

# U. S. Coast Guard



## Incident Command System Type 3

### SAFETY OFFICER

### Performance Qualification Standard Workbook



July 2023

# Performance Qualification Standard (PQS) Workbook for SAFETY OFFICER (SOFR3)

## Overview

This Safety Officer Type 3 (SOFR3) Performance Qualification Standard (PQS) workbook is the method for achieving the United States Coast Guard (USCG) Type 3 qualification for the Incident Command System (ICS) position. The USCG ICS qualification process has been established to comply with federally mandated requirements per the National Response Framework (6 U.S.C. § 320) and Homeland Security Presidential Directive – 5 (HSPD-5).

This workbook was developed to meet and/or exceed the standards set forth by the Federal Emergency Management Agency's (FEMA's) National Incident Management System (NIMS) Guideline for the National Qualification System (NQS). Alignment with these standards ensures confidence in the capabilities and interoperability of USCG personnel engaged in emergency and disaster response. It also enhances national preparedness by expanding the network of qualified incident management and support personnel who can be deployed nationwide.

The SOFR3 PQS participant responsibilities and workbook components are detailed beginning on Page 2. Note that while many stakeholders are obligated to support the Trainee in completing the PQS workbook, earning the ICS qualification is ultimately the responsibility of the Trainee. The requirements listed in this workbook represent the minimum knowledge and skills necessary to perform in the Safety Officer position during a Type 3 incident or event.

The Office of Emergency Management and Disaster Response (CG-OEM) defines USCG ICS Program policy within the Emergency Management Manual (EMM) Volume IV: Incident Management and Crisis Response, COMDTINST M3010.24 (series). The ICS program's implementation is explained in the ICS Training Guide (for Type 3 qualifications) and the ICS Certification Board Guide (for Type 1 and Type 2 certifications). USCG ICS Program resources can be located in the following locations:

- The ICS Library on Homeport at <http://homeport.uscg.mil/> (follow drop-down options from “Missions” tab to “Incident Management”)
- The ICS Program & Coordinator Sharepoint at: [CG-OEM - ICS Coordinators \(sharepoint-mil.us\)](http://sharepoint-mil.us)

Trainees should direct questions to their local unit ICS Coordinator or to CG-OEM at [ICS-ProgramCoordinator@uscg.mil](mailto:ICS-ProgramCoordinator@uscg.mil).

## **Performance Qualification Standard (PQS) Workbook for SAFETY OFFICER (SOFR3)**

### **RESPONSIBILITIES**

1. The Trainee is responsible for:

- Seeking competency qualification guidance from the local unit ICS Coordinator.
- Reviewing, understanding, and adhering to the requirements in the PQS workbook.
- Completing all tasks required to earn the competency within three years. Tasks older than three years must be evaluated by the local unit ICS Coordinator and Verifying Officer(s).
- Participating in incidents / events / exercises / training / on-the-job training (OJT) necessary to garner the experience required to earn the competency sought.
- Engaging appropriate Verifying Officers for PQS workbook task evaluation.
- Assuring all ICS Experience Worksheets associated with task achievement are complete.
- Providing the ICS Coordinator with the finalized PQS workbook.
- Requesting and successfully completing an oral board.
- Ensuring earned competencies are documented in the Trainee's training record.
- Maintaining currency requirements for the competency once earned.

2. The ICS Coordinator (as supported by the Training Officer) is responsible for:

- Meeting with the Trainee and determining experience, qualifications, and desired goals.
- Issuing the current position-specific PQS workbook to the Trainee.
- Explaining the ICS PQS process to the Trainee as well as the Trainee's responsibilities.
- Helping the Trainee identify relevant training and experience-acquiring opportunities.
- Prioritizing the Trainee against all unit candidates for enrollment in USCG ICS courses (or the authorized equivalent) required to achieve the associated ICS competency or its prerequisite requirements. This includes submitting Electronic Training Requests (ETRs) in Direct Access (DA) using verbiage prescribed in the ICS Training Guide.
- Acquiring Qualifying Official approval for the list of Verifying Officers and the competencies for which they are eligible to verify completion of tasks outlined in this PQS Workbook.
- Tracking the Trainee's progress in acquiring the competency.
- Conferring with the Verifying Officer(s) concerning the Trainee's need to repeat any PQS tasks completed three (or more) years prior.
- Reviewing the Trainee's completed PQS workbook, assuring documentation is complete, all signatures complete, and collaborating with the Verifying Officer(s) to arrange an oral board.
- If required, issue an interim qualification letter when the Trainee is unable to secure required course enrollment and is otherwise PQS and oral board complete.
- Ensuring the Trainee's completed PQS workbook is routed to the Qualifying Official for signature.
- Verify the ICS competency is entered into Direct Access or the record management system appropriate for the Trainee.
- Assigning the Trainee to the unit Incident Management Team (IMT).

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**RESPONSIBILITIES**

3. The Verifying Officer is responsible for:

- Being qualified in the competency (or supervisory competency) he or she is verifying.
- Providing entry in the Record of Verifying Officers section.
- Explaining task evaluation procedures and objectives to the Trainee.
- Observing, mentoring, and evaluating Trainee in the performance of PQS workbook tasks.
- Attesting to the Trainee's experience / performance on ICS Experience Worksheets.
- Documenting Trainee's successful completion of PQS workbook tasks.
- Conferring with the ICS Coordinator concerning the Trainee's need to repeat any PQS tasks completed three (or more) years prior.
- Recommending the Trainee for an oral board and/or serving on the Trainee's oral board as requested by the ICS Coordinator once PQS tasks are complete.

4. The Qualifying Official is responsible for:

- Assuming the Qualifying Official position as the unit's Commanding Officer (O-4 and above), first O-6 in the chain of command, COMDT (CG-OEM), or as delegated by these authorized personnel.
- Designating and supporting the unit Verifying Officers for each ICS competency.
- Providing qualification opportunities for Trainees to meet IMT/AC readiness requirements.
- Issuing proof of Trainee's qualification by signing the ICS Qualification Record in this PQS workbook or delegating this responsibility as appropriate.

## Performance Qualification Standard (PQS) Workbook for SAFETY OFFICER (SOFR3)

### ICS PQS WORKBOOK COMPONENTS

Competency Requirements: The Competency Requirements table provides a description of duties associated with the listed competency as well as prerequisite training, experience, licensure/certification, and the currency expected to maintain the competency qualification.

PQS Workbook Assignment: The PQS Workbook Assignment records when and to whom the PQS workbook was issued as well as the issuing unit/individual.

Record of Verifying Officers: Verifying Officers may be a single individual or, preferably, numerous individuals. The Record of Verifying Officers is a list of the Verifying Officers that validate tasks within the Trainee's PQS workbook including names, title, applicable ICS qualifications/certifications, and signature for ease of reference.

Tasks: Tasks are either knowledge or performance based. Knowledge tasks can be completed through demonstration (noting the coordinating ICS Experience Worksheet in the Record # as applicable) or discussion. Performance tasks, however, must be demonstrated and should be documented on an accompanying ICS Experience Worksheet. All tasks have been divided into a knowledge or performance section and marked with a "K" or "P" in the task number accordingly. Performance tasks that must be completed more than once are noted with an asterisk (\*). The asterisk notes that the designated task must be completed during two different incidents / events or during an exercise. A classroom exercise (e.g., 320, 420, or other IMT or position-specific course) can only be used once and the trainee must have specifically filled the SOFR role to obtain credit. The trainee must have both occurrences recorded.

Task Code (TC): Task Codes (TCs) delineate the environment in which the Trainee must demonstrate task proficiency. At least one TC is designated for each PQS workbook task. If more than one TC is listed for a task, then the task may be completed on any **ONE** of the listed TC environments (i.e., if code 1, 2, and 3 are listed, then the task may be completed on either 1, 2, or 3). Some tasks are required to be demonstrated more than once and are accompanied by two TC boxes with accompanying Verifying Officer Signature fields. TCs are listed in the table below and again at the top of each workbook page listing PQS tasks for ease of reference.

Competency Code (CC): Competency Codes (CCs), evidenced by their associated behaviors, are the characteristics an individual performing in the competency are expected to demonstrate. These CCs ensure PQS workbook tasking is representative of the necessary competency skills and simultaneously assists Verifying Officers in interpreting the relevance of each individual task.

Record Number: A Record Number (Record #) is referencing specific ICS experience on the ICS Experience Worksheet, which documents the Trainee's participation in an ICS-related event including training, exercises, or real-world incidents. Each ICS experience should be listed sequentially on the ICS Experience Worksheet. The corresponding Record # is listed in the column task of the PQS workbook when applicable. Tasks may be completed without providing a Record # though supporting documentation is highly recommended to validate ICS experience and support the qualification process.

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### ICS PQS WORKBOOK COMPONENTS

ICS Experience Worksheet: An ICS Experience Worksheet is used to document all ICS experience in activations, drills, exercises, training, and on-the-job experience. The ICS Experience Worksheet is used universally for Type 3 PQS workbooks and Type 1 / Type 2 ICS certification applications. Every time an individual supports an ICS activation, then that individual should record the experience in an ICS Experience Worksheet. Supporting documentation may be added to the ICS Experience Worksheet including ICS 225-CG, letters of recognition, awards, or portions of the Incident Action Plan. These documents may be included in the “List attached supporting documentation” field and combined electronically with the ICS Experience Worksheet. The more detailed the historical record of a member’s performance the easier it will be to evaluate a person’s performance for ICS qualifications and certifications. The ICS Experience Worksheet is on the Homeport and CGPortal links listed in the introduction of this PQS workbook.

Performance Evaluation: While not required, it is encouraged that the Trainee’s performance be evaluated and documented on an ICS 225-CG Incident Personnel Performance Rating form by an eligible Verifying Officer or qualified individual. If utilized, this documentation should be retained with the completed PQS workbook and associated ICS Experience Worksheet.

Verifying Officer’s Signature: The Verifying Officer signs a task after the Trainee successfully demonstrates the ability to perform the numbered task and any bulleted items associated with it.

Record of Completion: The Record of Completion will be reviewed and filled-in by the ICS Coordinator to ensure all PQS workbook requirements have been satisfied prior to signing and routing the ICS Qualification Record to the Qualifying Official for signature.

ICS Qualification Record: The ICS Qualification Record is prepared by the ICS Coordinator to acknowledge that the Trainee has met all competency requirements and is capable of performing in the position. By signing the ICS Qualification Record, the Qualifying Official is awarding the Trainee the ICS competency indicated on the record. The ICS Qualification Record is expected to be routed electronically inside the completed PQS workbook for signature from the Qualifying Official. No additional qualification documentation is expected to be drafted or routed unless it is requested by the Qualifying Official. Once the competency is awarded, the Trainee (in collaboration with the ICS Coordinator) shall ensure the competency is recorded in DA or another appropriate system of record using the signed ICS Qualification Record as confirmation of the issued competency. The awarded competency is valid unless revoked by the Trainee’s/qualified individual’s current Commanding Officer (O-4 and above), first O-6 in the chain of command, or COMDT (CG-OEM).

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<b>TASKS</b>		<b>CODE (TC)</b>
Task may be demonstrated in any environment (e.g., training, classroom, drill, exercise, simulation, incident, event, or standard job responsibilities).		6
Task must be demonstrated in an ICS course classroom.		5
Task must be demonstrated in on-the-job training, responsibilities, and/or experience.		4
Task must be demonstrated in an ICS-managed exercise.		3
Task must be demonstrated in a full-scale ICS-managed exercise.		2
Task must be demonstrated in an ICS-managed incident and/or event.		1
<b>COMPETENCIES</b>		<b>CODE (CC)</b>
<b>SKILL</b>	<b>BEHAVIOR</b> <i>(Include but are not limited to those listed.)</i>	
Adaptability	Modify actions/efforts as necessary; adjust to incident complexity.	A
Administrative Responsibilities	Ensure documentation is complete & disposition is appropriate; provide personnel evaluations.	B
Assignment Preparedness	Demonstrate readiness for assignment.	C
Collaboration & Coordination	Establish inclusive, effective, working relationships with personnel & stakeholders; coordinate interdependent activities; gain concurrence.	D
Communication	Disseminate & receive information; provide clear/concise messaging; express priorities/objectives/operations/expectations.	E
ICS Familiarity	Understand, employ, & comply with NIMS ICS principles/guidance; compliant with procedures, protocol, terminology, organizational structure, & chain of command.	F
Information Management	Participate in & support briefs appropriately; gather, produce, & distribute information per established guidelines; establish and/or follow media protocols.	G
Judgment & Decision-making	Determine effectiveness of effort, personnel & resources; make informed, accurate decisions; ensure legal & ethical compliance; ensure socio-economic, political, and cultural consideration; use pertinent analysis to make recommendations/set priorities that aid in meeting responsibilities/expectations/objectives.	H
Leadership & Supervision	Provide support; model leadership values/principles; establish & monitor work assignments & performance expectations.	I
Positional Competence	Knowledgeable of position reporting structure, plans, & procedures; apply appropriate policy, contracts, & agreements; employ technical skills & assessments; assume position & take appropriate action; produce desirable results; contributions help meet incident objectives.	J
Resourcefulness	Employ the right tools & resources; use networks to locate resources; use initiative to overcome challenges/meet objectives.	K
Safety, Well-being & Risk Management	Anticipate, recognize, & mitigate unsafe situations; ensure personnel safety/well-being; comply with safety requirements; apply appropriate risk-assessment measures & incorporate in decisions/actions.	L
Situational Awareness	Gather, apply, assess, & disseminate situational information.	M
Transition Management	Ensure effective personnel/resource transitions to and from the incident; maintain function, position, & response continuity.	N
Unity of Effort	Emphasize teamwork to achieve objectives.	O

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<b>SOFR3 COMPETENCY REQUIREMENTS</b>	
<b>Description</b>	<ul style="list-style-type: none"> <li>• Ensures the safety, welfare, and accountability of assigned incident personnel.</li> <li>• Identifies incident-related hazardous situations; identifies actions to mitigate risks and hazards with the greatest potential for serious accident or injury.</li> <li>• Participates in Command and General Staff, planning, and operations meetings.</li> <li>• Prepares and presents safety briefings.</li> <li>• Participates in the development of the Incident Action Plan (IAP) and approves any items with safety implications.</li> <li>• Has emergency authority to stop unsafe actions at any time.</li> <li>• Investigates, or coordinates the investigation of accidents occurring within the incident area.</li> <li>• Provides safety updates to Command and General Staff during meetings, or as necessary.</li> <li>• Completes IAP safety analysis (or equivalent) and develops planning matrix or risk analysis with the Operations Section</li> <li>• Prepares narratives or special reports, as necessary.</li> <li>• Coordinates with health departments or subject matter experts from the Authority Having Jurisdiction (AHJ) on food safety and sanitation issues, as necessary.</li> <li>• Conducts safety inspections of all logistical and operational sites (kitchens, sleeping areas, helibases and so on).</li> <li>• Maintains a daily log of activities and safety-related decisions.</li> </ul>
<b>Training</b>	<ul style="list-style-type: none"> <li>• ICS-300 Intermediate ICS for Expanding Incidents <b><u>and</u></b></li> <li>• ICS-400 Advanced ICS <b><u>and</u></b></li> <li>• HAZWOPER Awareness level training <b><u>and</u></b></li> <li>• ICS-404 Safety Officer course <b><u>or</u></b></li> <li>• E/L 0954 All Hazards Safety Officer Course</li> </ul>
<b>Prerequisite Qualifications</b>	<ul style="list-style-type: none"> <li>• ICS Activation and Deployment <b><u>and</u></b></li> <li>• Division/Group Supervisor (DIVS)</li> </ul>
<b>PQS Workbook</b>	<ul style="list-style-type: none"> <li>• SOFR3 PQS workbook completion</li> </ul>
<b>Experience</b>	<ul style="list-style-type: none"> <li>• Served as SOFR in a drill, exercise, or actual response <i>(Perform as SOFR a minimum of two times)</i></li> </ul>
<b>Professional / Technical Licenses and Certifications</b>	N/A
<b>Currency</b>	According to the ICS Training Guide



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<b>ICS-404 SAFETY OFFICER TRAINING PERFORMANCE &amp; ENABLING OBJECTIVES</b>	
<p>The ICS-404 Safety Officer course is designed to meet the training requirements of the SOFR in Type 3 incidents. This course concentrates on the tasks and ICS forms required to be completed and/or reviewed by the SOFR to support the objectives of an IMT. Subjects covered include: Incident check-in and initial assessment; how to develop the ICS 208A-CG form; interactions with the Command and General Staff; a SOFR’s daily schedule; interactions with incident and non-incident personnel; information gathering; operational risk management; meetings and briefings; incident action plan support; accident investigation; documents and supplies; and demobilization. The course provides exercises to assist students in performing these skills.</p>	
<b>1.0 Overview of the Safety Officer’s Role</b>	<p><b>Review safety documentation</b></p> <ul style="list-style-type: none"> <li>• List/review the forms used in the planning process to complete an Incident Action Plan (IAP).</li> <li>• List/identify or review what forms are included in the IAP that the SOFR typically provides input to, reviews, and approves.</li> </ul>
<b>2.0 Ready for Operational Tasking</b>	<p><b>Review the incident as the SOFR</b></p> <ul style="list-style-type: none"> <li>• Discuss the nature of the incident.</li> <li>• Review the Site Safety Plan (ICS 208-CG form).</li> <li>• Discuss key players and the incident organization.</li> <li>• Identify or review resources on scene or enroute.</li> <li>• Review/discuss applicable contingency plans and memorandums of understanding (MOUs).</li> <li>• Identify/review safety considerations in operational areas and incident facilities.</li> <li>• Discuss the status of safety evaluations.</li> <li>• Discuss/identify the meeting schedule.</li> </ul> <p><b>Gather guidance from the Incident Commander</b></p> <ul style="list-style-type: none"> <li>• Discuss the current status of the incident.</li> <li>• Identify special concerns.</li> <li>• Identify limitations.</li> <li>• Identify guidelines.</li> <li>• Identify or discuss role and stop work authority</li> <li>• Identify key facility locations.</li> <li>• Identify/discuss current staffing needs.</li> </ul> <p><b>Activate safety functions</b></p> <ul style="list-style-type: none"> <li>• Identify staff organization required. Discuss staff briefing (give them SOP for SOFR to review).</li> <li>• Request the staff. (complete ICS 213RR-CG)</li> <li>• Request work materials and equipment.</li> <li>• Discuss or identify the work location for a safety function.</li> <li>• Identify/discuss documentation of SOFR Unit. (ICS 214-CG).</li> </ul>

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<p><b>3.0 Safety Officer Response to the Incident</b></p>	<p><b>Review/discuss the Site Safety Plan</b></p> <ul style="list-style-type: none"><li>• Collect incident data.</li><li>• Complete the Incident Command System (ICS 208A-CG).</li></ul> <p><b>Brief personnel on the Site Safety Plan</b></p> <ul style="list-style-type: none"><li>• Develop a briefing based on key safety aspects of current ops.</li><li>• Present a briefing to oncoming personnel.</li><li>• Record a briefing on the Unit Log (ICS 214-CG).</li></ul> <p><b>Conduct an operational risk hazard analysis</b></p> <ul style="list-style-type: none"><li>• Verify information obtained at briefings.</li><li>• Clarify all operational work assignments.</li><li>• Align the incident command system (ICS) Incident Action Plan Safety Analysis (ICS 215A-CG) with the Operational Planning Worksheet (ICS 215-CG).</li><li>• Develop Incident Action Plan Safety Analysis (ICS 215A-CG).</li><li>• Identify resources needed to implement controls.</li></ul> <p><b>Mitigate safety and occupational health hazards in coordination with the Operations Section</b></p> <ul style="list-style-type: none"><li>• Deploy an assistant SOFR to the field.</li><li>• Inform the Operations Section Chief (OSC) of any changes.</li><li>• Inform the Incident Commander (IC)/Unified Command (UC) of any significant changes.</li><li>• Brief significant safety concerns and controls at the tactics meeting.</li><li>• Update Incident Action Plan Safety Analysis (ICS 215A-CG).</li><li>• Conduct ongoing risk assessments.</li></ul> <p><b>Mitigate safety and nonoperational hazards in coordination with the incident management team (IMT)</b></p> <ul style="list-style-type: none"><li>• Conduct ongoing risk assessments.</li><li>• Coordinate with IMT members to obtain other safety information.</li><li>• Confirm implementation of controls in all activities.</li><li>• Inform the Incident Commander (IC)/Unified Command (UC) of any significant changes.</li></ul> <p><b>Provide required components of the incident action plan (IAP)</b></p> <ul style="list-style-type: none"><li>• Brief safety concerns at the planning meeting.</li><li>• Complete the Site Safety Plan (ICS 208-CG).</li><li>• Develop safety instructions for inclusion in block 8 of the ICS 204-CG.</li><li>• Review the Medical Plan (ICS 206-CG). Develop the safety message on the Incident Objectives form (ICS 202-CG).</li></ul>
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<b>3.0 Safety Officer Response to the Incident (cont.)</b>	<p><b>Provide safety status briefs</b></p> <ul style="list-style-type: none"><li>• Prepare safety briefing materials.</li><li>• Provide the safety status brief.</li><li>• Respond to issues, concerns, and questions identified at briefings.</li><li>• Record the briefing on the Unit Log (ICS 214-CG).</li></ul> <p><b>Investigate accidents/illnesses that occur during the incident</b></p> <ul style="list-style-type: none"><li>• Determine when external investigative support is required.</li><li>• Preserve an accident scene for investigation.</li><li>• Perform all required notifications.</li><li>• Review the Incident Mishap Reporting Record (ICS 237-CG) or other appropriate agency forms.</li><li>• Brief the Incident Commander (IC) / Unified Command (UC) on the investigation.</li><li>• Complete accident reporting requirements.</li></ul> <p><b>Participate in the Demobilization Plan process</b></p> <ul style="list-style-type: none"><li>• Evaluate the draft Demobilization Plan.</li><li>• Provide recommendations to ensure hazards are mitigated.</li><li>• Monitor effectiveness of controls.</li><li>• Complete Incident Personnel Performance Rating (ICS 225-CG).</li></ul>
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<b>PQS WORKBOOK ASSIGNED TO:</b>
TRAINEE'S NAME:
UNIT:
PHONE NUMBER:
E-MAIL:

<b>PQS WORKBOOK INITIATED BY:</b>
OFFICIAL'S NAME:
TITLE:
UNIT:
PHONE NUMBER:
E-MAIL:

<b>PQS WORKBOOK WAS INITIATED AT:</b>
UNIT/LOCATION:
DATE:

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<b>RECORD OF VERIFYING OFFICERS</b>				
<b>DATE</b>	<b>TITLE</b>	<b>VERIFYING OFFICER'S NAME</b>	<b>ICS QUAL(S)/ CERT(S)</b>	<b>SIGNATURE</b>

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<b>KNOWLEDGE TASKS</b>				
<b>TASK</b>	<b>TC</b>	<b>CC</b>	<b>RECORD #</b>	<b>VERIFYING OFFICER'S SIGNATURE</b>
K-1. Explain the role and responsibilities of the SOFR including responsibilities at each stage in the Planning P.	6	C F J		
K-2. Explain the relationship of the SOFR with the Command Staff and each Section Chief.	6	C D F O		
K-3. Describe the Safety staff organization.  a) Explain the roles of Assistant Safety Officer(s). b) Discuss how to request assistants by submitting a Resource Request Message (ICS 213RR-CG). c) Determine how many SOFR and assistants are calculated by incident size.	6	D F I J O		
K-4. Identify the meetings attended by the SOFR and explain the purpose of each meeting.  a) Discuss who attends each meeting. b) Explain the purpose of the meeting agendas. c) Explain what information the SOFR prepares and provides at these meetings.	6	E F G M		
K-5. Explain what HAZWOPER qualifications field personnel are required to have and how it should be properly documented.	6	B G		

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
<p>K-6. Explain different ways incident management team members are aware of safety-related aspects of their jobs and undertake their job responsibilities in a safe manner based on expected duration, size, type of incident, potential values to be protected, and jurisdictional involvement.</p>	6	E H L		
<p>K-7. Explain how changes in conditions (e.g., weather, hazmat information, intelligence) could cause high-risk conditions.</p>	6	L M		
<p>K-8. Discuss how an unpredicted change in weather is communicated to incident personnel. The following are examples, not all encompassing.</p> <ul style="list-style-type: none"> <li>a) Red Flag watches / warnings.</li> <li>b) Cold frontal passages.</li> </ul>	6	A E J K		
<p>K-9. Explain risk management fundamentals and its 5 steps, and how it is utilized in an incident. Consider the following:</p> <ul style="list-style-type: none"> <li>a) Role of the SOFR.</li> <li>b) Site Safety Plan (ICS 208-CG).</li> <li>c) Safety messages.</li> <li>d) Implementing procedures to recognize potentially hazardous situations.</li> </ul>	6	D F L		
<p>K-10 Explain both PEACE (Planning, Event Complexity, Asset, Communications, and Environment) and STAAR (Spread out, Transfer, Avoid, Accept, and Reduce) models and how they can be incorporated in to Risk Management.</p>	6	A H J L		

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
<p>K-11. Discuss the difference between deliberate and real-time Risk Management planning.</p> <p>a) Site Safety Planning (ICS 208-CG)</p> <p>b) General Assessment of Risk (GAR) 2.0</p>	6	A H J L		
<p>K-12. Explain how the Incident Action Plan Safety Analysis (ICS 215A-CG) is used to support the development of tactics, developing the ICS 215-CG, and preparing ICS 204-CGs.</p> <p>a) Identify OSC input needed for SOFR to effectively complete the form.</p> <p>b) Explain how the ICS 215A-CG acts as an input in preparing the Assignment List (ICS 204-CG).</p>	6	D E F J L		
<p>K-13. Explain the SOFR role in vehicle inspections, driver / operator qualifications and equipment records.</p>	6	B L		
<p>K-14. Explain how the SOFR supports the safety assessment and weather conditions such as: roads, sea state, weather conditions, other hazards.</p>	6	G H K		
<p>K-15. Explain how the SOFR can support the general welfare of incident personnel.</p> <p>a) Operational period length</p> <p>b) PPE Use</p> <p>c) Food and water</p> <p>d) Fatigue</p> <p>e) Work / rest guidelines</p> <p>f) Explain benefits of CISM team and they report to in the ICP</p>	6	H I J K M		



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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
K-16. Define reasonable judgment in the use of emergency authority to stop and correct unsafe acts.	6	H J		
<p>K-17: Identify the SOFR responsibilities and actions to investigate accidents, document findings, and implement immediate changes if required.</p> <p>a) Explain SOFR roles and responsibilities.</p> <p>b) Explain who is involved in the investigation.</p> <p>c) Identify the forms and reports the SOFR may use to document the investigation.</p> <p>d) Discuss how the findings from the investigation are communicated to command.</p>	6	B E H J M		
K-18. List methods to monitor mitigations identified in Hazard / Risk Analysis Worksheet (ICS 215A-CG).	6	A H L		
K-19. Discuss how you can promote an inclusive working environment as well as Command and General Staff cohesion particularly during complex or extended responses.	6	D I O		
K-20. Discuss how to monitor personnel for mental and/or physical fatigue and what methods can be implemented to address these concerns including work/rest ratio and Critical Incident Stress Management (CISM).	6	A H I L		

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
<p>K-21. Discuss locating and following federal standard checklists while understanding basic knowledge of various operations. Discuss the use of Technical Specialists (THSP) and their benefit supplementing the Site Safety Plan (ICS-208-CG) / plans with specific industry safety standards. The following are examples, not all encompassing.</p> <ul style="list-style-type: none"> <li>a) Dive operations</li> <li>b) Salvage operations</li> <li>c) Aviation operations</li> <li>d) Lightering operations</li> <li>e) Hot work</li> <li>f) Chemical transfers</li> <li>g) Heavy equipment operations</li> </ul>	6	B D F G J L M		
<p>K-22. Explain special incident conditions, existing or predicted, that would require technical expertise and identify roles of key technical specialists.</p>	6	A D J K		
<p>K-23. Describe what may make equipment unsafe. The following are examples, not all encompassing.</p> <ul style="list-style-type: none"> <li>a) Loose wires</li> <li>b) Unstable platforms</li> <li>c) Improper equipment use</li> </ul>	6	H J L		
<p>K-24. Discuss the coordination of the development, approval, and implementation of transfer of position duties when incident complexity changes (escalates / de-escalates).</p>	6	B D E F N		

**Performance Qualification Standard (PQS) Workbook for  
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<b>PERFORMANCE TASKS</b>				
<b>TASK</b>	<b>TC</b>	<b>CC</b>	<b>RECORD #</b>	<b>VERIFYING OFFICER'S SIGNATURE</b>
P-1*. Serve as a Safety Officer for an incident.	6	C J		
	3			
	2 1			
P-2*. Plan and activate the Safety Staff Organization. a) Identify workspace requirements and determine locations. b) Brief unit leaders on current and anticipated activity. c) Provide initial operating instructions to section personnel.	6	D F I M		
	3			
	2 1			
P-3*. Demonstrate the ability to implement appropriate staffing of the Safety Staff Organization required for an incident using: a) USCG personnel b) OGA personnel c) Private Sector d) Technical Specialists	6	C F I J		
	3			
	2 1			
P-4*. Gather information necessary to assess incident assignment and determine immediate needs and actions. a) Current and anticipated situation b) Modeling c) Zone restrictions d) Specific safety concerns	6	E F L		
	4			
	3 2 1			

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
P-5*. Coordinate with state/local agencies regarding special concerns. a) Natural hazards b) Technical hazards c) Human-related hazards	6	D L M O		
	4			
	3			
	2 1			
P-6*. Interact and coordinate with command staff, general staff, and appropriate unit leaders. a) Receive and transmit current and accurate information. b) Communicate changes to the Incident Action Plan (IAP) or relevant plans. c) Inform appropriate team personnel of significant changes in operations. d) Ensure the Resources Unit Leader (RESL) is advised of changes in status of resources assigned to the operation. Keep status current. e) Provide Situation Unit Leader (SITL) operational status.	6	D E F J M O		
	3 2 1			
P-7. Attend Command and General Staff Meeting and obtain briefing from Incident Commander. a) Incident Commander's priorities, goals, and objectives for IMT and the incident. b) Instructions concerning the tasks expected of the Safety Officer. c) Expected timeframes for briefings, planning meetings, and team meetings. d) Clear understanding of safety officer and assistant safety officer authorities.	5 4 3 2 1	D E J I M		

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
<p>P-8. Demonstrate how to interact and coordinate with command staff, general staff and unit leaders.</p> <p>a) Receive and transmit current and accurate information.</p> <p>b) Communicate changes to the IAP and relevant plans.</p>	6	D E F G I M		
<p>P-9*. Review all applicable incident documentation is completed as required by the incident.</p> <p>a) IAP.</p> <p>b) Unit Log (ICS 214-CG).</p> <p>c) Incident Status Summary (ICS 209-CG).</p> <p>d) Resource Requests (ICS 213RR-CG).</p> <p>e) Work Assignment (ICS 204-CG).</p> <p>f) Operational Planning Worksheet (ICS 215-CG).</p> <p>g) Air Operations Summary Worksheet (ICS 220-CG).</p> <p>h) Work Analysis Matrix (ICS 234-CG).</p> <p>i) Performance evaluations (ICS 225-CG) for Operations Section staff when demobilized.</p>	6	B F G I J M		
	3 2 1			
<p>P-10*. Provide for the safety, welfare, and accountability of assigned personnel during the entire period of supervision.</p> <p>a) Recognize, mitigate, and communicate potentially hazardous situations.</p> <p>b) Monitor condition of assigned personnel.</p>	6	E H I L M		
	4 3 2 1			

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
P-11. Ensure subordinates understand assignment for operational period and authorities given. a) Provide clear, concise instructions and allow for feedback. b) Authority to stop unsafe operations as applicable.	6	D E I J		
P-12. Determine appropriate required Personal Protective Equipment. a) Ensure to consult with needed Technical Specialists to ensure operations are conducted safely.	6	D J K L		
P-13. Demonstrate how to communicate deficiencies immediately and take corrective action.	6	E I M		
P-14*. Prepare a Site Safety Plan (ICS 208-CG) and forward to the Planning Section Chief.	6	F G H J L		
	3 2 1			
P-16*. Prepare and present safety briefings. a) Each operational period as required. b) Information to alert incident personnel of potential risk / hazard considered to be most critical.	6	G H L		
	4 3 2 1			

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<b>TASK</b>	<b>TC</b>	<b>CC</b>	<b>RECORD #</b>	<b>VERIFYING OFFICER'S SIGNATURE</b>
P-17*. Prepare Hazard / Risk Analysis Worksheet (ICS 215A-CG) for each operational period.	6	B F		
a) Identify risks / hazards with the highest potential for serious accident or injury	3 2 1	J L		
P-18. Prepare reports as needed.				
a) Number of injuries and accidents.	5	B		
b) General safety situation and problems encountered.	4	E		
c) Description of significant incidents or unsafe situations.	3	G		
d) Recommendations for corrective action.	2 1	H J L		
P-19*. As a SOFR, prepare for and participate in the Tactics Meeting.	6	B		
a) Perform SOFR role in the Tactics Meeting.	3	D		
b) Prepare ICS 215A-CG.	2 1	E J		
P-20*. Participate in the Planning Meeting.	6	B		
a) Perform SOFR role in the planning meeting.	3	D		
b) Share safety concerns and mitigation strategies at the Planning Meeting.	2 1	E J		
P-21*. Participate in the Operations Briefing.	6	B		
a) Perform SOFR role in the Operations Briefing.	3 2 1	D E J		

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
P-22*. Identify, establish communications, and maintain positive working relationships with appropriate federal, state, local, tribal, territorial, cultural, historical, and private sector stakeholders including the command and general staff.	6	D E G H		
	4 3 2 1			
P-23. Assist in development and implementation of key Strategic Plans (e.g., evacuation, contingency, demobilization).  a) Coordinate with Planning Section.	5 4 3 2 1	A D E F G H O		
P-24. Demonstrate how to brief the IC/UC on CIRs or essential impacts that result from the incident. Report special events (e.g., incidents within an incident, accidents, political contacts, property loss or damage, tactics issues/successes). Include standard information:  a) Nature of event b) Location c) Magnitude d) Personnel involved (do not release names of victims or agency over radio) e) Initial action taken	6	D E G J L M		
P-25*. Identify safety hazards and mitigation strategies with the Operations Section Chief (OSC) and document	6	D G J L		
	3 2 1			



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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
<p>P-26*. Implement a Site Safety Plan (ICS 208-CG).</p> <p>a) Ensure hazards and risks are identified and adequately monitored.</p> <p>b) Share with the Incident Commander and incident staff.</p> <p>c) Ensure any changes in incident hazards/risks with relevant corrective actions are reflected in the site safety plan messages, and / or safety briefings as appropriate.</p>	6	B E G H J L		
	3 2 1			
<p>P-27*. Review and approve Medical Plan (ICS 206-CG) as appropriate.</p> <p>a) Monitor plan to ensure it addresses current status of incident.</p>	6	B F L		
	3 2 1			
<p>P-28. Coordinate inspection of equipment and personal protective equipment (PPE) to ensure it is in appropriate working order.</p>	6	J K L		
<p>P-29. Identify and document unsafe conditions using a Unit Log (ICS 214-CG) and communicate this information as appropriate.</p>	6	B J K L		
<p>P-30. Document identified deficiencies.</p> <p>a) Food and potable water supplies.</p> <p>b) Vehicle / mechanical equipment.</p> <p>c) Driver / operator qualifications. Hazards / unsafe conditions.</p> <p>d) Sanitation issues.</p>	6	B F H I J L		

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
P-31. Demonstrate how to conduct periodic inspections of incident facilities. a) Food and sanitation conditions. b) Potable water sources, hauling and storage containers.	6	J L M		
P-32. Demonstrate how to conduct an accident investigation and initiate follow-up action as appropriate.	6	H I J M		
P-33. Review incident Demobilization Plan to ensure work / rest guidelines are addressed. a) Brief staff on demobilization procedures and responsibilities. b) Ensure incident and agency demobilization procedures are followed. (e.g., work, rest, communication, and travel guidance). c) Document follow-up action needed and submit to supervisor. d) Explain what else should be addressed in the Demobilization Plan.	6	B F N		
P-34*. Demonstrate a complete relief process. a) Brief incoming SOFR b) Inform assigned resources and command staff. c) Prepare ICS 225-CG evaluations for all staff. d) Submit your ICS-225-CG to your supervisor for review and performance feedback. e) Document follow-up action needed and submit to supervisor. f) Debrief safety staff (ASOFs and THSP as necessary).	6	B D F G J M N		
	3 2 1			

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TASK	TC	CC	RECORD #	VERIFYING OFFICER'S SIGNATURE
P-35. Participate in briefings and debriefings. a) Hotwash b) Lessons learned c) Help prepare an After-Action Report (AAR).	6	D F J N O		

\* *The asterisk notes that the designated task must be completed during two different incidents / events or during an exercise. A classroom exercise (e.g., 320, 420, or other IMT or position-specific course) can only be used once and the trainee must have specifically filled the SOFR role to obtain credit. The trainee must have both occurrences recorded.*

**Performance Qualification Standard (PQS) Workbook for  
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<b>SOFR3 RECORD OF COMPLETION</b>		
<b>COMPETENCY REQUIREMENTS</b>	<b>DATE</b>	<b>ICS COORDINATOR'S SIGNATURE</b>
<b>A. Completion of Training Courses:</b> <input type="checkbox"/> ICS-300 Intermediate ICS for Expanding Incidents <b><u>and</u></b> <input type="checkbox"/> ICS-400 Advanced ICS Course, <b><u>and</u></b> HAZWOPER Awareness level training <b><u>and</u></b> <input type="checkbox"/> ICS-404 Safety Officer Course <b><u>or</u></b> <input type="checkbox"/> E/L 0954 All Hazards Safety Officer Course		
<b>B. Completion of Prerequisite Qualifications by the USCG or another agency:</b> <input type="checkbox"/> ICS Activation and Deployment <b><u>and</u></b> <input type="checkbox"/> Division/Group Supervisor (DIVS) <u>Recommended – Not Required</u> <input type="checkbox"/> N/A		
<b>C*. Verification of Prerequisite Experience:</b> <input type="checkbox"/> Served as SOFR in a drill, exercise, or actual response or assigned as SOFR on an IMT.		
<b>D. Verification of Professional / Technical Licenses and Certifications:</b>	<b>N/A</b>	<b>N/A</b>
<b>E. Completion of SOFR3 PQS workbook tasks.</b>		
<b>F. Satisfactory completion of oral board.</b>		
<b>F.1. Oral board composition:</b> <i>List each board member by Rate/Rank, Name, and Unit.</i>		
<b>G. Signed and electronically routed appropriate documentation to Qualifying Official.</b>		

Performance Qualification Standard (PQS) Workbook for  
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**U.S. COAST GUARD  
ICS QUALIFICATION RECORD**



THIS PAGE VERIFIES TRAINEE'S QUALIFICATION IN THE COMPETENCY OF  
**SAFETY OFFICER (SOFR3)**

TRAINEE: \_\_\_\_\_ RATE/RANK: \_\_\_\_\_ EMPLID: \_\_\_\_\_

**ICS COORDINATOR'S RECOMMENDATION**

I verify \_\_\_\_\_ has satisfactorily completed all competency requirements, has demonstrated the capability to perform in the position of Safety Officer Type 3, and is thereby recommended for qualification.

**ICS COORDINATOR**

NAME: \_\_\_\_\_ RATE/RANK: \_\_\_\_\_ UNIT: \_\_\_\_\_

EMAIL: \_\_\_\_\_ PHONE: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

**QUALIFYING OFFICIAL'S ISSUANCE OF  
U. S. COAST GUARD ICS QUALIFICATION**

I affirm \_\_\_\_\_ has met all competency-related requirements and is now issued the Safety Officer Type 3 qualification. The Trainee is hereby authorized and confirmed capable of assuming this position-specific role in a Type 3 incident or event and carrying out the position responsibilities as detailed in the U.S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17 (series) and the National Qualification System (NQS). This qualification meets and/or exceeds National Incident Management System (NIMS) standards. It is valid unless revoked.

**QUALIFYING OFFICIAL**

NAME: \_\_\_\_\_ RATE/RANK: \_\_\_\_\_ UNIT: \_\_\_\_\_

EMAIL: \_\_\_\_\_ PHONE: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

*This ICS Qualification Record shall be provided to the Trainee's Administrative Office or appropriate equivalent to enter the awarded competency in the correct system of record. Trainee is responsible for maintaining competency currency per CG-OEM's ICS Training Guide.*