
Cupertino Amateur Radio Emergency Service

Topic: Forms for Field Responders

Speaker: Jim Oberhofer KN6PE, EC Cupertino ARES

Date: Thursday, 02 December 2010, 19:30

Event: Cupertino ARES meeting, Orientation Training

Forms for Field Responders



Agenda

- Why all this paperwork?
- Where you can find the forms
- Looking at specifics
 - ICS 214 ... Unit Log
 - ICS 213 ... Message Forms
 - ICS 309 ... Communications Log
 - COES 105 ... PSA Log
 - COES 106 ... PSA Rollup Log

Why all the paperwork?

Reason #1 – Operational Execution Consistency

For CARES, CERT, and MRC,

1. Forms are used as guides to ensure we have consistency with how we perform our volunteer response mission from event to event. We practice with the things we use when we respond.
2. The forms capture the latest in our thinking on how we respond. After each event (drill or activation), forms are occasionally updated to reflect learnings from the event so that subsequent events are more efficient.

Why all the paperwork?

Reason #2 – Reporting Requirements

The SEMS California Code of Regulations states...

2450(a) Any city, city and county, or county declaring a local emergency for which the governor proclaims a state of emergency, and any state agency responding to that emergency shall complete and transmit an after action report to OES within ninety (90) days of the close of the incident period as specified in the California Code of Regulations, section 2900(j).

2450(b) The after action report shall, at a minimum, be a review of response actions taken, application of SEMS, suggested modifications to SEMS, necessary modifications to plans and procedures, identified training needs, and recovery activities to date.

-
- CARES is required to submit its documentation to the City to be included in the after City's official After Action Report as an input into the After Action Report.
 - CARES also creates After Action Reports from its drills as a means to capture what worked, what didn't work, and what we need to do to improve the response

Why all the paperwork?

Reason #3 – Money

Most agencies have policies like this... (i.e.: U.S. Coast Guard)...

1. This instruction provides the **policies and procedures for reimbursements** to the Coast Guard for disaster relief services provided pursuant to tasking by the Federal Emergency Management Agency (FEMA) under the Stafford Act.
- 4a. The Coast Guard will **seek appropriate and timely reimbursement for all expenses incurred** in support of an authorized Stafford Act disaster relief effort.
- 4b. By agreement, the Coast Guard may **only bill FEMA for the incremental costs of personnel, services, and material directly related to the authorized relief effort.** Incremental cost as they relate to FEMA tasking are those expenses that are incurred solely as a result of FEMA tasking.
- 4d. Appropriate **documentation must be maintained** to support all requests for reimbursements. Special care must be taken throughout the emergency response period to **maintain logs, formal records, and file copies** of all expenditures to show clear and reasonable accountability for reimbursement.

Who needs what forms?

	Field Responders	NCS	Radio Room
ICS-211b Check-in		X	X
ICS-213 Message Form	X	X	X
ICS-214 Unit Log	X	X	X
ICS-214a-OS Personal Unit Log	X		
ICS-309 Communications Log	X	X	X
COES-201 NCS Log		X	
COES-105 PSA Field	X		
COES-106 PSA Rollup	X		X
COES-205 ISA Rollup			X

<http://www.cupertinoares.org/ccc/forms>



[About Cupertino Citizen Corps](#) | [Links](#) | [Forms](#) | [Training](#) | [Pandemic](#) | [General Info](#)

The following forms are used by Cupertino ARES/RACES, Cupertino's CERT, and MRC teams when responding to events throughout the city. All forms below are in PDF format. For a source copy of the forms, please contact [kn6pe @ arrl.net](mailto:kn6pe@arrl.net).

Form Name	Version
CERT / Ark Forms	
COES100 - Org Chart	May-2008
COES101 - Assistance Request	080519
COES102 - Help Desk Control No Assignment Log	8.080405 ... UPDATE
COES103 - Planning & Intel Section Event Log	080519
COES104 - Operations Section Event Log	080519
 COES105 - Situation Status / PSA	080519
 COES106 - Situation Status Rollup / Tracking	080519
COES107 - T-Card (Cupertino version)	
COES108 - Missing Person Form	6.060504
COES121 - Check-in/Check-out	
COES122 - Inventory Form	
COES123 - Logistics Order Form	
COES134 - Logistics Receipt Form	

<http://www.cupertinoares.org/ccc/forms>



[About Cupertino Citizen Corps](#) | [Links](#) | [Forms](#) | [Training](#) | [Pandemic](#) | [General Info](#)

The following forms are used by Cupertino ARES/RACES, Cupertino's CERT, and MRC teams when responding to events throughout the city. All forms below are in PDF format. For a source copy of the forms, please contact [kn6pe @ arrl.net](mailto:kn6pe@arrl.net).

Form Name	Version
ARES/RACES Forms	
COES201 - Net Control Log	060722
 COES105 - Preliminary Safety Assessment, Field	080519
 COES106 - Situation Status Rollup / Tracking	080519
COES204 - Preliminary Safety Assessment, Rollup	060722
COES205 - Infrastructure Safety Assessment, Rollup	071114
COES210 - After Action Report Format	060722
 ICS309 -Communications Log	100505
MRC Forms	
COES109 - Patient Registration Log	090801
COES110 - Patient Care Report	0508 ... UPDATED
COES111 - Minor Injury Form	090801
COES112 - Logistics Report	1.0608 ... UPDATED
COES113 - Secondary Assessment Worksheet	1.0508 ... UPDATED
ICS206 - Medical Plan	BASARC 3/98
NHAMCS-100 - Ambulatory Medical Care	8-18-2004

<http://www.cupertinoares.org/ccc/forms>



[About Cupertino Citizen Corps](#) | [Links](#) | [Forms](#) | [Training](#) | [Pandemic](#) | [General Info](#)

The following forms are used by Cupertino ARES/RACES, Cupertino's CERT, and MRC teams when responding to events throughout the city. All forms below are in PDF format. For a source copy of the forms, please contact [kn6pe @ arrl.net](mailto:kn6pe@arrl.net).

Form Name	Version
General Use Forms	
ICS201 - Incident Briefing (short form)	060307
ICS201 - Incident Briefing (page 1 , page 2 , page 3 , page 4)	BASARC 3/98
ICS202 - Incident Objectives	7/06
ICS204 - Assignment List	7/06
ICS205 - Incident Radio Communications Plan	060307
ICS207 - Organization Chart	BASARC 3/98
ICS211B - Check-in Log	080521
 ICS213 - Message Form	
 ICS213 - Message Form, Santa Clara County RACES	06/28/07 ... UPDATED
 ICS214 - Unit Log (print 1st 2 pages only)	060722
 ICS214a-OS - Personal Unit Log (print 1st 2 pages only)	000601 ... UPDATED
ICS219 - T-Card	
SAR100 - General Briefing, Generic Incident	BASARC 1/96
SAR100a - General Briefing, Missing Person	BASARC 1/96
SAR104 - Team Assignment	BASARC 1/96
SAR110 - Team Debriefing	BASARC 1/96

ICS-214 Unit Log

ICS-214a-OS Personal Unit Log

Purpose: The Unit Log records details all activities. These logs provide the basic reference from which information is extracted to be included in the after-action report.

1. Every person in the EOC or field unit team, with a responsibility for the Disaster Response, should fill out an ICS-214 (if a member of a team) or ICS-214a-OS (if operating individually).
2. ICS 214 should be used by the Team Leader to record all pertinent operational milestones and decisions that are made.
3. The Unit log is a chronological, free-form record, and can be filled in in a narrative manner.
4. At the end of the operational period, the unit log is passed to the incoming shift relief, Field shift supervisor, or CARES Shift Supervisor.
5. At the end of the incident, all unit logs become part of the official incident record.

ICS-214 Unit Log

1. **Incident Name** - Ask your Incident Commander or Emergency Manager.
2. **Date Prepared** - MM/DD/YY
3. **Time Prepared** - hhmm
4. **Unit Name** - Your function (Logistics / Supplies, Ops/MRC, Communications, etc).
5. **Unit Leader** - Your EOC or Field Supervisor. If you are a function leader, put your own name here.
6. **Operational Period** - HH:MM to HH:MM. This is the period of time for which this log is kept. Could be 1 hour to 24 hours.

ICS 214 UNIT LOG 060722		1. INCIDENT NAME		2. DATE PREPARED	3. TIME PREPARED
4. UNIT NAME/DESIGNATOR		5. UNIT LEADER (NAME AND POSITION)		6. OPERATIONAL PERIOD	
7. PERSONNEL ROSTER ASSIGNED					
NAME		ICS POSITION		TEAM/AGENCY	

7. **Personal Roster Assigned** - List of the individuals assigned to this Operating Location and team, include ICS or other Position name, and Agency or organization with which they are affiliated.
 - If you are in an EOC – Use these spaces to keep names and phone numbers of people with whom you are in frequent contact.
 - If you are a Field Responder - list other people (Name, Position, Organization) working within your specific function.

COES-105 Sit Stat/PSA Log

Purpose: The PSA Field Log records your findings uncovered when performing a Preliminary Safety Assessment.

1. CARES uses the COES 105 for the PSA assessment, the first activity we perform during an infrastructure shaking event.
2. CERT uses the COES 105 to capture neighborhood status.
3. COES 105 should be used by individuals to record their observations on...
 - (i) Injuries,
 - (ii) Structural damage,
 - (iii) Fires,
 - (iv) Hazards, and
 - (v) Access problems.

COES-105 Sit Stat/PSA Log

COES 105 Situation Status / PSA Form

Rev 080519 For use by Organized Neighborhoods, CARES Preliminary Safety Assessment

Control No: **CUP32**

Assessment Date/time: 12/4/2010, 1045		Street: Woodhill Court, Pinebrook Court		
Performed by: Jim O KN6PE		Between: _____ and: _____		
Command Post Location: _____		Map Grid (Chamber Map): G5		
_____		Number of Units Surveyed: 46		
Ref	Category	Subcategory	Count	Notes/Addresses (use back of page if necessary)
1.1	Injuries - Minor	Able to walk away from the incident		

- 1. Assessment Date/Time** – When the PSA was performed.
- 2. Street: Between** – location, or street boundary
- 3. Performed by** – usually your name
- 4. Map Grid** – See the Cupertino Chamber map coordinates
- 5. Command Post Location** – For CERT, the location from where the PSA team was dispatched.
- 6. Number of Units Surveyed** – Total number of structures surveyed



COES-105 Sit Stat/PSA Log

7. For each Category...

- Record counts of identified conditions
- Identify address, other information for specific critical conditions found.
- Use back of form if more space is needed.
- CARES: Transmit the results by group (PSA example)
- CERT: submit forms to Arks or Fire Stations for roll-up and action

8. Status Report Logged

- ARK use only: various hand-offs to different functions for information tracking

9. Note the Change

- “Fire” is broken out separately.

Ref	Category	Subcategory	Count	Notes/Addresses (us
1.1	Injuries, Minor	Able to walk away from the incident	5	
1.2	Injuries, Delayed	Regular breathing, and Capillary refill <2 sec, and Answers questions, responds to commands	0	Address:
1.3	Injuries, Immediate	Rapid Breathing >30/min, or capillary refill >2 sec, or Confused, disoriented OR TRAPPED	1	Address: 11322 Pinebrook
1.4	Injuries, Presumed Dead	Unconscious, no respiration	0	Address:
2.1	Structure, Light Damage	<ul style="list-style-type: none"> • Superficial Damage • Broken Windows • Cracked or fallen plaster • Main damage is to contents 	24	
2.2	Structure, Moderate Damage	<ul style="list-style-type: none"> • Large amount of cracking on exterior • Small cracks around doors and foundations • No outward sign of structural damage 	3	Address:
2.3	Structure, Heavy Damage	<ul style="list-style-type: none"> • Partial or full collapse • Building is off foundation • Structural damage to the building 	0	Address:
3.1	Fire	Fire, Any situation, note if extinguished	0	Address:
4.1	Hazards	Gas Leaks	2	Address: 11532, 11542 Woo
4.2	Hazards	Sewer Leaks	0	Address:
4.3	Hazards	Water Main Breaks	1	Address: 1234 Pinebrook Cou
4.4	Hazards	Electrical Power, Lines Down. Power in the neighborhood?	0	
5.1	Access	Roads blocked Other Obstructions	0	
Status Report Logged? (initials)				
Doc Unit Logged	OPS Desk Logged	Doc Unit Completed	Rollup _____	
COES103	COES104	COES103		



COES-106 PSA Rollup Log

Purpose: The COES 204 PSA Rollup Log records the individual PSA results from CARES field members.

1. CARES uses the COES 204...
 - (i) in the EOC Radio Room to receive and record the results of individual PSA reports.
 - (ii) by CARES members in the Field when assigned to locations (i.e.: Fire Stations) where walk-up CERT members may deliver individual PSA reports.
2. CERT uses the COES 106 for Sit Stat/PSA Rollup at the ARKs and organized neighborhoods

COES-106 PSA Rollup Log

Field Responder to EOC

1. For each PSA Report,

i. the Originator will send the following...

- Report Control No: CARES Message Number
- Map Coord: Cupertino Chamber Grid number
- Number of Homes surveyed
- Counts for each category block

ii. the Receiver will record the following...

- Time Received: hh:mm

2. Status Report Logged

- ARK use only: various hand-offs to different functions for information tracking



COES 106 Situation Status - PSA Rollup/Tracking Form
Rev 080519 For use by Organized Neighborhoods, Cupertino Arks, CARES EOC

	Closed Date/Time:				
	Submitted by: Call Sign:	W6TDM	KN6PE		
	Report Control No: Message ID:	CUP30	CUP32		
	Time Received:	1038	1045		
	Map Grid:	B3	G5		
	Number of homes surveyed:	21	46		
Ref	Category				
1.1	Injuries, Minor	10	5		
1.2	Injuries, Delayed	0	0		
1.3	Injuries, Immediate OR TRAPPED	0	1		
1.4	Injuries, Presumed Dead	0	0		
2.1	Structure, Light Damage	3	24		
2.2	Structure, Moderate Damage	1	3		
2.3	Structure, Heavy Damage	0	0		
3.1	Fire, Any situation	0	0		
4.1	Gas Leaks	0	2		
4.2	Sewer Leaks	1	0		
4.3	Water Main Breaks	1	1		
4.4	Electrical Power,	0	0		
5.1	Roads blocked	0	0		
Info passed to City by: Received by:					Date/Time

COES-106 PSA Rollup Log

CERT to Field (CARES)

1. For each PSA Report,

CARES collects PSA reports in the field...

- Cert will drop off the PSA form to the CARES member
- CARES will record the PSA entries on the COES 204,
- Ensure all fields are filled in
- CARES marks the COES 105 form as received, give back to the CERT member

2. Send the PSA rollup report

- CARES Field Responder will transmit a block of reports to the EOC at the discretion of the Field Responder
- Closed date/time: mark when the entry was transmitted to the EOC.



COES 106 Situation Status - PSA Rollup/Tracking Form
Rev 080519 For use by Organized Neighborhoods, Cupertino Arks, CARES EOC

	Closed Date/Time:				
	Submitted by:				
	Call Sign:				
	Report Control No:				
	Message ID:				
	Time Received:				
	Map Grid:				
	Number of homes surveyed:				
Ref	Category				
1.1	Injuries, Minor				
1.2	Injuries, Delayed				
1.3	Injuries, Immediate OR TRAPPED				
1.4	Injuries, Presumed Dead				
2.1	Structure, Light Damage				
2.2	Structure, Moderate Damage				
2.3	Structure, Heavy Damage				
3.1	Fire, Any situation				
4.1	Gas Leaks				
4.2	Sewer Leaks				
4.3	Water Main Breaks				
4.4	Electrical Power,				
5.1	Roads blocked				
Info passed to City by:					Date/Time
Received by:					

ICS-213 Message Form

Purpose: The ICS 213 Message Form records a message to be transmitted from one person or organization to another, and can originate either in the Field or the EOC.

1. There does not appear to be any standard Message form
2. While the forms may look different, there is specific information that must be captured...
 - From
 - To
 - Subject
 - Message Number
 - Priority
 - Date/Time
 - Message Text
 - Signed by

ICS-213 Message Form

Within the Cupertino EOC

1. Cupertino OES has adopted a commercial message form...

- Multi-part color copies

2. Fields and information that need to be added are:

- From: }
- To: }
- Subject:
- Message Number }
- Message Priority }
- Date/Time

The image shows a 'Rapid Letter' form, which is a carbonless message form. It features several sections: 'TO', 'SUBJECT', 'MESSAGE', and 'REPLY'. The form is labeled 'CARBONLESS FORM 3801' and 'NO CARBON REQUIRED'. It also includes logos for 'Tops' and 'Sage'. A red oval highlights a blank space in the 'TO' field, and arrows point from the list on the left to various fields: 'From:' points to the 'TO' field, 'To:' points to the 'TO' field, 'Subject:' points to the 'SUBJECT' field, 'Message Number' points to the 'MESSAGE' field, 'Message Priority' points to the 'MESSAGE' field, and 'Date/Time' points to the 'DATE' field in the 'MESSAGE' section.

ICS-213 Mes

City to County

1. Santa Clara County is requesting cities to submit messages to County OES with this form
2. The required fields:
 - Message number
 - Severity
 - Msg Handling Order
 - Message Requests to
 - To, From: Position and Location
 - Subject
 - Message
3. County MACs need to prepare to use this form when taking a MAC assignment!
4. This form also has been implemented in PacForms (for packet)

MESSAGE FORM		When Receiving ² Msg.: Sender's msg. #	Msg. #	When Sending Msg Receiver's msg. #
▶ Use Ballpoint Pen—Press Hard; Print Clearly (See back for instructions)				
Date: (MM/DD/YY) ¹ ____/____/____	Situation Severity (✓one) ⁴ <input type="checkbox"/> EMERGENCY (e.g., Life Threat) <input type="checkbox"/> URGENT (e.g., Property Threat) <input type="checkbox"/> OTHER (All others)	Msg. Handling Order (✓one) ⁵ <input type="checkbox"/> IMMEDIATE (As Soon as Possible) <input type="checkbox"/> PRIORITY (Less Than One Hour) <input type="checkbox"/> ROUTINE (More Than One Hour)		Message Requests You To: TAKE ACTION (✓one) <input type="checkbox"/> Yes <input type="checkbox"/> No REPLY (✓one) <input type="checkbox"/> Yes, by _____ <input type="checkbox"/> No <input type="checkbox"/> FOR YOUR INFO. (no action required)
Time: (24 hour clock) _____ <small>0001 to 2400 2:00 PM = (12+2) = 1400Hrs</small>	To:	From:		
	ICS Position: (required) ⁷		ICS Position: (required) ⁸	
	Location: (required) ⁹		Location: (required) ⁹	
	Name: (optional)		Name: (optional)	
	Telephone #: (optional)		Telephone #: (optional)	
SUBJECT: ¹⁰ _____				
REFERENCE (e.g., Number of earlier msg.): ¹¹ _____				
Message: ¹² (what, when, where needed; how long; contact name and phone number) KEEP MSG BRIEF				

ACTION TAKEN: ¹³ (For use by Originator / Recipient) ▶ USE SEPARATE MESSAGE FORM IF SENDING REPLY				

CC: <input type="checkbox"/> Management <input type="checkbox"/> Operations <input type="checkbox"/> Planning <input type="checkbox"/> Logistics <input type="checkbox"/> Finance				
Operator Use Only: ¹⁴				
How Received <input type="checkbox"/> or Sent <input type="checkbox"/> (✓one)		Operator Call Sign:		
<input type="checkbox"/> Telephone <input type="checkbox"/> Dispatch Center		Operator Name:		
<input type="checkbox"/> EOC Radio <input type="checkbox"/> FAX <input type="checkbox"/> Courier				
<input type="checkbox"/> Amateur Radio <input type="checkbox"/> Other _____		Date:	Time:	

Outgoing (Sent): ¹⁵
Message Originator: Send the top copy (white) to radio, yellow to PLANNING, retain the pink copy for your reference.
Radio: After sending, complete Disposition info., retain white copy for file in radio.

Incoming (Received): ¹⁵
Radio: After receiving, complete Disposition info., route the top copy (white) to the Addressee, yellow to PLANNING, retain pink copy for file in radio.

ICS-213 Message Form

Ad-hoc Field “Message Forms”

1. You should anticipate that field messaging will be extensive.
2. You are encouraged to “Keep it Simple” with a message form solution, for example ...

Note Pad

The notepad has a spiral binding at the top. The form is drawn on the lined paper and consists of the following sections:

<i>From</i>	<i>Msg #</i>
<i>To</i>	<i>Date/Time</i>
	<i>Pri</i>

Message:
This is the message that needs to be written down. Watch the details.

Reply
Write down the reply on the bottom of the page. If it is going back to the originator, deliver it to him/her.

Index Cards

The index card is shown in two orientations:

Front Side:

<i>From</i>	<i>Msg #</i>
<i>To</i>	<i>Date/Time</i>
	<i>Pri</i>

Message:
This is the message that needs to be written down. Watch the details.

Back Side:

Reply
Write down the reply on the back of the card. If it is going back to the originator, deliver it to him/her.

Message Handling

4a. Precedence (Priority)

- **Emergency** – Life-threatening: Situations, reports, and updates that might directly result in deploying or prioritizing resources for an incident involving life-saving efforts. When in doubt, **DO NOT** use this designation.
- **Urgent** – Property threatening: Situations and reports of new threats, revised flood projections, wind direction changes in a major fire, and reports of additional damage from earthquake aftershocks suggesting additional rescue efforts or surveillance.
- **Routine** – most everything else; PSA reports, correspondence between agency representatives, material and logistics messages, routine resource requests, shift planning, relief requests, etc.
- **Health & Welfare** – Includes welfare inquiries

ICS-309 Communications Log

- **Purpose:** The ICS-309 Communications Log is filled out by any operator assigned to a location performing any type of communications.
- This form provides a fairly complete log of the radio events occurring at or affecting the assigned location.
- Start your ICS-309 Communications Log at the beginning of your operational period at whatever time the event starts.
- Report results of welfare checks.

Next Steps

- Think about how you will manage the paperwork at your assignment.
- Get a clip-board, flip-board, folders, or other means to organize the paper that you will have to touch.
- Get the latest version of the forms... here and the website <http://www.cupertinoares.org/ccc/forms>
- The Arks have a cache of some forms, not all.
- Be prepared to run out (it will happen) and create your own on the fly (improvise!).
- Refer to the *Field Communications Operations Manual* as a reference.



Cupertino
ARES/RACES