the definitions section in this document.

| | Chapter | Regional | Divisional | National |
|---|---|---|---|---|
| Operational Responsibility | Disaster Program Manager | Regional Disaster Officer | Division Disaster Director | Red Cross Coordinating Officer |
| Oversight and Management | Regional Disaster Officer | Division Disaster Executive | Division Disaster Executive or Vice President, Operations & Logistics | Vice President, Operations & Logistics or Senior Vice President, Disaster Cycle Services |
| Programmatic Support | Regional Support Functions | Division | Disaster Operations Coordination Center | Disaster Operations Coordination Center |
| Financial Authority | Regional Executive | Regional Executive | Division Disaster Executive or Division Vice President | Vice President, Disaster Operations & Logistics |

## Decision Drivers for Shifts in Accountability

Most Disaster Cycle Services operations begin at the local level within a chapter and scale up based on size, scope and complexity of the event. The continuum from a chapter operation to a national operation is non-linear and can move at any time to a level that is appropriate for the size, scope and/or complexity of the event.

### *Triggers for Scaling Up an Operation*

As the size, scope and complexity of events indicate a need to scale up an operation, deliberate discussions with regional, divisional and national leadership occur to facilitate the shift from one level to next. These discussions occur in response to the identification of specific triggers that indicate a need for additional resources to meet the needs of affected clients and communities. These triggers include:

**The scope and/or scale of the event:**

- Numbers of families affected,
- Geographical area,
- Cultural sensitivity,
- Types of events (mass casualty, transportation, etc.),
- Capacity of the operating unit (chapter/region/division).

**Evolving incidents:**

- Rapidly changing conditions or environment,

- Volume of information to process.

**Complexities:**
- Political or special interests,
- Events that have national impact,
- Events that create increased organizational risk.

## *Establishment and Transition of Leadership*

Command and control is clearly established and articulated at the onset of operations and deliberately transferred over the course of time to continue efficient and effective operations. As transitions occur, concurrent acknowledgment of accountability and authority is provided to ensure appropriate transfer of responsibilities and accountabilities. Operational leadership ensures efficient processes for:

- Transitioning from one type of operation to another, such as a regional operation scaling to a divisional operation,
- Transfers of leadership, such as from a Regional Disaster Officer to the Division Response Management Team Director,
- Transitioning from one phase of the disaster cycle to another, such as from response into recovery.

**Transition Briefing**
Establishment and transition of leadership requires a briefing that captures:

- All information essential to maintaining effective operations,
- The changes in operation type,
- Leadership transfer details,
- Any other significant developments related to the event, including, but not limited to:
    - Federal declarations,
    - Disaster Operations Coordination Center activation,
    - Changes in operation level.

**Disaster Operations Summary Form**
This information from the transition briefing is captured using the Disaster Operations Summary Form. Completing this form creates a historical record of transitions of leadership, documents key developments and informs the key stakeholders (including operations staff) of significant transitions.

Responsibility for completing and sharing the Disaster Operations Summary Form is as follows.

- For chapter operations: Not needed,
- For regional operations: Division Disaster Executive, Division Disaster Director, Division Disaster State Relations Director, Division Response Management Team members,
- For divisional operations: Division Disaster Director or Disaster Operations Coordination Center,
- For national operations: Disaster Operations Coordination Center.

## *Facilitating Effective Operational Transitions*

As an operation grows in size and complexity, operational leadership ensures that:

- Staff members make a smooth transition from one reporting structure to another. For example, as operational structures scale up, the expectation is that the local team will continue to deliver services to impacted communities. Regional staff assigned to divisional or national operations may now have supervisors and reporting relationships that are different from their steady state reporting relationships. Leadership can assist their transition by setting a tone for the operation that keeps the focus on the mission and on delivering critical services.
- Replication of headquarters structure is not occurring within districts. This can be accomplished with clear communication and by providing timely and effective support to district leadership.

- There is no duplication of resource requests and fulfillment. Duplication can be prevented with clearly articulated and practiced processes for resourcing service delivery requirements.
- There is no duplication of service delivery data being collected and reported.
- "Power is pushed to the edge" and decisions are made closest to the client and within the context of an approved service delivery plan. This can be accomplished by leadership at operations headquarters supporting leaders in the field, coaching and mentoring, and ensuring timely responses to resource requests and prioritization of scarce resources.
- There is constant and consistent communication and feedback throughout the operation ("closing the loop"). This can be accomplished by ensuring districts are integrated within the operation, and that appropriate staff are participating in daily calls.

## Alignment of Workforce Structures

Disaster Cycle Services currently is working to realign the group/activity/position workforce structure with key knowledge, skills and orientations for positions within the new Disaster Cycle Services structure. This effort, called workforce typing, incorporates a whole cycle approach to categorizing and assigning the Disaster Cycle Services workforce. Once complete, workforce positions will be aligned with this concept of operations. Until that initiative is complete, the current group/activity/position structure has been mapped to the six operational functions as follows:

### *Operational Leadership*

Operations Management (OM): Director, Assistant Director, Multi-Site Director, Site Director.

### *Operations*

Mass Care: Sheltering, Bulk Distribution, Feeding, and Safe and Well Linking.

Individual Client Services (CLS): Client Casework, Recovery Planning and Assistance, Disaster Mental Health, Health Services.

### *Logistics*

Logistics: Facilities, In-Kind Donations, Warehousing, Transportation, Life Safety and Asset Protection, Procurement, Supply.

Staff Services: Local Community Volunteers, Staff Support, Staff Relations, Staff Wellness, Training.

Disaster Services Technology: Communications, Computer operations, Customer Service, Networking.

### *Finance and Administration*

Finance

### *Information and Planning*

Information and Planning (IP): Disaster Assessment, Information Dissemination, Financial and Statistical Information.

### *External Relations*

External Relations (ER): Government Liaison, Community Partnerships, Public Affairs, Fundraising.

## Operations across the Disaster Cycle

The Disaster Cycle Services concept of operations applies across the whole disaster cycle. Its principles are applicable to operations that focus on preparedness activities and campaigns, response operations and recovery operations. This whole-cycle approach provides common organizational principles regardless of phase and ensures consistency of Red Cross services across the disaster cycle. While operations concepts are familiar in the context of Red Cross disaster response operations, their application to preparedness and recovery operations is new. The following provides information about applying the Disaster Cycle Services concept of operations in the preparedness and recovery phases of the disaster cycle.

### *Preparedness Operations*

The Disaster Cycle Services Preparedness Framework sets the strategic direction for building, sustaining and delivering the Disaster Cycle Services preparedness program to facilitate individual, family, organization and community preparedness and make our communities more resilient. While regions are responsible for implementing the Disaster Cycle Services preparedness program throughout their jurisdictions, national headquarters and Red Cross divisions have defined roles to ensure consistent and effective delivery of preparedness services.

The purpose of including preparedness operations in this concept of operations is to ensure that leadership can establish and scale operations as preparedness efforts increase in size, scope and complexity. Implementation of the preparedness program and delivery of preparedness services have unique characteristics but can still be organized consistently with the structures and functions articulated in this document. The preparedness program includes direct services to individuals and families, organizations, and communities. Preparedness programs and campaigns require logistical support, deliberate planning and reporting, and external coordination with partners and the media.

One example of how Disaster Cycle Services may establish preparedness operations is the Home Fire Preparedness Campaign, a nationwide organizational commitment to reduce the number of fire-related deaths and injuries across the United States. The Home Fire Preparedness Campaign requires support and coordination across regional jurisdictions, divisional boundaries and national headquarters. In order to ensure that this campaign is delivered in a scalable, consistent manner, we have established a national preparedness operation, staffed consistently using this concept of operations. A key strategy of the Home Fire Preparedness Campaign is providing door-to-door installation of smoke alarms and completing home-safety checklists and plans in vulnerable neighborhoods. The concept of operations articulated in this document provides a framework for articulating accountable and responsible individuals, formulating and establishing plans, executing the campaign regionally, coordinating it within divisions and supporting it nationally.

### *Recovery Operations*

Recovery operations begin soon after disasters occur, even while response activities are ongoing. In most cases, the four core components of Disaster Cycle Services recovery services that are always provided during relief operations (Community Recovery Strategy Development, Casework and Recovery Planning, Direct Client Assistance and Preparedness Information) are delivered as direct services within the initial operational service delivery plan. As they are provided under the service delivery plan, these services are executed according to the principles and components of this concept of operations, within the context of chapter, regional, division or national operations.

For large or complex events, typically Level 5 and higher, an Executive Director for Recovery Operations is designated and accountable for the overall delivery of recovery services throughout the extended period of recovery operations. The Executive Director for Recovery Operations is responsible for guiding the deliberate transition from response to recovery, developing a recovery service delivery plan, resourcing the recovery operation, providing services to clients and communities, coordinating and aligning with external partners, and ensuring financial controls and wise use of donated resources.

In operations identified in the Recovery Framework as “when resources allow”, the recovery service delivery plan includes additional direct client assistance, partner and interagency support, and community preparedness and community assistance services. These services are delivered through programs that are scaled and adapted to the specific nature of the disaster, implemented efficiently, measured for their effectiveness, and reported regularly and transparently to the public and senior leadership.

Like preparedness operations, recovery operations have unique characteristics but they can still be organized consistently within the structures and functions articulated in this document. Recovery operations include direct services to individuals and families, organizations, and communities. They require scaling up, logistical support, deliberate planning and reporting, and careful financial management and control. They also require external coordination with partners, the media, and donors. This concept of operations provides key structures, functions and components for managing the elements of recovery operations and ensuring that they are effective and successful.

# Conclusion

This document establishes a common understanding of the Disaster Cycle Services concept of operations. It is meant to provide a set of operational components from which leaders can manage flexible operations that are responsive to the size, scope and complexity of events and the needs of clients and communities. Its implementation, along with forthcoming standards and procedures covering the six operational functions, will enable the Red Cross workforce to deliver quality services that are predictable, scalable, repeatable and effective in helping individuals, families and communities prepare for, respond to and recover from disasters.

# Incident Reporting Standards and Procedures

## Disaster Cycle Services Standards & Procedures

DCS WC OPS SP


January 2015

American Red Cross

# Change Log

| *Date* | *Page(s)* | *Section* | *Change* |
|---|---|---|---|
| 11/21/14 | 8 | Triggers for an Initial Incident Report | Add reporting trigger for when Red Cross staffs an Emergency Operations Center or Regional Respond Coordination Center. |
| 12/23/14 | 10 | Initiating Situation Reporting | Changed “Situation reporting should take place if an IIR is created” to “Situation reporting should take place for all Level 2 operations and above” |
| 12/23/14 | 10 | Creating a Disaster Services Automated Reporting System Incident | Moved directly above “Situation Reports” section and changed language from “anytime an IIR is created” to “For all Level 2 operations and above” |
| 4/1/15 | 8 | Triggers for an Initial Incident Report | Separated “death” and “significant injuries” into two triggers. Clarified “evacuation” trigger language. Clarified “media coverage” trigger. Added general trigger clarification around the word “significant” |
| 4/1/15 | 9 | Completing Initial Incident Report-Timing | Clarified language to read “IIR is due within two hours after any trigger is met” |

# Introduction

Incident reporting enables Disaster Cycle Services operations staff to capture notification of an incident and report on that incident through its entirety in a timely, structured, predictable, and complete manner. Disaster Cycle Services incident reporting begins with the Initial Incident Report, which is submitted once, and continues on a once-daily basis through situation reporting. The Initial Incident Report captures immediate information known about an incident to alert appropriate members of the workforce and the Situation Report focuses on capturing past actions from the day. Together, the Initial Incident Report and Situation Reports allow operations to capture critical information for reporting, audit and situational awareness.

# Purpose

The purpose of this document is to describe the process activities, standards, responsibilities and authorities, and control mechanisms for Disaster Cycle Services incident reporting from the time of incident notification to the conclusion of operations.

# Relation to Other Documents

This standards and procedures document is an annex to the Disaster Cycle Services Concept of Operations. Together, the Concept of Operations, this document, the Operations Planning Standards and Procedures and forthcoming standards and procedures for other operational functions provide the foundation for operational leadership, management and implementation for all Disaster Cycle Services operations.

# Audience

This document applies directly to Red Cross workers supporting operations within Humanitarian Services, including those who work at the chapter, regional, divisional, and national levels. This document also applies to supporting business units such as Disaster Finance, Disaster Public Affairs, Government Relations, Humanitarian IT, and Disaster Fundraising.

# Scope

The procedures in this document apply to the creation and distribution of Initial Incident Reports and Situation Reports for all incidents which meet the triggers for incident reporting. (See “Triggers”, section below).

# Definitions

## *Disaster Operations Control Form (Also, Form 5266)*

The Disaster Operations Control is an internal management tool prepared by leadership on relief operations to give an account of services delivered, human and material resources on the operation, and financial commitments incurred. The purpose of the Disaster Operations Control is to capture daily service delivery information for reporting purposes as well as to support future service delivery planning. Because the Disaster Operations Control does not fully represent the costs associated with the

relief operation, the dollar figures from the Disaster Operations Control are not provided to external audiences, including partners, and are not shared beyond the operation's core leadership team. Non-monetary numbers from the Disaster Operations Control may be shared. (For more information, see the Operations Planning Standards and Procedures.)

### *Disaster Services Automated Reporting System (Also, DSARS)*

The Disaster Services Automated Reporting System is the system of record for the operation disaster relief (DR) numbers, Field Operations Budgets, Disaster Operations Controls, and Damage Assessment Summary data. The Disaster Services Automated Reporting System includes numerous reports to assist in managing operations.

### *Initial Incident Report (Also, IIR)*

An Initial Incident Report is a Microsoft Word-based report that captures initial incident information and details immediate Red Cross actions. The Initial Incident Report is meant to meet regional, divisional, and national headquarters initial incident needs.

### *Situation Reporting*

Situation reporting is the daily capture of operational activities which includes both Situation Reports and numerical (structured) information, such as the Disaster Operations Control.

### *Situation Report (Also, "SitRep")*

A Situation Report is a daily report that records 1) operational actions completed during the day, 2) sustainable, local capacity building activities that have occurred during the day, 3) concerns, and 4) suggestions. The report is completed by each of the functional groups of an operation. The Situation Report is compiled in Microsoft Word and distributed as a PDF attachment to an email.

## Accountabilities, Responsibilities and Authorities

Below are the specific responsibilities and accountabilities for Disaster Cycle Services units and staff with respect to incident reporting.

### *Disaster Program Manager*

The Disaster Program Manager is accountable for completion of an Initial Incident Report within two hours of incident notification. The Disaster Program Manager can transfer responsibility for completion to appointed response leadership (for example, a Disaster Program Specialist or Duty Officer) if necessary. If the Disaster Program Manager is not be the individual receiving the initial call for service the Disaster Program Manager, or appointed response leadership, should gather all information from the original call-taker to complete the Initial Incident Report.

### *Assistant Director of Information and Planning*

The Assistant Director of Information and Planning for an operation is accountable for situation reporting. This includes successful daily completion of Situation Reports and the Disaster Operations Control. Responsibility for completion of Situation Reports may be designated to members of the Information and Planning group and responsibility for completion of the Disaster Operations Control may be delegated to the lead Financial and Statistical Information worker on an operation. If no Financial and Statistical Information lead is available, Disaster Operations Control reporting should be delegated to a trained person with access to the Disaster Operations Control tool in the Disaster Services Automated Reporting System.

The Assistant Director of Information and Planning is also accountable for daily completion of the Information and Planning Situation Report and submitting his or her portion of the Situation Report to the Information and Planning group by 6 PM local time. The Assistant Director of Information and Planning is accountable for answering all four Situation Report questions (actions from today, sustainable, local capacity building, concerns, and suggestions). The final Situation Report should be distributed by 8:30 PM local time.

### *Assistant Director of Operations*

Situation Report - The Assistant Director of Operations is accountable for daily completion of the operations portion of the Situation Report and submitting his or her portion of the Situation Report to the Information and Planning Group by 7:30 PM local time. The Assistant Director of Operations is accountable for answering all four Situation Report questions (actions from today, sustainable, local capacity building, concerns, and suggestions). The Assistant Director of Operations should delegate responsibility to District Directors if districts are established. If no districts are established, responsibility for the completion of each activity's Situation Report should be delegated to each respective activity lead.

Disaster Operations Control - The Assistant Director of Operations is also accountable for the daily gathering of Disaster Operations Control information and submitting his or her pertinent Disaster Operations Control information to the Financial and Statistical Information lead by 7:30 PM local time or by 7:00 PM local time, if possible. Responsibility for input of Disaster Operations Control information can be delegated to the Financial and Statistical Information lead for the operation. Responsibility for compiling Disaster Operations Control information can be delegated to District Directors. If no District Directors are present, the Assistant Director of Operations can delegate responsibility for compiling Disaster Operations Control information to the operation's activity leads.

### *District Directors*

If districts exist on an operation, District Directors are responsible for compiling Situation Reports and Disaster Operations Control information from activities within their district. District Directors should delegate responsibility for completing each portion of the Situation Report and Disaster Operations Control to the activity leads within their district. Each District Director should submit their respective Disaster Operations Control information to the Assistant Director of Operations by 7 PM local time. Each District Director should submit their Situation Report components to the Assistant Director of Operations by 7 PM local time.

### *Assistant Director of Logistics*

The Assistant Director of Logistics is accountable for daily completion of Logistics group Situation Reports and submitting his or her portion of the Situation Report to the Information and Planning Group by 7:30 PM local time. The Assistant Director of Logistics is accountable for answering all four Situation Report questions (actions from today, sustainable, local capacity building, concerns, and suggestions). The Assistant Director of Logistics is also accountable for daily submission of Logistics Disaster Operations Control information and submitting his or her pertinent Disaster Operations Control information to the Financial and Statistical Information lead by 7:30 PM local time. This information should be submitted at the headquarters level and not by district. Responsibility for input of logistics Disaster Operations Control information can be delegated to the Financial and Statistical Information lead.

### *Assistant Director of External Relations*

The Assistant Director of External Relations is accountable for daily completion of External Relations Situation Reports and submitting his or her portion of the Situation Report to the Information and Planning Group by 7:30 PM local time. The Assistant Director of External Relations is responsible for answering all four Situation Report questions (actions from today, sustainable, local capacity building,

concerns, and suggestions). The Assistant Director of External Relations is also accountable for daily completion of external relations Disaster Operations Control information and submitting his or her pertinent Disaster Operations Control information to the Financial and Statistical Information lead by 7:30 PM local time. Responsibility for input of External Relations Disaster Operations Control information can be delegated to the Financial and Statistical Information lead.

### *Assistant Director of Finance and Administration*

The Assistant Director of Finance and Admin is accountable for daily completion of the Finance and Administration Situation Report and submitting his or her portion of the Situation Report to the Information and Planning Group by 7:30 PM local time. The Assistant Director of Finance and Administration is accountable for answering four Situation Report questions (actions from today, sustainable, local capacity building, concerns, and suggestions).

### *Financial and Statistical Information (FSI) Lead*

The Financial and Statistical Information lead is responsible for successful completion of the Disaster Operations Control daily by 10 PM local time. This structured information should come from the Assistant Director of Operations, the Assistant Director of Logistics, the Assistant Director of External Relations, Volunteer Connection, and the Client Assistance System (CAS). If no Financial and Statistical Information person is assigned to an operation, any tasks undertaken by the Financial and Statistical Information activity should fall within the Information and Planning Group to a designee of the Assistant Director of Information and Planning.

### *Operations Activity Leads*

The leads for each Operations activity (Sheltering, Bulk Distribution, Feeding, Safe and Well Linking, Client Casework, Recovery Planning and Assistance, Disaster Mental Health, and Health Services) are responsible for daily completion of their activity's Situation Reports and capturing Disaster Operations Control information pertinent to their activity. They are responsible for submitting Disaster Operations Control and Situation Report information to the District Director (if applicable) or Assistant Director of Operations (if no districts are in place) by 6 PM local time. Operations activity leads are responsible for answering all four Situation Report questions (actions from today, sustainable, local capacity building, concerns, and suggestions).

### *External Relations Activity Leads*

The leads for each External Relations activity (Government Liaison, Community Partnerships, and Public Affairs) are responsible for daily completion of their activity's Situation Reports and capturing Disaster Operations Control information pertinent to their activity. They are responsible for submitting Disaster Operations Control information to the Assistant Director of External Relations by 6:00 PM local time. External Relations activity leads are responsible for answering all four Situation Report questions (actions from today, sustainable, local capacity building, concerns, and suggestions).

### *Logistics Activity Leads*

The leads for each Logistics activity (Facilities, In-Kind Donations, Warehousing, Transportation, Life Safety and Asset Protection, Procurement, Supply, Local Community Volunteers, Staff Support, Staff Relations, Staff Wellness, Training. Communications, Computer operations, Customer Service, and Networking) are responsible for daily completion of their activity's Situation Reports and capturing Disaster Operations Control information pertinent to their activity. They are responsible for submitting Disaster Operations Control information to the Assistant Director of Logistics by 6 PM local time. Logistics activity leads are responsible for answering all four Situation Report questions (actions from today, sustainable, local capacity building, concerns, and suggestions).

For additional information about roles and timing, refer to Table 1 and Table 3. For additional information on responsibilities and authorities, refer to Table 2 and Table 4.

# Incident Reporting Procedures

## Initial Incident Report

### *Purpose of the Initial Incident Report*

The purpose of an Initial Incident Report is for a Red Cross responder to notify his or her chain of command of an incident that is occurring in his or her assigned territory, to increase situational awareness around that incident, and create a historical record of initial actions. Standardized Initial Incident Reports enhance organizational visibility around evolving incidents. Pending a national dispatch and incident management system, the Initial Incident Report allows for standardized and predictable capture of information across the organization. The Initial Incident Report is not intended to capture every incident to which the Red Cross responds; triggers for creating an Initial Incident Report are outlined in this document.

### *Receiving Incident Notification*

A Red Cross volunteer or employee will receive notification of an incident. During the initial call or notification, this Red Cross team member should capture pertinent information on paper or electronically for an Initial Incident Report including the time of notification, an incident location, and details of the incident. During this initial notification, the Red Cross team member should be listening for and asking about any potential Initial Incident Report triggers. If any Initial Incident Report triggers are met, the Initial Incident Report template should be completed in entirety.

### *Triggers for an Initial Incident Report*

Triggers for an Initial Incident Report are:

- A death has occurred,
- Multiple significant injuries have occurred,
- A Red Cross paid or volunteer staff member is injured,
- A Red Cross facility is damaged,
- A significant evacuation occurs in a community,
- A shelter is, or will be, opened or put on standby,
- The incident has significant media coverage,
- The estimated cost is expected to go over $10,000,
- Mutual-aid (Red Cross human and/or material resources are requested from outside of the affected region) is expected to occur or is occurring.
- A state, local, tribal, or territorial Emergency Operations Center and/or a FEMA Regional Response Coordination Center has been activated and the Red Cross is providing coverage.

**Note - For any trigger where the word "significant" is used, completion of the IIR is at the discretion of the Disaster Program Manager or appointed response leadership (what is significant in a small community may not be significant in a larger community). When in doubt, an IIR should be completed.*

Following the conclusion of the incident notification, the Red Cross team member should notify the Disaster Program Manager using local chapter procedures. If any part of the Initial Incident Report was completed during the call, the report should either be emailed to the Disaster Program Manager or communicated verbally over the phone immediately.

## *Completing the Initial Incident Report*

### ***Timing***

The IIR is due within two hours after any trigger is met.

If the initial call-taker identifies any of the Initial Incident Report triggers, he or she should begin to fill out the Initial Incident Report which is due two hours after any trigger is met. For a notice event, such as a hurricane, an Initial Incident Report is due two hours after any trigger is met. The Initial Incident Report begins the reporting process.

The Initial Incident Report should be completed by the Disaster Program Manager or appointed response leadership. If an operation has been ongoing for a period of time before a trigger is met, the Initial Incident Report should be completed within two hours of that trigger being met.

### ***Completing the Report***

Required fields in the Initial Incident Report are denoted by red text and asterisks. These fields must be filled out for every Initial Incident Report. All non-required fields should be filled out if applicable.

## *Distributing the Initial Incident Report*

The Initial Incident Report is a Word document. The Disaster Program Manager (or appointed response leadership) should distribute the report using the following standards and distribution list. For the Initial Incident Report, the filename and the subject line should be the same.

| | Filename and Email Subject Line | Example | Send to: |
|---|---|---|---|
| If a DR # has not been issued | date (YYYYMMDD)_region name_event type abbreviation_IIR | For a flood in the Colorado-Wyoming region on July 24, 2014: 20140724_Colorado_Wyoming _FLD_IIR.<br><br>For a hurricane in Greater New York on August 1, 2014: 20140801_Greater_New_York_ HUR_IIR. | Regional Disaster Program Officer, Division Disaster State Relations Director, Division Disaster Director, Division Disaster Executive, and to docc@redcross.org |
| If a DR # has been issued | date (YYYYMMDD)_DRXXXXX_ event type abbreviation_IIR | For DR issued for a pending hurricane in Greater New York on August 1:<br><br>20140801_DR77715_ HUR_IIR. | Regional Disaster Program Officer, Division Disaster State Relations Director, Division Disaster Director, Division Disaster Executive, and to docc@redcross.org |
| See the Appendix for event types and abbreviations. | | | |

## Situation Reporting

Situation reporting includes both structured and unstructured data. Structured data is currently captured through the Disaster Operations Control in the Disaster Services Automated Reporting System. Unstructured data is captured through a Situation Report, which covers four questions:

- Actions from today,
- Sustainable, local capacity building,
- Concerns, and
- Suggestions.

Each operational function (External Relations, Finance and Administration, Information and Planning, Operations, and Logistics) is responsible for filling out all of the four Situation Report questions.

### *Initiating Situation Reporting*

The Assistant Director of Information and Planning is accountable for situation reporting. Situation reporting should take place for all Level 2 operations and above and should continue as long as direct services are delivered. Although not required, situation reporting may take place for Level 1 operations if deemed appropriate by the DRO Director. Situation reporting begins with creating an incident in the Disaster Services Automated Reporting System. Situation reporting consists of creating a Situation Report to capture unstructured data, and capturing structured data through the Disaster Operational Control reporting tool in the Disaster Services Automated Reporting System. The Assistant Director of Information and Planning should delegate responsibility for each of these reports to appropriate information and planning team members. When initiated, both the Situation Report and the Disaster Operations Control should be completed daily according to specific time intervals, which are detailed in the tables below.

### *Creating a Disaster Services Automated Reporting System Incident*

For all Level 2 operations and above, the reporting unit is required to create an incident in the Disaster Services Automated Reporting System. Once an incident is created in the Disaster Services Automated Reporting System, it will generate an incident number which can be promoted to a Disaster Relief (DR) number if needed. There are times when a DR number will be issued preemptively, such as during a hurricane. If this is the case, situation reporting should take place if the DR becomes a Level 2 operation or above or if instructed by the DRO Director.

### *Situation Reports*

The Assistant Director of Information and Planning is accountable for successful completion of daily Situation Reports. Data populating the Situation Report should come from workers in the field and move its way up the chain of command.

Beginning at 5 PM local time, or earlier if daily activities conclude before 5 PM local time, activity leads in the Operations, Logistics, and External Relations functions are responsible for compiling information based on the four Situation Report questions using information from their respective teams from the current day. Each activity lead is responsible for ensuring information reported by their team is accurate and valid.

- “Actions from today” should detail the activity teams performed in the field.
- “Sustainable, local capacity building” should focus on how the operation is engaging the local workforce, including leveraging Event Base Volunteers, especially training and empowering local volunteers to build out their skillsets and leadership abilities. This section should also cover any specific community mobilization efforts in which each activity may have been engaged.

- "Concerns" should be documented purposefully and should inform operational objectives as part of the incident planning process. Concerns from a Situation Report should be addressed in the following day's operational leadership meeting.
- "Suggestions" should be documented purposefully and should inform operational strategies and tactics as part of the incident planning process. Suggestions from a Situation Report should be addressed in advance of the following day's tactics meeting.

If districts are in effect, Operations activity leads in districts should compile information from their team and pass this information to their District Director. Each District Director is responsible for reviewing and compiling Situation Reports from Operations activity leads in their district. Each District Director is responsible for submitting their compiled Situation Report to the Assistant Director of Operations. The Assistant Director of Operations is responsible for submitting all Operations Situation Reports to the Assistant Director of Information and Planning (or his or her Information and Planning group designee).

If districts are not in effect, Operations activity leads should submit their respective Situation Reports to the Assistant Director of Operations. The Assistant Director of Operations is responsible for submitting all operations Situation Reports to the Assistant Director of Information and Planning (or his or her Information and Planning group designee).

Logistics and External Relations activity leads should submit their Situation Reports to their respective Assistant Director. Both the Assistant Director of Logistics and Assistant Director of External Relations are responsible for compiling and submitting their group's Situation Reports to the Assistant Director of Information and Planning (or his or her Information and Planning group designee).

The Situation Reports compiled by the Assistant Directors and by the Information and Planning group are word documents. To facilitate compiling Situation Reports, each activity lead should capture all daily activity in the body of an email and forward for compiling, according to the instructions below and should answer Situation Report questions in bullet format.

### *Sending Situation Reports as an Activity Lead (withing the Operations, Logistics, and External Relations groups)*

Situation reports should be completed in the body of an email message and be emailed by 6 PM local time using the following standards.

| | Email Subject Line | Example | Send to: |
|---|---|---|---|
| If Districts are in place | Date (YYYYMMDD)_Group_Activity_District_sitrep | For a feeding lead in the Arlington district filling out a Situation Report on July 25, 2014: 20140725_operations_feeding_arlington_sitrep. | District Director |
| If districts are not in place | Date (YYYYMMDD)_Group_Activity_sitrep | For a feeding lead fills out a Situation Report on July 25, 2014: 20140725_operations_feeding_sitrep. | Assistant Director of Operations, Assistant Director of Logistics, Assistant Director of External Relations, |

| | | | |
|---|---|---|---|
| | | | depending on activity. |

### *Aggregating Operations Situation Reports as a District Director*

When districts are in place, each District Director is responsible for aggregating Situation Reports from Operations activity leads. This aggregation should be done by cutting and pasting text from each activity lead's email into the Situation Report template. "Actions from today" and "sustainable, local capacity building" should be broken out by activity. The questions concerns and suggestions should not be broken out by activity. Each District Director should email the compiled district Situation Report to the Assistant Director of Operations as an attachment to an email, by 7 PM local time, using the following standards.

| | Filename and Email Subject Line | Example | Send to: |
|---|---|---|---|
| If Districts are in place | Date (YYYYMMDD)_Group_District_sitrep | For the Arlington District Director's Situation on July 25, 2014:<br>20140725_operations_arlington_sitrep. | Assistant Director of Operations |

### *Aggregating Situation Reports as an Assistant Director*

The Assistant Director of Operations, Logistics, External Relations, Information and Planning, and Finance and Admin should email their Situation Reports to the Information and Planning group by 7:30 PM local time.

### *Compiling the Final Daily Situation Report*

The Information and Planning group is responsible for completing the Situation Report by 8:30 PM local time. The final Situation Report should be compiled in Microsoft Word and saved as a PDF. The PDF should have one of two naming conventions.

| | Filename | Example |
|---|---|---|
| If there is a DR # | date_DR number_sitrep_version (YEARMODY_DRxxxxx_sitrep_Vx) | Ex: 20140503_DR12314_sitrep_V4 |
| If there is no DR# | Date_region name and type of event_sitrep_version (YEARMODY_region_type_sitrep_Vx) | Ex: 20140503_Central PA_FLD_sitrep_V4 |
| The first Situation Report produced on an operation is version 1, and each version progresses accordingly. | | |

## Distributing the Final Daily Situation Report

The final daily Situation Report should be sent out to the entire workforce responding to the incident as well as the Regional Disaster Program Officer, Division Disaster Director, Division Disaster Executive, and docc@redcross.org. The Situation Report should only be shared with external partners if deemed necessary by the DRO Director as it may contain sensitive internal Red Cross information.

Table 1: Situation Report - Timeline, Roles and Tasks

| Role<br><br>Time (no later than) | Activity Leads (Ops, Log, External Relations) | District Director (Ops only) | Assistant Director of Operations | Assistant Director of Logistics | Assistant Director of External Relations | Assistant Director of Finance and Admin | Assistant Director of Information and Planning |
|---|---|---|---|---|---|---|---|
| 6:00 PM | **Begins 5:00 PM. Complete no later than 6:00 PM** **All**: Finish gathering data from the field and... **Ops**: Submit to District Director if applicable; otherwise submit to Assistant Director of Ops. **Log and External Relations:** Submit to Assistant Director of | | | | | Gather Data from the field & Submit to Assistant Director of Planning | Gather Data from the field & Submit to Assistant Director of Planning |
| 7:00 PM | | Compile sit rep from Activity Leads & Submit to Assistant Director of Ops | | | | | |
| 7:30 PM | | | Compile from District Director if applicable, otherwise compile from Activity Leads & Submit to Assistant Director of Information and Planning | Compile from Activity Leads & Submit to Assistant Director of Information and Planning | Compile from Activity Leads & Submit to Assistant Director of Information and Planning | Submit to Assistant Director of Information and Planning | Create sit rep |
| 8:30 PM | | | | | | | Distribute sit rep |

Table 2: Situation Report - Accountabilities & Responsibilities

| Role<br><br>Accountability / Responsibility | Activity Leads (Ops, Log, External Relations) | District Director (Ops only) | Assistant Director of Operations | Assistant Director of Logistics | Assistant Director of External Relations | Assistant Director of Finance and Admin | Assistant Director of Information and Planning |
|---|---|---|---|---|---|---|---|
| Accountabilities | | | Daily completion of Operations sit reps and submitting his or her portion of the sit rep to the Information and Planning Group by 7:30 PM local time. Answering 4 sit rep questions | Daily completion of Operations sit reps and submitting his or her portion of the sit rep to the Information and Planning Group by 7:30 PM local time. Answering 4 sit rep questions | Daily completion of Operations sit reps and submitting his or her portion of the sit rep to the Information and Planning Group by 7:30 PM local time. Answering 4 sit rep questions | Gather Data from the field for 4 sit rep questions & Submit to Assistant Director of Information and Planning | All situation reporting (includes sit reps and Disaster Operations Control) and 4 sit rep questions for information and planning |
| Responsibilities | All: Answering 4 sit rep questions for specific activity. Ops: submitting sit rep information to the District Director (if applicable) or Assistant Director of Ops if no District Director. Log and External Relations: submitting sit rep information to respective Assistant Director of | Compiling 4 sit rep questions for specific activities within their district | Compiling 4 sit rep questions from all District Directors | Compiling 4 sit rep questions from activity leads | Compiling 4 sit rep questions from activity leads | | |

# Statistical Reporting

## *Capturing Daily Statistical Information*

The Disaster Operations Control is an important management tool and data for it needs to be accurate. To ensure accuracy, the data is captured using the Disaster Operations Control Data Collection Tool. Certain activity leads in Operations, Logistics, and External Relations are responsible for capturing information for the Disaster Operations Control. These activity leads are Financial and Statistical Information, Government Liaisons, Sheltering, Feeding, Bulk Distribution, Staffing, Training, Transportation, Client Casework, Health Services, and Disaster Mental Health.

Where applicable and allowed within the Disaster Services Automated Reporting System, each activity lead is responsible for capturing Disaster Operations Control information by county. Daily statistics should reflect a 24-hour time period from 5 PM to 5 PM local time.

If districts are in place, Operations activity leads should submit their Disaster Operations Control numbers by phone to their District Director beginning at 5 PM local time and going no later than 6 PM local time. Each District Director should check these numbers for accuracy and submit them, using the Disaster Operations Control Data Collection Tool, to the Assistant Director of Operations by 7 PM local time unless instructed by the Assistant Director of Operations to submit them directly to the Financial and Statistical Information lead.

If districts are not in place, activity leads should submit their Disaster Operations Control numbers to the Assistant Director of Operations by 7 PM local time unless instructed to submit them directly to the Financial and Statistical Information lead.

The Assistant Director of Operations should review and submit Disaster Operations Control numbers to the Financial and Statistical Information lead by 7:30 PM local time.

Activity leads in Logistics and External relations should submit their Disaster Operations Control numbers to their respective Assistant Director starting at 5 PM and going no later than 6PM local time.

The Logistics and External Relations Assistant Directors should submit their respective Disaster Operations Control numbers to the Financial and Statistical Information lead by 7:30 PM local time.

The Financial and Statistical Information lead should complete the Disaster Operations Control by 10 PM local time.

Table 3: Disaster Operations Control (5266) - Timeline, Roles & Tasks

| Role<br><br>Time (no later than) | Activity Leads (Ops, Log, External Relations) | District Director (Ops only) | Assistant Director of Operations | Assistant Director of Logistics | Assistant Director of External Relations | Financial and Statistical Information Lead | Assistant Director of Information and Planning |
|---|---|---|---|---|---|---|---|
| 6:00 PM | Ops: Collect and submit Disaster Operations Control information to the District Director (if applicable) or Assistant Director of Operations (if no districts are in place)<br>Logistics and External Relations: Collect and submit Disaster Operations Control information to respective Assistant Director | | | | | | |
| 7:00 PM | | Submit district Disaster Operations Control information to the Assistant Director of Operations | | | | | |
| 7:30 PM | | | Submit Disaster Operations Control information to the Financial and Statistical Information lead | Submit Disaster Operations Control information to the Financial and Statistical Information lead | Submit Disaster Operations Control information to the Financial and Statistical Information lead | | |
| 10:00 PM | | | | | | Complete Disaster Operations Control and submit in the Disaster Services Automated Reporting System | Ensure final daily Disaster Operations Control is entered into the Disaster Services Automated Reporting System |

Table 4: Disaster Operations Control (5266) - Accountabilities & Responsibilities

| Role<br><br>Accountability / Responsibility | Activity Leads (Ops, Log, External Relations) | District Director (Ops only) | Assistant Director of Operations | Assistant Director of Logistics | Assistant Director of External Relations | Assistant Director of Information and Planning | Financial and Statistical Information Lead |
|---|---|---|---|---|---|---|---|
| Accountabilities | | | Daily completion of operations Disaster Operations Control information and submitting his or her pertinent Disaster Operations Control information to the Financial and Statistical Information lead | Daily completion of logistics Disaster Operations Control information and submitting his or her pertinent Disaster Operations Control information to the Financial and Statistical Information lead | Daily completion of external relations Disaster Operations Control information and submitting his or her pertinent Disaster Operations Control information to the Financial and Statistical Information lead | Successful completion of Disaster Operations Control | |
| Responsibilities | Compiling Disaster Operations Control information | Compiling Disaster Operations Control information from operations Activity Leads | Compiling Disaster Operations Control information from District Directors | | | | Input of operations, logistics, and external relations Disaster Operations Control information |

# Appendix: Event Types and Abbreviations

| | | |
|---|---|---|
| 1 | BDC | Building collapse |
| 2 | BLI | Blizzards, snow, hail, or ice storm |
| 3 | CDB | Civil disturbance |
| 4 | DRT | Drought |
| 5 | EPD | Epidemic |
| 6 | EQK | Earthquake |
| 7 | EXE | Exercise |
| 8 | EXP | Explosion |
| 9 | FLD | Flood (flash, dam break, landslide, mudslide) |
| 10 | FLT | Flood caused by or associated with tornados |
| 11 | FOR | Forest fire (includes wild, range, and grass fires) |
| 12 | HMF | Hotel/motel fire |
| 13 | HAZ | Hazardous materials incidents/chemical spills |
| 14 | HFL | Flooding caused by or associated with hurricanes |
| 15 | HUR | Hurricane, tropical storm, typhoon |
| 16 | ICF | Industrial/commercial fire |
| 17 | MFF | Multi-family fire |
| 18 | NUI | Nuclear incident |
| 19 | OST | Other storms (wind, dust, electric, rain, solar) |
| 20 | OTH | Other |
| 21 | REF | Refugee operation |
| 22 | SFF | Single-family fire |
| 23 | SRS | Search and rescue |
| 24 | TOR | Tornado, cyclone |
| 25 | TRA | Transportation incident |
| 26 | TSU | Tsunami/wave |
| 27 | UKN | Unknown |
| 28 | VOL | Volcano |

# Operations Planning Standards and Procedures

## Disaster Cycle Services Standards& Procedures

### DCS SP WC Operations


March 2015

American Red Cross

# Change Log

| Date | Page(s) | Section | Change |
|---|---|---|---|
| 2/11/15 | 5 | Scope | Added definition of a Level 2 operation ($10,000) |
| 2/11/15 | 8 | Service Delivery Planning and Budgeting | Added 2 sections: Initial Planning Tool and Recovery Operations: Community Recovery portion of SDP |
| 2/11/15 | 8 | Figure 1 | Added arrows for the 2 new steps |
| 2/11/15 | 8 | Relationship between the Initial Planning Tool, Service Delivery Plan, Field Operations Budget, Cost Estimate | Added Initial Planning Tool |
| 2/11/15 | 9 | Figure 2 | Added Initial Planning Tool shape |
| 2/11/15 | 9 | Completing Initial Planning Tool | Added section describing the pupose of the tool, timelines, and recipients |
| 2/11/15 | 11 | Completing Service Delivery Plan and Field Operations Budget | For Level 2 operations, the operation must complete all orange fields. This does not restrict an operation from filling out more fields if necessary, or if the data is available. |
| 2/11/15 | 11 | Table 1: Service Delivery Planning Step | Aligned language to reflect new tab names for SDP template and removed all references to green and yellow sections |
| 2/11/15 | 14 | Initiate Recovery Section of the Service Delivery Plan | Added section describing the pupose of the Recovery Operations: Community Recovery section, timelines, and recipients |

# Introduction

The American Red Cross Disaster Cycle Services uses operational planning to enable the Disaster Cycle Services workforce to deliver services in a coordinated and collaborative manner. Forward operational planning provides a predictable, consistent and standardized approach to providing Red Cross services on every disaster operation at the chapter, regional, divisional and national levels. Implementing operational plans enables operation leaders to set clear priorities and objectives that bring focus and purpose to an operation.

Both short- and long-term planning occur on every disaster operation. To focus planning activities, Disaster Cycle Services operations use three critical planning tools: the Service Delivery Plan, the Field Operations Budget and the Incident Action Plan. Utilizing these tools brings alignment and unity of mission to all of the participants. These tools provide a basis for monitoring progress towards the goals of the operation and managing the costs of the operation. They provide information for operations to communicate with external partners to support coordination and collaboration. Together, they allow for effective oversight and management by providing a view into the operation for senior leadership

# Purpose

The Operations Planning Standards and Procedures serve as an annex to the Disaster Cycle Services Concept of Operations. The purpose of this document is to describe the process activities, standards, responsibilities and authorities, and control mechanisms for operational planning and budgeting as well as monitoring the progress of the operation against the plans and budget. This document includes descriptions, purpose statements and standards and procedures for three components of forward planning – the Service Delivery Plan, the Field Operations Budget and the Incident Action Plan. It also includes information on tools, especially the Disaster Operations Control, for monitoring the progress of the operation against the plans and Field Operations Budget.

# Relation to Other Documents

This document provides standards and procedures that support the Disaster Cycle Services Concept of Operations. Because Disaster Cycle Services operations provide the foundation for implementation of core and pillar Disaster Cycle Services processes, operations doctrine is critical to executing Disaster Cycle Services programs throughout the disaster cycle. Although some of the processes and tools laid out below may change, this document represents an approach that is not significantly modified from the current processes.

# Audience

This document applies directly to Red Cross leadership supporting disaster operations within Red Cross Humanitarian Services, including those who work within the division structure, regional chapter network and Disaster Cycle Services at national headquarters. This also applies to Disaster Cycle Services-supporting business units such as Disaster Finance, Disaster Public Affairs, Government Relations and Disaster Fundraising. Additional business units that this document may apply to are Supply Chain and Real Estate Management.

# Scope

The procedures in this document apply to the development, maintenance, monitoring and update of Service Delivery Plans, Field Operations Budgets, and Incident Action Plans. Information about service delivery planning applies to Level 2 operations and above (operations with budgets greater than $10,000- see the Disaster Cycle Services Concept of Operations for information about operational levels). Note that in the event of an exceptional disaster, specific guidance around service delivery planning will be issued.

Information in this document about incident action planning applies to all operations. However, the majority of incident action planning procedures outlined in this document will apply to Level 2 and above operations. The reason for this is that an Incident Action Plan should be completed for every operation, but on Level 1 operations incident action planning may be a verbal process and may only contain a subset of the components described here (such as outlining priorities, objectives, and tactics). For all Level 2 and above operations, incident action planning should be a documented process and should include all components described in these standards and procedures.

# Definitions

## *Core Leadership Team (within the DRO structure)*

Individuals in the core leadership team within a DRO structure are the only individuals who are allowed access to the Disaster Operations Control and the Field Operations Budget. The core leadership team consists of the Red Cross Coordinating Officer, DRO Director, Deputy Director, Assistant Directors of Operations, Logistics, Finance and Administration, External Relations and Information and Planning, the Regional Executive, and the Regional Disaster Officer of each affected region.

## *Cost Estimate*

An operation's cost estimate usually includes not only the costs in the Field Operations Budget, but also the expenses that enabled the Red Cross to be ready to respond to this disaster (readiness costs), and support costs from employees not on the disaster relief operation (remote support costs). The cost estimate is the full expected cost of the operation and comes from national headquarters Public Affairs. The cost estimate is the only number the Red Cross uses to communicate the expected costs of relief operations to external audiences including partners. (For more information, see the Sharing Operational Cost Information section in this document as well as Public Affairs guidance on sharing Red Cross financial data.)

## *Disaster Operations Control Form (Also, Form 5266)*

The Disaster Operations Control is an internal management tool prepared by leadership on relief operations to give an account of services delivered, human and material resources on the operation, and financial commitments incurred. The purpose of the Disaster Operations Control is to capture daily service delivery information for reporting purposes as well as to support future service delivery planning. Similar to the Field Operations Budget, the Disaster Operations Control does not fully represent the costs associated with the relief operation. For this reason, the dollar figures from the Disaster Operations Control are not provided to external audiences including partners and are not shared beyond the core leadership team. Non-monetary numbers from the Disaster Operations Control may be shared. (For more information, see the Sharing Operational Cost Information section in this document as well as Public Affairs guidance on sharing Red Cross financial data.)

## *Disaster Services Automated Reporting System*

The Disaster Services Automated Reporting System is the system of record for the disaster relief (DR) number, Field Operations Budget, Disaster Operations Control, and Damage Assessment Summary data. The Disaster Services Automated Reporting System includes numerous reports to assist in managing operations.

## *Field Operations Budget (Also, "Form 2066")*

The Field Operations Budget is an internal management tool that quantifies those costs of the Service Delivery Plan for which operations leaders have reasonable control. A Field Operations Budget is auto-generated from worksheets in the operation's Service Delivery Plan and is used to enter information into the system of record, the Disaster Services Automated Reporting System, where approvals are recorded. The Field Operations Budget focuses on costs such as, but not limited to, staffing and mass care. Because a Field Operations Budget does not fully represent the costs associated with an operation, it is not provided to external audiences, including partners, and is not shared beyond the core leadership team. (See the Sharing Operational Cost Information section in this document for more information).

## *Incident Action Plan*

The Incident Action Plan serves as the short-term, operational plan, usually for a 24-hour operational period that documents incident objectives, directs tactics and provides information on communications, resource assignments and work activities that drive the operation. The operational period does not have to be 24 hours. It can be modified at the discretion of the operation Director and the Assistant Director, Information and Planning to meet operational requirements. The Incident Action Plan serves as a mechanism for senior leadership to understand how incident objectives will be met. The Incident Action Plan is a forward-leaning document rather than a past-looking document. It is built in Microsoft Word, and the latest version of the template can always be found on the Exchange. The Incident Action Plan is designed to be shared with external partners to support coordination and collaboration.

## *Operational Leadership*

Operational leadership includes the Disaster Relief Operation (DRO) Director, Deputy Director, Assistant Director of External Relations, Assistant Director of Finance and Administration, Assistant Director of Information Planning, Assistant Director of Logistics, Assistant Director of Operations, and District Director(s).

## *Service Delivery Plan*

A Service Delivery Plan describes the strategies, tactics and resources needed for the activities of a relief operation. It describes the clients, their needs, and the items of assistance and services that will be needed to accomplish the plan and meet clients' disaster-caused needs. It focuses on the collaboration and coordination needed between all functions to ensure that clients are provided with the right assistance at the right time, and using the right methods. Service delivery plans include:

- The number of clients and impacted communities anticipated to be in need of services,
- The numbers and types of facilities needed to provide services,
- The number of staff needed to provide services,
- The materials and equipment needed to provide services,
- Planned methods of service delivery.

### *Service Delivery Plan Template*

The Service Delivery Plan template is a Microsoft Excel tool used to document the Service Delivery Plan including the worksheets with costs drivers that populate the Field Operations Budget. The Service Delivery Plan template has been designed to be completed for all levels of disaster relief operations. For Level 2 operations, not every data element in the Service Delivery Plan template is required to be completed. The Level 2 data elements are highlighted in orange in the Service Delivery Plan template for easy identification and data entry and represent the minimum data required. Other (non-highlighted) data elements in the Service Delivery Plan template should be completed if the information is available to ensure the most accurate Field Operations Budget.

# Roles, Responsibilities and Authorities

Below are the specific responsibilities and accountabilities for Disaster Cycle Services units and staff with respect to operational planning.

### *Regions*

Regions are responsible for:

- Initiating the Red Cross response within the regional jurisdiction,
- Overseeing and managing regional (Level 1 and 2) Red Cross disaster operations and responses,
- Facilitating the incident action planning process for regional Level 1 and 2 operations,
- Ensuring the completion of the Service Delivery Plan for Level 2 (regional) operations,
- Reviewing and approving the Service Delivery Plans for activites within the region up to a Level 3 operation,
- Regional Executives and Regional Disaster Officers: Ensuring that their units and staff follow the requirements in the Sharing Operational Cost Information section of this document regarding the sharing of financial information about operations.

### *Divisions*

Divisions are responsible for:

- Overseeing and at times managing Level 3 and 4 (divisional) Red Cross operations, as well as operations below level 3 in unique circumstances that may require a shift to a divisional operation,
- Disaster Division Executives and Disaster Division Directors: Ensuring completion of Service Delivery Plans and Field Operations Budgets for operations within the division,
- Division Disaster Executives, Division Disaster Directors, Disaster Division State Relations Directors and operational leadership: Ensuring that their units and staff follow the requirements in the Sharing Operational Cost Information section of this document regarding the sharing of financial information about operations.

### *National Headquarters*

National headquarters is responsible for:

- Overseeing and managing Level 5 and above (national) operations as well as operations below Level 5 in unique circumstances that may require a shift to a national operation,
- Approve the Service Delivery Plan and Field Operations Budget for national operations,
- Vice President of Operations and Logistics, Division Disaster Executives, Division Disaster Directors, Division Disaster State Relations Directors, and operational leadership: Ensuring that their units and staff follow the requirements in the Sharing Operational Cost Information section of this document regarding the sharing of financial information about operations.

### *DRO Director*

The DRO Director is accountable for:

- Successfully completing the Service Delivery Plan for the operation,
- Ensuring that operation staff follow the requirements in the Sharing Operational Cost Information section of this document whenever sharing information about operations.

### *Assistant Director of Information and Planning*

The Assistant Director of Information and Planning is accountable for:

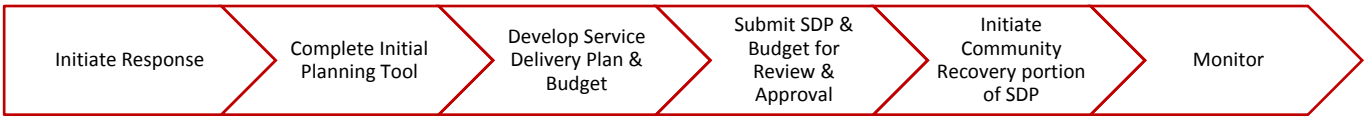
- Successfully completing the Incident Action Plan and Situation Report
- Following the requirements in the Sharing Operational Cost Information section of this document regarding the sharing of financial information about operations.

# Service Delivery Planning and Budgeting

The service delivery planning process includes six basic steps:

1. Initiating the response by mobilizing the workforce and delivering service to clients in affected areas,
2. Completing the Initial Planning Tool to get a quick estimate of the field operations budget for a disaster relief operation,
3. Developing a Service Delivery Plan and Field Operations Budget based on client and community needs,
4. Submitting the Service Delivery Plan and Field Operations Budget for review and approval,
5. Initiating the Recovery Operations: Community Recovery portion of the Service Delivery Plan
6. Monitoring the plan and Field Operations Budget as the operation progresses.

**Figure 1: Service Delivery Planning Process**



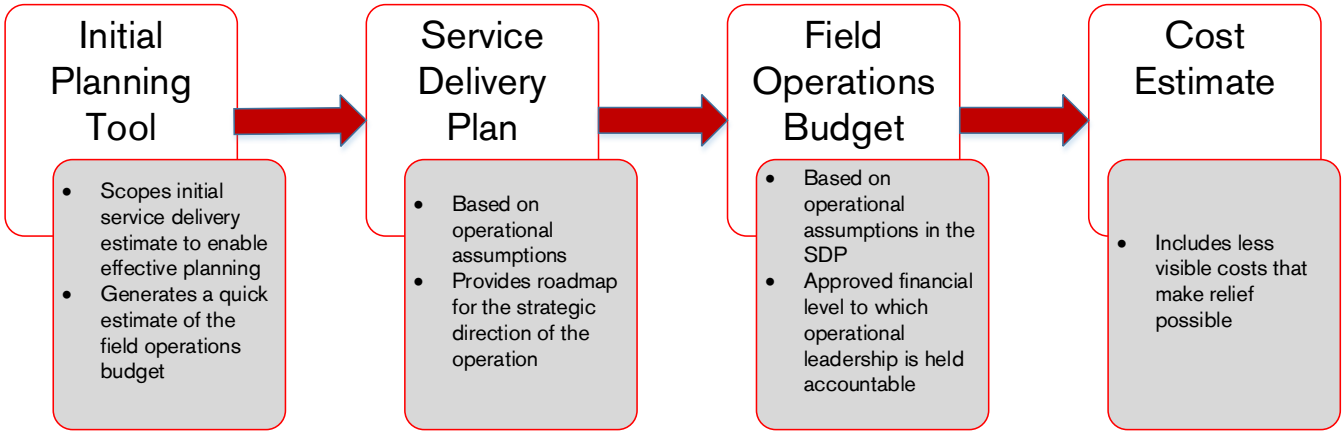

## Relationship between the Initial Planning Tool, Service Delivery Plan, Field Operations Budget, Cost Estimate

The Initial Planning Tool (which is a tab within the Service Delivery Plan) is to be used by operational leadership to get a quick estimate of the field operations budget for a disaster relief operation as well as estimating service delivery expectations and staffing size based on historical data of similar types and sizes of operations. The Initial Planning Tool should be completed within 24 hours of the onset of a disaster. Please note that the Initial Planning Tool only includes costs that can be controlled by operational leadership and does not accurately represent the total cost of an operation.

The Service Delivery Plan is used to create the Field Operations Budget. The same assumptions used in the Service Delivery Plan should be used in the Field Operations Budget. For example, if the Service Delivery Plan assumes that one hundred meals will be served, the Field Operations Budget should factor in the cost of one hundred meals.

The starting point for the cost estimate is the Field Operations Budget for the operation.

**Figure 2: Relationship between Initial Planning Tool, Service Delivery Plan, Field Operations Budget and Cost Estimate**




# Service Delivery Planning and Budgeting Procedures

## *1. Initiating the Response*

Chapters or regions respond immediately to a disaster. Service delivery does not wait for the Service Delivery Plan to be completed.

Before the Service Delivery Plan and Field Operations Budget are created, regions must seek approval from the appropriate Budgetary Approval Authority as defined in Appendix A, Table 1 for any operations costing more than $10,000.

Before the Service Delivery Plan and Field Operations Budget are created and approved, Fundraising and Public Affairs sometimes use the level of the disaster as a rough guide to estimate the potential cost of response and recovery. To assist that process, chapters and regions should estimate the level of the disaster as accurately as possible.

## *2. Completing the Initial Planning Tool*

For all Level 2 and above operations, operational leadership should complete and distribute the Initial Planning Tool within 24 hours of initiating a response. If the event scale and scope is unfolding or growing, the Initial Planning Tool may be revised on an ongoing basis but at a minimum, it should be completed and distributed once within 24 hours of initiating a response. The Initial Planning Tool should be distributed, as an email attachment, to the individuals with Operational Responsibility, Oversight and Management (see the Concept of Operations) and the appropriate Budgetary Approval Authority (see Appendix A, Table 1 in this document). The Initial Planning Tool should be distributed independently of the Service Delivery Plan and Field Operations Budget. Instructions for extracting the Initial Planning Tool from the full Service Delivery Plan can be found on the Initial Planning Tool tab in the Service Delivery Plan template. The file name and email subject line should be identical and the appropriate structure can be found below.

| Email Subject Line | File Name | Example |
|---|---|---|
| YEARMMDD_DRXXXXX_IPT | YEARMMDD_DRXXXXX_IPT | 20140503_DR55515_IPT |
| DRXXXXX is the five digit DR number assigned for the relief operation, without the hyphen.<br>YEARMMDD is the year, month and day the Initial Planning Tool is being submitted. | | |

## *3. Developing the Service Delivery Plan and Field Operations Budget*

Operational leadership should begin the Service Delivery Plan and Field Operations Budget as soon as possible after impact to help manage the response and its costs.

### Service Delivery Plan Overview

A customized Service Delivery Plan and Field Operations Budget must be developed for each operation that is Level 2 or above. The Service Delivery Plan and Field Operations Budget for all Level 2 and above operations must:

- Be in alignment,
- Be created in a timely manner,
- Be approved by the appropriate region, division or national headquarters lead with necessary budgetary authority,
- Be monitored as expenditures and commitments are made,
- Not be exceeded without the proper approval (see Appendix A, Table 1 for Budgetary Approval Authorities).

### Timeline

The timeline for creating and submitting the Service Delivery Plan and Field Operations Budget is as follows:

- For Level 2 operations – The Service Delivery Plan and Field Operations Budget are due within 48 hours after the start of the incident.
- For Level 3 and 4 operations – The Service Delivery Plan and the Field Operations Budget must be completed no later than five days after the start of the incident. The Division Disaster Director, Division Disaster Executive or Disaster Operations Coordination Center may request earlier completion if the situation warrants. Concurrence and approval will happen no later than day six.
- For Level 5 and above operations – The Service Delivery Plan and the Field Operations Budget must be completed no later than five days after the start of the incident. The Red Cross Coordinating Officer or Vice President Operations and Logistics may request earlier completion if the situation warrants. Concurrence and approval will happen no later than six days after the start of the incident.
- For all levels, should an extension be necessary due to unforeseen events occurring after the beginning of an incident, the DRO Director should seek approval of an extension through the chain of command. An example of an acceptable exception may be a wildfire that changes direction on day four.

### The Service Delivery Plan Template

There is currently one active tool to assist with developing a Service Delivery Plan and Field Operations Budget, the Service Delivery Plan template, located on the Exchange. It can be used on all operations. Features of the Service Delivery Plan template include:

- An Excel document with macros,
- Password protection for each sheet in the template,
- Password protection for the structure of the overall workbook,
- Information next to key fields in the template on how to complete the data entry for that row,
- Numbering of each field for easy reference during completion of the plan and subsequent reviews and revisions.

For Level 2 operations, the operation must complete all orange fields. This does not restrict an operation from filling out more fields if necessary, or if the data is available.

Table 1: Service Delivery Planning Steps

| Step | Responsible Role | Action |
|---|---|---|
| 1 | Assistant Director of Information and Planning or designee | Download the Service Delivery Plan template from The Exchange. Save the template using the prescribed naming convention as described below. |
| 2 | Assistant Director of Information and Planning or designee | Convene the appropriate direct service and support function leadership on the operation to complete their respective sections and worksheets ("tabs") in the template. Operational leadership should have significant input into the Service Delivery Plan. Support functions must be included throughout the entire planning process. |
| 3 | Assistant Director of Information and Planning or designee | Gather information about the disaster event in coordination with operational leadership. |
| 4 | Assistant Director of Information and Planning or designee | Identify the clients in coordination with operational leadership. |
| 5 | Assistant Director of Information and Planning or designee | Identify the needs of the clients in coordination with operational leadership. |
| 6 | Assistant Director of Information and Planning or designee | Identify the items of assistance and services necessary to meet client needs in coordination with operational leadership. The client's needs and the type of assistance to be provided must be matched with the readiness of the clients. |
| 7 | Assistant Director of Information and Planning or designee | Determine the appropriate method and function to provide services and items of assistance in coordination with operational leadership. |
| 8 | Assistant Director of Information and Planning or designee | Complete the DRO, Counties and Chapters, and I&P tab of the template ensuring all sections are complete:<br>• Each section should be thoroughly completed with the best available data at the time.<br>• If a question is not applicable to the specific operation, "NA" should be entered into the cell so that reviewers know the question was not skipped. Click the blue (*i*) buttons for information about what should be entered into a particular cell. |
| 9 | Assistant Director of Operations or designee and Assistant Director of Logistics or designee | Complete respective group tab:<br>• Hard-to-estimate costs, such as average hotel costs, should be made available by national headquarters staff on Level 3 and above operations directly to personnel on the operation so that they can complete the Service Delivery Plan and Field Operations Budget themselves. If the operation needs to consult the Disaster Operations Coordination Center to calculate hard-to-estimate costs, operational leadership should reach out to Disaster Operations Coordinating Center Operations Support by calling 202-303-5555 to |

| Step | Responsible Role | Action |
|---|---|---|
| | | be transferred to the appropriate party. Receiving information from, or consulting Disaster Operations Coordinating Center Operations Support, is usually necessary on Level 3 and above operations as well as some Level 2 operations that require the movement of resources between regions.<br>• Data is entered into cells highlighted in light blue. Once entered, use the "Tab" key to navigate to the next available cell for data entry. Once "tabbed" to the next cell, the data in the previous cell will change color to a dark red. Any cell with dark red text is available to edit. |
| 10 | Assistant Director of Information and Planning | The Field Operations Budget is developed with information from the operation, the division, and national headquarters. |
| 11 | Assistant Director of Finance and Administration or designee | Work with Assistant Director of Information and Planning to review the Field Operations Budget to ensure alignment with the corresponding tabs in the template for completeness and accuracy. |
| 12 | Assistant Director of Information and Planning | Upon the completion of review of the Service Delivery Plan it is then submitted to the DRO Director for DRO Approval and routed to the appropriate individual for both fiscal and plan approval. |
| 13 | Appropriate Budegetary Approval Authority (indicated in Table 12) | Provides approval along with a copy of the Service Delivery Plan to the DRO (Assistant Director of Information and Planning), the DOCC, the Division Vice President and the Division Disaster Executive. |
| 14 | Assistant Director of Information and Planning or designee | Once the Field Operations Budget has been returned to operational leadership, enter the Field Operations Budget into the Disaster Services Automated Reporting System. |

### Service Delivery Plan File Names

Before starting data entry, the Service Delivery Plan should be saved with a new file name that represents the disaster relief operation. Use the "Save As" option and name the file as follows.

Table 2: Service Delivery Plan File Names

| Submission | File Name | Example |
|---|---|---|
| First submission | YEARMMDD_DRXXXXX_SDP | 20140503_DR55515_SDP |
| Subsequent submissions | YEARMMDD_DRXXXXX_SDP_V1 | 20140503_DR55515_SDP_V1 |
| DRXXXXX is the five digit DR number assigned for the relief operation, without the hyphen.<br>YEARMMDD is the year, month and day the Service Delivery Plan is being submitted. This date should match the date in the Service Delivery Plan on the "Service Delivery Plan" tab under "DRO Information" in cell 1A (Today's Date). | | |

V1 is the version number. Use “V1” for the first revision, “V2” for the second revision and so on.

## *4. Submitting for Review and Approval*

### Submitting the Service Delivery Plan and Field Operations Budget for review

Operational leadership submits the Service Delivery Plan, including the Field Operations Budget, to the appropriate regional, divisional, or national leadership for review for all Level 2 and above operations.

For Level 2 operations:

- The DRO Director should submit the Service Delivery Plan and Field Operations Budget to the Regional Disaster Officer (or Division Disaster Director if the Regional Disaster Officer is the DRO Director) for content review.
- Once reviewed, the Regional Disaster Officer (or Division Disaster Director as outlined above) should send the Service Delivery Plan and Field Operations Budget to the appropriate Budgetary Approval Authority (Regional Executive, as outlined in Appendix A, Table 1).

For Level 3 and Level 4 operations:

- The DRO Director should submit the Service Delivery Plan and Field Operations Budget to the Division Disaster Director (or Division Disaster Executive if the Division Disaster Director is the DRO Director) for content review.
- Once reviewed, the Division Disaster Director (or Division Disaster Executive as outlined above) should send the Service Delivery Plan and Field Operations Budget to Disaster Operations Coordination Center Operations Support and Disaster Services Finance to ensure concurrence.
- Disaster Operations Coordination Center Operations Support and Disaster Services Finance provide comments back to the Division Disaster Director (or Division Disaster Executive as outlined above).
- The Division Disaster Director (or Division Disaster Executive as outlined above) should send the completed Service Delivery Plan and Field Operations Budget to the appropriate Budgetary Approval Authority (Division Disaster Executive for Level 3 and Division Vice President for Level 4, as outlined in Appendix A, Table 1).

For Level 5 and above (national) operations:

- The DRO Director should submit the Service Delivery Plan and Field Operations Budget to the Red Cross Coordinating Officer for content review.
- Once reviewed, the Red Cross Coordinating Officer should send the Service Delivery Plan and Field Operations Budget to the Vice President Operations and Logistics as well as Disaster Operations Coordination Center Operations Support and Disaster Services Finance to ensure concurrence.
- The Vice President Operations and Logistics, Disaster Operations Coordination Center Operations Support and Disaster Services Finance provide comments back to the Red Cross Coordinating Officer.
- The Red Cross Coordinating Officer should send the completed Service Delivery Plan and Field Operations Budget with their recommendation for approval to the appropriate Budgetary Approval Authority (see Appendix A, Table 1) copying the Vice President Operations and Logistics and Disaster Operations Coordination Center Operations Support.

### Approval

Approvers must determine if the Field Operations Budget is within their approval authority (see Appendix A, Table 1) and if not, must elevate the approval decision to the appropriate level.

The approvers and Disaster Services Finance should not approve a Service Delivery Plan without reviewing the Field Operations Budget or a Field Operations Budget without reviewing the Service Delivery Plan.

The individual with appropriate budgetary approval authority approves the Service Delivery Plan and Field Operations Budget and sends the approval email, with the Service Delivery Plan attached, to Disaster Operations Coordination Center Operations Support to be entered into the job book. The approved Service Delivery Plan will now be available for Disaster Operations Coordination Center reference and to meet audit requirements. Disaster Operations Coordination Center Operations Support saves the approved Service Delivery Plan and Field Operations Budget on the Disaster Cycle Services National Headquarters common drive here: G:\DIS1\Disaster\OpsMgmt\Common\Service and Delivery Plans and Field Operations Budget/Field Operations Budgets from Operations folder under the correct fiscal year (FY).

Once the Field Operations Budget has been returned to operational leadership, the Assistant Director of Information and Planning is accountable for ensuring that the Field Operations Budget is entered into the Disaster Services Automated Reporting System. Once the Field Operations Budget is in the Disaster Services Automated Reporting System, Disaster Operations Coordination Center Operations Support will approve submission in the Disaster Services Automated Reporting System.

Disaster Operations Coordination Center Operations Support places a signed copy of the Field Operations Budget in the appropriate DR Book and places a printed copy of just the Service Delivery Plan Narrative in the DR Book. Finally, the Disaster Operations Coordination Center Operations Support returns the updated and completed Service Delivery Plan and Field Operations Budget sheet back to operational leadership.

## *5. Initiate Recovery Operations: Community Recovery Section of the Service Delivery Plan*

The Recovery Operations: Community Recovery section of the Service Delivery Plan is intended to initiate the thought and planning necessary to guide an effective transition from Response to Recovery. This section needs to be completed even when it may be uncertain whether the Red Cross will be in a " When Resources Allow" environment. Consideration for the elements of the Recovery Operations: Community Recovery section should start no later than Day 5 so that it can be submitted as part of the updated full Service Delivery Plan on Day 8 from the date that response begins. Once submitted, the designated Executive Director for Recovery Operations will contact the AD Information and Planning, or the designated Recovery lead, to review. The approved Service Delivery Plan and completed Recovery section will be returned to the AD Information and Planning by the conclusion of Day 9. Upon transition from Response to Recovery, the Executive Director for Recovery Operations will maintain daily awareness of the recovery operations and be available to provide support.

## *6. Monitoring*

Operational leadership is responsible for ensuring the operation is running according to the Service Delivery Plan and will stay within the Field Operations Budget by comparing the statistics within the Service Delivery Plan with the statistics on the daily Disaster Operations Control which can be found in the "monitoring" tab of the Service Delivery Plan. Examples of important statistics to monitor against the plan include the number of shelters opened, numbers of meals served, numbers of relief items distributed, numbers of cases opened and numbers of traveling staff on the operation.

Disaster Operations Coordination Center Operations Support should continually use the Monitoring Report to help keep an eye on the Disaster Operations Control commitments against the Field Operations Budget.

Operational leadership should consult the Service Delivery Plan and Field Operations Budget before significant commitments or expenditures are made.

On large operations, Disaster Services Finance may provide tools, for example, a Service Delivery Plan monitoring tool, to core leadership to further assist with monitoring commitments and expenses against the Field Operations Budget.

If major changes are expected, operational leadership should prepare justification for a revised Service Delivery Plan and Field Operations Budget.

Disaster Services Finance will provide a quarterly summary of relief operations commitments and expenses against the Field Operations Budget to the Vice President of Operations and Logistics at national headquarters, Division Vice Presidents, and Disaster Division Executives.

### Delegation of Authority

The DRO Director can assign responsibility for portions of the Field Operations Budget to other operational leadership. For example, the DRO Director can assign the Assistant Director of Operations responsibility for adhering to the mass care budget. However, the DRO Director and his or her divisional or national headquarters support are accountable for ensuring the operation stays within the overall budget.

## *Sharing Operational Cost Information*

The Red Cross strives to be transparent, consistent and accurate when sharing cost estimates within our workforce, and with donors, partners and the public. It is critically important that we share consistent and accurate dollar figures in the affected communities after a disaster. For that reason, the official cost estimate is the only number the Red Cross uses to communicate the expected costs of relief operations to external audiences, including partners. The Field Operations Budget and Disaster Operations Control are internal management tools that must not be shared externally because they do not fully represent the costs of the relief effort. External audiences including politicians, government partners, community partners, local boards, donors and the public should not receive access to financial information contained in the Field Operations Budget and Disaster Operations Control. Regional Executives, Regional Disaster Officers, Division Vice Presidents, Division Disaster Executives, Disaster Division Directors, Division Disaster State Relations Directors and national headquarters staff are all responsible for minimizing the risk of sharing dollar figures from the Field Operations Budget or the Disaster Operations Control.

An important part of this is ensuring that dollar figures on these documents are only seen by the core leadership team of the relief operation and that these leaders know that dollar figures from these documents are not to be shared outside of the core leadership team or publicly. The core leadership team consists of the Red Cross Coordinating Officer, DRO Director, Deputy Director, Assistant Director of Operations, Assistant Director of Logistics, Assistant Director of Finance and Administration, Assistant Director of Information and Planning, Assistant Director of External Relations and the Regional Executive, and Regional Disaster Officer of each affected region.

Assistant Directors of External Relations receive information about the Field Operations Budget and Disaster Operations Control as part of the core leadership team, but must ensure that this information is not shared with partners or the public and that External Relations activities follow the requirements in this section.

In the unusual circumstance that someone on the operation outside of this core leadership team needs to access any part of the Field Operations Budget, it must be approved in writing by both the DRO Director and the Assistant Director of Finance and Administration and only the necessary portion of the Field Operations Budget should be shared.

Further clarification of the Field Operations Budget versus the Cost Estimate can be found in the chart below. Also, please refer to Public Affairs guidance on disaster financials for more information on what can be shared publicly and how to request it.

**Table 3: Field Operations Budget versus Cost Estimate**

| | Field Operations Budget and Disaster Operations Control | Cost Estimate |
|---|---|---|

| | | |
|---|---|---|
| Definition | Internal management tools | A stewardship/public facing tool |
| Information Sharing | Internal Red Cross leadership only, never shared externally or outside of the core leadership team of operation | Sometimes shared externally if requested. There is only one approved cost estimate per operation at any time. Approved cost estimates are developed in conjunction with national headquarters Disaster Services Finance, Public Affairs, and Fundraising. |
| Purpose | Manage field costs of operation | Better captures the full cost of operation |
| Costs Included | Only costs that leadership of operation can control | Costs that leadership of operation can control and the less visible costs that make services for clients possible |

# Incident Action Planning

The Service Delivery Plan gives an operation a long-range focus for planning and budgeting. To assist long-range planning and to meet operational priorities and objectives, planning must occur on a short-term basis as well. To accomplish this, Disaster Cycle Services has adopted one of the features of the Incident Command System, incident action planning. Incident action planning facilitates successful operations and provides a basis for evaluating performance in achieving incident objectives. It occurs within a regular, repeatable cycle referred to as an operational period and it allows operational leadership to focus on immediate operational needs. In the Disaster Cycle Services context, operational leadership continue incident action planning until all services to clients have been completed.

## The Incident Action Plan

An Incident Action Plan is a written planning tool (or verbal process) that defines priorities, objectives and tactics necessary for managing an incident during an operational period. An operational period is the period of time specified in the plan for executing a given set of operational objectives. The length of the operational period for an Incident Action Plan is typically 24 hours from the beginning of the incident and may be reviewed and adjusted throughout the life cycle of the incident as operations require. When operations are focused primarily on recovery programs, operational periods are typically a week or longer. Incident action plans:

- Should be created if operations will continue into the next day.
- For Level I operations, may be conducted through a verbal process of communicating priorities, objectives, and work assignments.
- For Level 2 operations and above, should be captured in a written document.
- Include multiple parts (see the Preparing the Incident Action Plan section, below), but individual Incident Actions Plans do not need to contain all possible Incident Action Plan documents. The only required documents for a Disaster Cycle Services Incident Action Plan are the Incident Briefing, Incident Objectives, Contact Roster, and any necessary Work Assignments.
- Contain general objectives reflecting the overall strategy for managing an incident.
- May include the identification of operational resources and assignments.
- May include attachments that provide direction and important information for management of the incident.
- Should be considered a work in progress during the initial stages of incident response and used to “fine tune” the on-going operation.

- Should be completed for planned events (4th of July events, airshows, national security events, parades, etc.).
- Should always be shared with internal and external response partners.

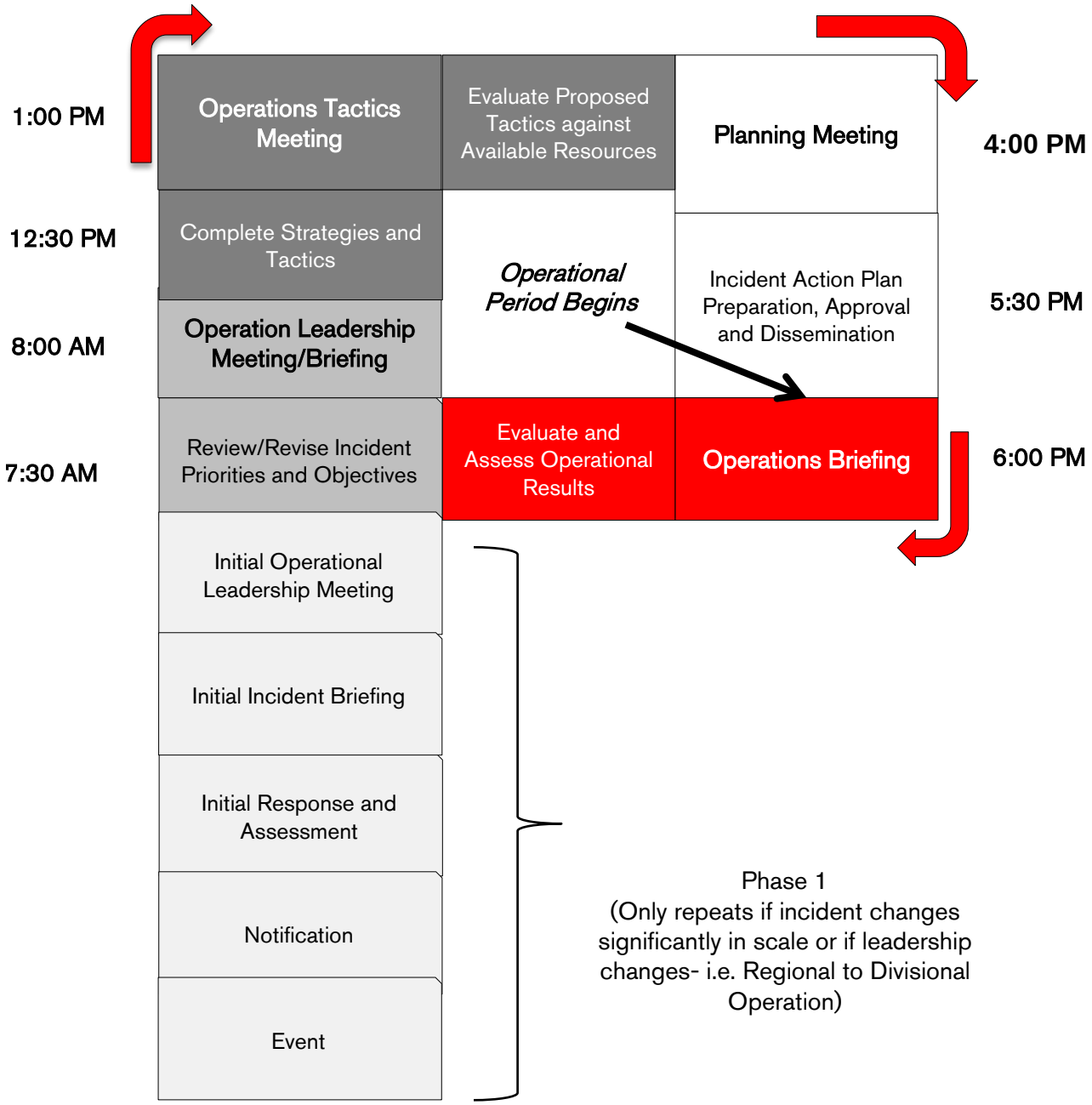
## Incident Action Planning Procedures

An Incident Action Plan is developed and executed over a five-phased process, and coordinated through a series of meetings and planning efforts. The five phases of incident action planning are:

1. Understanding the situation,
2. Establishing incident priorities and objectives,
3. Developing the plan,
4. Preparing and disseminating the plan,
5. Executing, evaluating, and revising the plan.

Phases 2 through 5 are repeated on a cyclical basis (once every operational period). Phase 1, understanding the situation, is something that happens once (unless the incident grows in scale, scope, or size, or if there is a change in leadership such as from a regional operation to a divisional operation). The figure below (often referred to as the "Planning P," details the initial actions as well as the cyclical operational planning process.

Figure 3: Initial Incident Actions and the Operational Planning Process ("the Planning P")



## 1. *Understanding the Situation*

In order to effectively plan ahead it is vital to understand the current situation. The following situational information must be taken into account when developing the Incident Action Plan:

- Safety of assigned personnel,
- Client needs and expectations,
- Workforce needs,
- Impact assessments,
- Disaster trends,
- Service delivery barriers,
- Resource availability and supply chain,
- Partner needs and expectations,
- Operational next steps:
    - Today,
    - Tomorrow,
    - A week from now,
    - A month from now.

There are numerous tools and resources available on a relief operation to assist in understanding the situation. These include:

- Essentials Elements of Information (EEIs), which include information about items such as, but not limited to, communication, transportation, power, critical facilities and weather,
- Disaster assessments,
- Geospatial Information Systems (GIS) data,
- Situation reports, updated daily ("SitReps"),
- The Daily Operations Control Report, updated daily,
- The operation's Service Delivery Plan,
- Media and social media,
- Information from partners.

## *2. Establishing Incident Priorities and Objectives*

### Incident Priorities

Incident priorities drive the operational organization as it conducts its activities. They are developed and revised by operational leadership, and adjusted based on current or anticipated situations, as needed. Incident planners use incident priorities to guide the development of incident objectives. They provide important guidance for resolving issues and conflicts when there are fewer resources to assign than tasks to complete.

### Incident Objectives

Incident objectives are the focal point for conducting all response and recovery activities. The DRO Director is accountable for establishing and evaluating incident objectives. The Assistant Directors of Operations and Information and Planning should provide collaborative support in the development of the objectives. Objectives should:

- Be guided by operational leadership,
- Be determined by and base their order of importance on incident priorities,
- Be prioritized by urgency,
- Drive operational activities,

- Answer the questions of what must be done and generally where it needs to be done,
- Provide guidance and direction for the selection of strategies and tactical direction of resources, but not specific tactics or resources needed,
- Be flexible enough to allow for strategic and tactical alternatives,
- Be based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed,
- Address any operational concerns listed in previous sit reps,
- Be based on understanding the situation (including "EEIs"),
- Be grounded in professional judgment and experience.

Written objectives:

- Are SMART
  - Specific - Is the wording precise and unambiguous?
  - Measurable - How will achievements be measured?
  - Action-Oriented - Is an action verb used to describe expected accomplishments?
  - Realistic - Is the outcome achievable with given available resources?
  - Time-sensitive - What is the timeframe?
- Are concise and stated in the form of a command,
- Are not so tightly written that they become tasks or work assignments,
- Begin with specific action verbs like "develop," "deliver," "conduct," "provide" and "augment",
- Avoid vague words like "maintain," "continue," "work with" and "monitor",
- Focus on functional areas as much as possible, such as:
  - Bulk distribution,
  - Sheltering,
  - Feeding,
  - Health services,
  - Disaster mental health,
  - Spiritual care.

Table 4: Steps for Creating Effective Incident Objectives

| Step | Action |
|---|---|
| 1 | Understand the incident priorities. |
| 2 | Frame the problem:<br>• Use "EEIs", "SitReps", etc. |
| 3 | Identify specific objectives to address the problem:<br>• Provide enough detail to make objectives meaningful,<br>• Allow necessary flexibility,<br>• Do not go tactical,<br>• Ensure objectives and results can be measured. |
| 4 | For each objective ask:<br>• Is it obtainable? |
| 5 | Prioritize each objective:<br>• What is the objective's priority compared to other objectives? |

## *3. Developing the Plan*

Developing the Incident Action Plan involves three steps:

- Developing operational strategies
- Developing operational tactics
- Planning work assignments

### Developing Operational Strategies

Strategies are "how it should be done" and include ways to achieve the incident objectives. Strategies also describe the required actions and resources to achieve the objectives or "how things should work." Strategies are created by the Operations group collaboratively, with input from and interaction with Logistics, Planning, Finance, and External Relations. Planners must weigh operational strategies against available resources, time and the probability of achieving the desired outcome. Planners should design strategies to:

- Accomplish incident objectives,
- Frame the development of tactics,
- Contribute to a coordinated course of action,
- Restrict the pool of possible tactics to provide operational guardrails,
- Help ensure that there are no conflicts between tactical decisions.

Good operational strategies:

- Are feasible, practical, suitable and likely to achieve desired outcome,
- Meet safety norms,
- Are cost effective,
- Reflect sound practices,
- Consider implications, cause and effects,
- Incorporate any operational suggestions listed in previous situation reports.

Creation of strategies and tactics takes place during the time between the Operational Leadership Meetings and the Operations Tactics Meeting. Once strategies are created, they are adjusted in consultation with other managers and supervisors.

### Developing Operational Tactics

Tactics define the "who, what, where and when" of accomplishing operational objectives. Operational tactics:

- Define specific actions to be performed to achieve the desired outcome,
- Specify who, what, where, and when for implementing strategies,
- Describe the deployment and direction of resources,
- Account for resource availability.

### Planning Work Assignments

Successful implementation of operational strategies and tactics requires coordination of work assignments for all resources required to meet operational objectives. Operational planners:

- Develop work assignments for each human resource (individual or team) and material resource,
- Select specific resources to perform specific work assignments,
- Specify reporting locations for each resource.

### Operational Planning Worksheet

The Operational Planning Worksheet is a pre-planning tool used to:

- Establish specific work assignments (tactics) to be performed during the next operational period,
- Determine geographic or functional assignments,
- Determine the resources needed to accomplish work assignments,
- Identifies gaps and surpluses of resources needed to meet objectives for coordination with the Logistics team for procurement, reassignment or demobilization.

## *4. Preparing and Disseminating the Incident Action Plan*

The standard Red Cross documents included in an Incident Action Plan are:

- Cover Page,
- Incident Briefing,
- Incident Objectives,
- Contact Roster (new version of the Disaster Operation Information Sheet (DOIS)),
- Incident Organizational Chart,
- Incident Map,
- Work Assignments,
- Work Sites,
- Safety Message,
- Incident Open Action Tracker,
- Daily Schedule.

The figure below shows all of the Red Cross forms that may be part of an Incident Action Plan:

Table 5: Incident Action Plan Components


### Completing the Work Assignment Sheet

The Work Assignment sheet is the core of the Incident Action Plan. Most time spent on the Incident Action Plan will focus around building useful and thorough work assignments. The Work Assignment Sheet informs supervisors of incident tasks and assignments. Once operational leadership agrees to the assignments, the assignment information is given to the appropriate operational groups.

Work assignments should be created for any team that works in the field or district. This includes all operations functions. Work assignments are created at the team level and should be detailed enough so that each team with a work assignment is able to take that work assignment and perform all required duties for that operational period.

Each work assignment is normally prepared by the Information and Planning group using the incident objectives from operational leadership, the operational planning worksheet and any safety related information that may affect the implementation of the work assignments. Work assignments are finalized by the conclusion of the Planning Meeting. Following the planning meeting, the Information and Planning group finalizes all components of the Incident Action Plan, presents the completed Incident Action Plan to the DRO Director, and the DRO Director approves the Incident Action Plan.

A work assignment sheet should be prepared for each assignment captured on the operational planning worksheet to provide specific tactical assignments to Operations unit supervisors who will provide more detailed tasking orders to their assigned personnel/resources.

### Incident Action Plan File Names

There are two Incident Action Plan file naming options: If there is a DR number issued, use option 1. If there is no DR number issued, use Option 2.

Table 6: Incident Action Plan File Names

| Options | File Name | Example |
|---|---|---|
| For operations with a DR# issued | YEARMMDD_DRxxxxx_IAP_Vx | 20140503_DR12314_IAP_V1 |
| For operations without a DR # | YEARMMDD_region_type_IAP_Vx | 20140503_Central_PA_FLD_IAP_V1 |
| Versions should start with V1. Every new report should have a new version number and they should run sequentially. For example, the third Incident Action Plan you create should read v3.<br>Even though the Incident Action Plan is a forward leaning document, the date it is created should be the date in the file name. | | |

**Disseminating the IAP**

The IAP should be disseminated as a PDF file. Prior to the Operations Meeting, the IAP should be shared widely throughout the Red Cross Disaster Relief Operation to everyone serving in a leadership capacity. It is the responsibility of those leaders to share the IAP with their respective teams. Immediately following the Operations Meeting, the IAP should also be shared with the DOCC. As soon as possible following the Operations Meeting, the the Assistant Director of External Relations should ensure that the IAP is shared widely with state, local, tribal, and federal partners as well as with other non-governmental response partners. Sharing the IAP with government response partners is a critical channel for communicating the Red Cross priorities, objectives, strategies, and tactics.

## *5. Executing, Evaluating and Revising the Plan*

After the situational awareness phase, incident action planning is coordinated through a set of planning and operational meetings that correspond with the four operational phases, executed usually over the course of a 24-hour operational cycle, as illustrated below. To facilitate this phase, the Operations and Planning section compiles and analyzes input from all functions, including daily situational updates, activity results and progress reports. These help guide operational decisions throughout the operational cycle. An overview for each coordination meeting is provided in the pages that follow.

The primary purposes of this phase of incident action planning and the accompanying coordinating meetings are to:

- Ensure that objectives and priorities are addressed,
- Enable on-going evaluation during implementation,
- Keep incident personnel on task and focused,
- Provide for more effective and efficient management and use of resources,
- Provide feedback to leadership on the actual results of the day's operations so results may be tracked and tactics can be modified,
- Incorporate information from field visits to assess progress,
- Assess progress against task metrics and provide a regular, prescribed report of their daily activities and results.

Table 7: Overview of Coordination Meetings

| Operational Leadership Meeting | Operations Tactics Meeting | Planning Meeting | Operations Briefing |
|---|---|---|---|
| Situation Review and Priorities/Objectives Development | Finalize Operational Planning Worksheets to Set Strategies and Work Assignments | Plan Review, Approve Work Assignments, and Approve Incident Action Plan | Execution of Incident Action Plan and Start of Operational Period |

Figure 4: Sample (recommended) 24-hour Operational Period ("the Operational O")

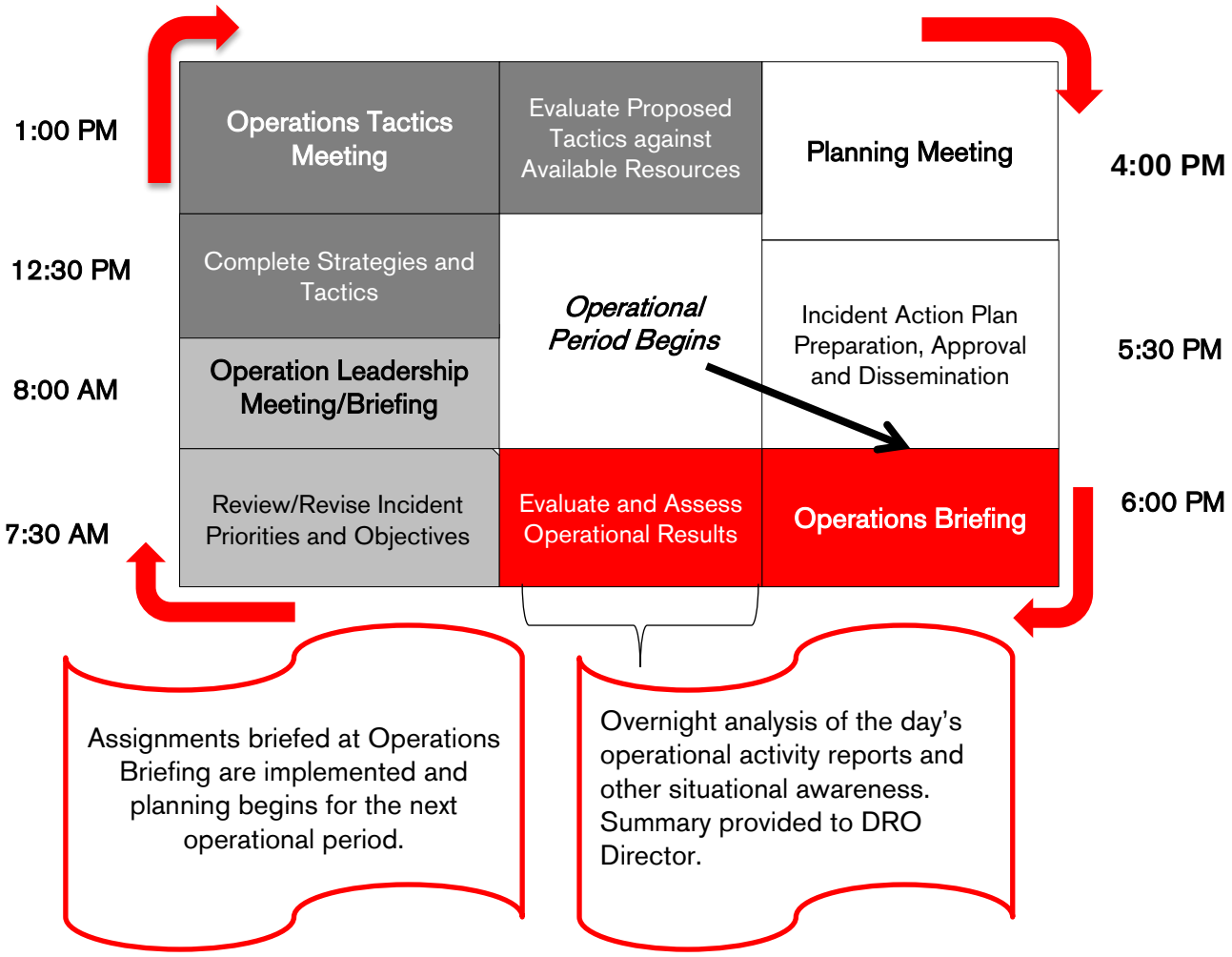


Table 8: Operations Leadership Meeting

| Operations Leadership Meeting | |
|---|---|
| Leader | DRO Director |
| Required Attendees | DRO Director, Deputy Director, Assistant Director of Operations, Assistant Director of Information and Planning, Assistant Director of Finance and Administration, Assistant Director of External Relations, Assistant Director of Logistics, and District Directors |
| Purpose | Finalize incident priorities and objectives |
| Agenda | • Opening remarks<br>• Review current situational awareness and analysis of reports and results of previous activities<br>• Review incident priorities and objectives (Document: Incident Objectives)<br>• Discuss status, limitations and constraints<br>• Closing remarks |

Table 9: Tactics Meeting

| Tactics Meeting | |
|---|---|
| Leader | Assistant Director of Operations |
| Required Attendees | Deputy Director, Assistant Director of Operations, Assistant Director of Information and Planning, Assistant Director of Logistics, and District Directors. Others may join at the discretion of the Assistant Director of Operations. |
| Purpose | Finalize operational tactics and deconflict resources |
| Agenda | • Opening remarks<br>• Review incident objectives and overall strategies (Document: Incident Objectives)<br>• Review, discuss and concur on Operational Planning Worksheets (draft work assignments) (Document: Operational Planning Worksheets)<br>• Ensure resources are correctly assigned<br>• Identify resource shortfalls and excesses<br>• Identify conflicts or duplications of activities<br>• Identify logistical needs of the work assignments<br>• Approve Operational Planning Worksheets<br>• Update Incident Map (Document: Incident Map)<br>• Discuss other topics as needed<br>• Closing remarks<br>• At the conclusion, transfer copies of the approved Operational Planning Worksheets to the Planning group |

Table 10: Planning Meeting

| Planning Meeting | |
|---|---|
| Leader | Assistant Director of Information and Planning |
| Required Attendees | Deputy Director, Assistant Director of Operations, Assistant Director of Information and Planning. Others may join at the discretion of the Assistant Director of Information and Planning. |
| Purpose | Finalize work assignments |
| Agenda | • Provide opening remarks<br>• Provide briefing on current situation<br>• Review incident objectives<br>• Present and review draft work assignments (Document: Assignment List)<br>• Ensure the draft operational plan meets incident objectives<br>• Review any open tasks or actions<br>• Solicit feedback from operational leadership<br>• Obtain commitment from operational leadership (all Assistant Directors and District Directors) to support the plan<br>• Make any edits or adjustments necessary<br>• |

Table 11: Operations Briefing

| Operations Briefing | |
|---|---|
| Leader | Assistant Director of Information and Planning |
| Required Attendees | DRO Director, Deputy Director, Assistant Director of Operations, Assistant Director of Information and Planning, Assistant Director of Finance and Administration, Assistant Director of External Relations, Assistant Director of Logistics, and District Directors. Others may join at the discretion of the Assistant Director of Information and Planning. |
| Purpose | Present finalized Incident Action Plan |
| Agenda | • Review incident objectives<br>• Review weather conditions and forecast<br>• Present the current situation<br>• Brief operations field supervisor personnel on work assignments by Assistant Director of Operations<br>• Updates for any work assignments<br>• Assistant Director of External Relations<br>• Assistant Director of Logistics<br>• Safety Lead<br>• Assistant Director of Finance and Administration<br>• Other items<br>• Answer questions; concluding remarks<br>• Upon conclusion of the Operations Briefing, the Incident Action Plan is implemented and executed. Supervisors ensure their personnel are briefed and prepared to execute their work assignments as set forth in the Incident Action Plan. |

# Appendix A: Financial Approval Authorities

## Budgetary Approval Authorities by Disaster Level

Dollar figures in this table represent the maximum amount up to which each position can approve per disaster level except for the Red Cross Chief Executive Officer who can approve amounts greater than $20,000,000. Due to separation of duties, these positions can only approve a Service Delivery Plan and Field Operations Budget if they are not directly involved in a relief operation. If an event is declared a national operation, the Service Delivery Plan and Field Operations Budget will need to be approved by national headquarters even if it is a Level 4 or below. For contact information for specific approvers, refer to the Disaster Cycle Services director, on the Disaster Cycle Services topic hub on the Exchange.

**Table 12: Budgetary Approval Authorities by Disaster Level**

| Position | Level 1 | Level 2 | Level 3 | Level 4 | Level 5 and above |
|---|---|---|---|---|---|
| Divisional | | | | | |
| Regional Disaster Officer | $10,000 | $ - | $ - | $ - | $ - |
| Regional Executive | NA | $50,000 | $ - | $ - | $ - |
| Division Disaster Executive | NA | NA | $250,000 | $ - | $ - |
| Division Vice President | NA | NA | $ - | $2,500,000 | $ |
| National | | | | | |
| Director, Disaster Operations & Logistics (1 position) | NA | NA | NA | NA | $1,000,000 |
| Sr. Director(s), Operations & Logistics (2 positions) | NA | NA | NA | NA | $1,000,000 |
| Vice President, Doctrine & Planning | NA | NA | NA | NA | $1,000,000 |
| Vice President, Program Development | NA | NA | NA | NA | $1,000,000 |
| Vice President, Disaster Operations & Logistics | NA | NA | NA | NA | $5,000,000 |
| Senior Vice President, Disaster Cycle Services | NA | NA | NA | NA | $10,000,000 |
| President, Humanitarian Services | NA | NA | NA | NA | $20,000,000 |
| Chief Executive Officer | NA | NA | NA | NA | >$20,000,000 |

- Any leader with approval authority may delegate their approval authority to an individual who is their direct report or to an individual with an identical title (i.e. Division Disaster Executive to

Division Disaster Executive). Delegation can only occur for the purpose of providing coverage for absenteeism, vacations, travel, or deployment to an operation.

  - For example, a Regional Executive may delegate his or her $50,000 approval to a Regional Disaster Officer while the Regional Executive is on business travel.
  - For example, a Division Disaster Executive may delegate their $250,000 approval to a Division Disaster Director while the Division Disaster Executive is deployed to another operation in another division.

- Disaster Services Finance must concur on the Service Delivery Plan and Field Operations Budget of all Level 3 and above operations before they can be considered fully approved.