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## Emergency Management & Safety Solutions

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Assessment and Planning –  
Two critical Incident Management tools



## Agenda

- Why do companies activate their plans?
- Incident Assessment – all you need to know!
- What is an Incident Action Plan (IAP) and why have one?
- Who does the planning?
- Steps to build an IAP?
- What are SMART objectives?
- Facilitating an action planning meeting.



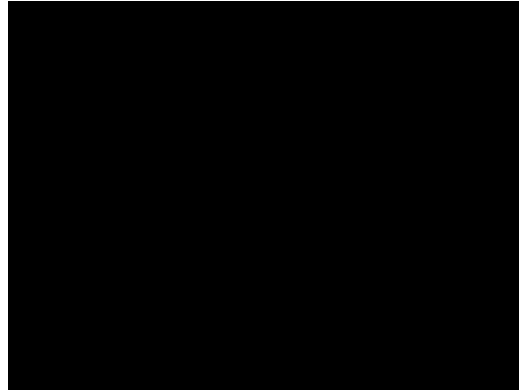
# Plan Activation

- Why do companies activate their plans?





# Assessment & Planning— Always Important



## Initial Assessment Team (IAT)

- Who is on the team?
  - Think back bone assessment (facilities, security, IT, Telecom) and then others depending on risks
- IAT assignment
  - Conduct initial assessment
  - Review the criteria and escalation strategies for plan activation – determine activate plan, yes or no
- How do they work together?
  - How are they connected? Communication tools
  - Conference bridge - virtual team at first?
  - Where do they physically meet?
- Any of the members can activate the plan and the team.

## IAT Process

- Does incident meet activation criteria?
  - Yes
    - Activate the EOC and the team
  - No
    - Should the situation be monitored?
      - Yes, who on the IAT is in charge of monitoring, when is the next briefing and where?
      - No, follow-up using standard business practices.

## Activation Criteria

- Who is impacted?
  - Corporate headquarters –
  - Executives/Employees/Board Members
  - Clients
  - The organization's reputation
- What is the impact?
- What is the nature of the event?
- Rank the event 0 - 3



## Example of Emergency Levels

- **Level 0:** An emergency that is handled as BAU. Examples would be a medical emergency or a short term building evacuation.
- **Level 1:** An emergency that is **limited in scope** and can be addressed by the normal response of of the organization. Examples would include a minor fire or a temporary power outage.
- **Level 2:** An emergency that is **moderate to severe** in scope. Examples would include a moderate fire that closes parts of a building, a moderate earthquake with some damage.
- **Level 3:** A **catastrophic disaster** that has severely damaged a mission critical facility requiring relocation of staff and business processes and/or severe disruption of services at that facility



## Initial Discussion

- The first discussion is on the type of event and its likely impact to the company location or staff:
  - Is this a local event? Example: limited power outage, fire
  - Is this a regional event? Example: flooding, earthquake
  - Is this a national event? Example 9/11
  - Is this an international event that spreads across countries or regions? Example: Tsunami, flooding, typhoons.



# Initial Questions

- Life Safety/ People
  - Are lives in danger? Is there an impact for our people?
  - Is there a life safety issue?
- Facilities
  - Is a COMPANY facility at risk?
- Technology
  - Is there a disruption of technology services (e.g., telecom, network, data center)?
- Business - Financial
  - Does the event impact our customers?
  - Does the situation have a significant financial impact for the COMPANY?
- Your Company Reputation / Brand / Mission Critical Activities
  - Does the event have a reputation impact for the COMPANY?
  - Does the situation have a significant impact for customers?



# Activation Matrix

Stakeholder	Life Safety/People	Facility	Technology	Financial	Brand
Company					
City					
Region (e.g. EQ, flood)					
Nation (e.g. 9/11)					
International event (e.g. Tsunami)					

## What is an Incident Action Plan?

- An IAP contains:
  - Overall incident status / strategy
  - Specific strategic objectives and any necessary supporting information
  - Assignment of responsibility for each objective
  - Next operational period.
- The Plan may be oral or written (ideally written).
  - When written, the Plan may have a number of forms as attachments

## Why have an IAP?

- The six C's
  1. Command
  2. Control
  3. Collaboration
  4. Coordination
  5. Communication
  6. Consistency



## Who does the planning?

- If you use the Incident Command System (ICS):
  - IC, team leaders (or section chiefs), other SME as necessary, BCP manager
- If you use another methodology:
  - Designed person in charge, SME as necessary, BCP manager

## What Are The Priorities?

- What are your priorities?  
They most commonly include:
  - Life safety
  - Incident stabilization
  - Property and equipment preservation
  - Return to business as usual



## Steps to Build an IAP

1. Assess the incident situation – report the current status of the event.
2. Establish strategic incident objectives. Ensure that necessary resources are available to complete the tasks.
3. Assign all objectives (to a team or individual).
4. Determine the operational period.
5. Communicate the plan to all identified stakeholders.

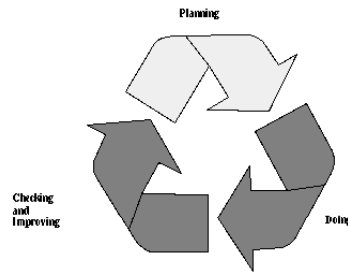
## Assess/Report Incident Situation

- If it is the first IAP, it is the initial report and assessment.
- If subsequent IAP, it is the latest updates.
- Need those who are most knowledgeable of the situation involved in the IAP.



## Establish Objectives

- Establish strategic incident objectives
  - Set overall objectives and priorities.
  - Ensure that necessary resources are available to complete the tasks.



## Objective Criteria Test

- Make good sense (feasible, practical, and suitable).
- Be within acceptable safety norms.
- Be cost effective.
- Be consistent with sound environmental practices.
- Meet political considerations.
- Consider alternative strategies that may be employed.

## What are SMART objectives?

- Objectives are active using strong verbs.
- Use action verbs.
  - Action verbs are observable and better communicate the intent of what is to be attempted.
  - Examples include: plan, account, write, conduct, produce, apply, assess, validate, develop, design, respond, etc.

## What are SMART objectives?

- **S**pecific - An objective must be specific with a key result.
- **M**easurable - You should be able to measure whether you are meeting the objective or not.
- **A**ctionable - Does the objective describe an action using strong verbs?
- **R**ealistic - Can you realistically achieve the objective?
- **T**ime - When do you want to achieve the objective?

## Five Most Common “Buckets”

1. People
2. Facilities
3. Technology
4. Mission Critical Activities at Risk
5. Communication
6. If using ICS, always include Finance

## “Buckets” to Focus Objectives

People	Facilities	Technology	Mission Critical Activities	Communication
<ul style="list-style-type: none"><li>• Account for all staff.</li><li>• Determine need for EAP services.</li><li>• Notify emergency contact.</li></ul>	<ul style="list-style-type: none"><li>• Conduct an initial damage assessment.</li><li>• Contact contractors.</li><li>• Appoint a liaison to work with ER responders.</li></ul>	<ul style="list-style-type: none"><li>• Conduct an initial assessment.</li><li>• Reroute main number if unable to reoccupy in 15 minutes.</li></ul>	<ul style="list-style-type: none"><li>• Work with business units to determine what is affected.</li><li>• Once known, what are the immediate work-arounds that can be instituted.</li></ul>	<ul style="list-style-type: none"><li>• Communicate company status with key stakeholders (list here)</li><li>• Update website.</li><li>• Update employee hotline.</li></ul>

## Assign Objectives

- Assign all objectives
  - To a team or individual.



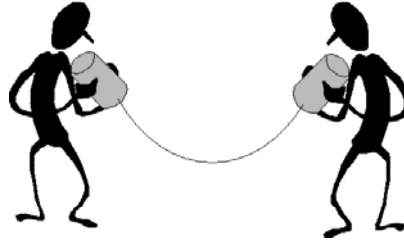
## Determine Operational Period

- Determine the operational period.
  - How long will you work on the objectives before the planning team needs to stop and assess status and progress?



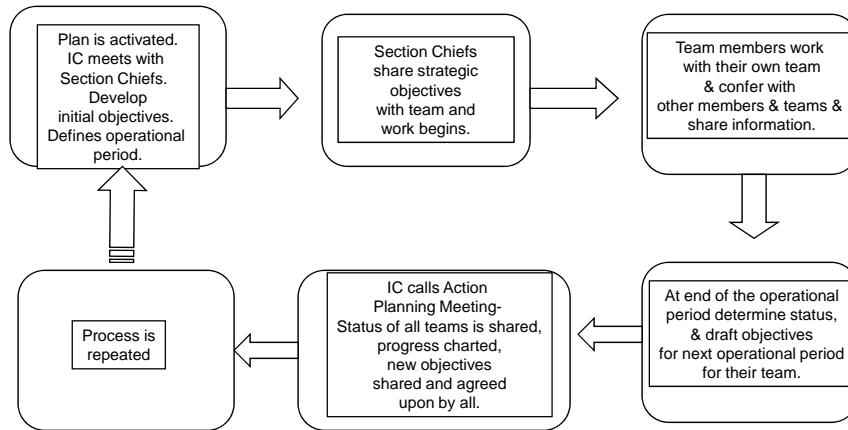
## Communicate the Plan

- Communicate the plan to all identified stakeholders.
  - Who are your key stakeholders?
  - What are the tools?



## What Does the Final IAP Contain?

- Current situation status
- Objectives and assignments
  - People
  - Facilities/Buildings
  - Technology
  - Mission Critical Activities at Risk
  - Communication
- Next Operational Period



# Facilitating an IAP

- Who facilitates? IC, Planning chief (team leader), BCP manager
- Where? Can be virtual or face-to-face.
- Format:
  - Review status – done by the person most knowledgeable about the incident.
  - Review the “five buckets” – what needs to be done for ...make assignments
  - Determine next OP.
- How long? Should be quick – no more than 15 – 20 minutes.

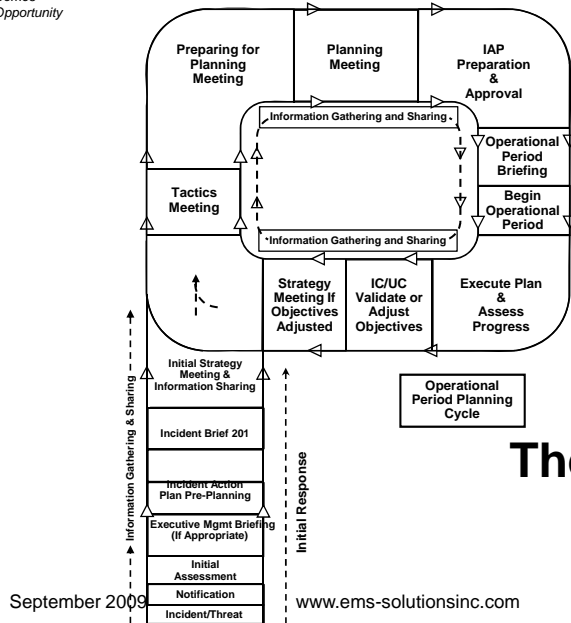
## Attending an IAP Meeting

- What do you need to bring:
  - Status of the event from your perspective
  - Status on assigned objectives
  - New proposed objectives
  - Plan to execute the objectives

## Meeting Rules

- In order for the meetings to be as productive as possible, rules of engagement are necessary:
  - Only invitees speak; others who may attend do so with permission and are not speakers.
  - No mobile phones.
  - No sidebar conversations.
  - No interruptions unless an emergency
  - Try having the meeting with everyone standing, no time is wasted
  - Have the IAP meeting in a quiet room away from distractions
- The IC must set information thresholds and the team leaders must keep to those (with few exceptions).

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## The Planning "P"

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# THANK YOU!

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