Emergency Preparedness Overview for Water System Executives and Managers

Jeffrey Bensch, P.E.
Sierra West Consultants, Inc.

Objectives

- Provide an overview and comparison of the:
    - Standardized Emergency Management System (SEMS)
    - National Incident Management System (NIMS)
    - Incident Command System (ICS)
    - Emergency Operations Center (EOC)
- Identify Key Roles and responsibilities of Elected Officials and Senior Management
- Describe the key concepts and principles
- Understand the benefits

SEMS-ICS-NIMS Integration

- **Standardized Emergency Management System (SEMS)**
  - **California's System**
  - **1991 East Bay (Oakland) Fire**
- **National Incident Management System (NIMS)**
  - **National System based on SEMS**
  - **9/11 2001**
- **Incident Command System (ICS) and is a component of SEMS and NIMS**

Standardized Emergency Management System (SEMS)

Why SEMS?

- 1991 East Bay Hills fire in Oakland
- SB 1841, Petris Bill
- State law CA Govt. Code 8607 (1993)
- Amends CA Emergency Services Act
- *CalEMA is administrative agency*
- *SEMS is a way to manage emergencies*

SEMS — Developed to improve the coordination of state and local emergency response in CA

SEMS Requirements

- **Use of ICS in field operations**

- **Use of Multi / Inter-Agency Coordination**

- **Use of the 5 SEMS functions**

- **Personnel must have designated positions, with supervision, and safely carry out their assignment**

State Law Says...

STATE AGENCIES MUST USE SEMS!

LOCAL GOVERNMENTS ARE STRONGLY ENCOURAGED TO USE SEMS......

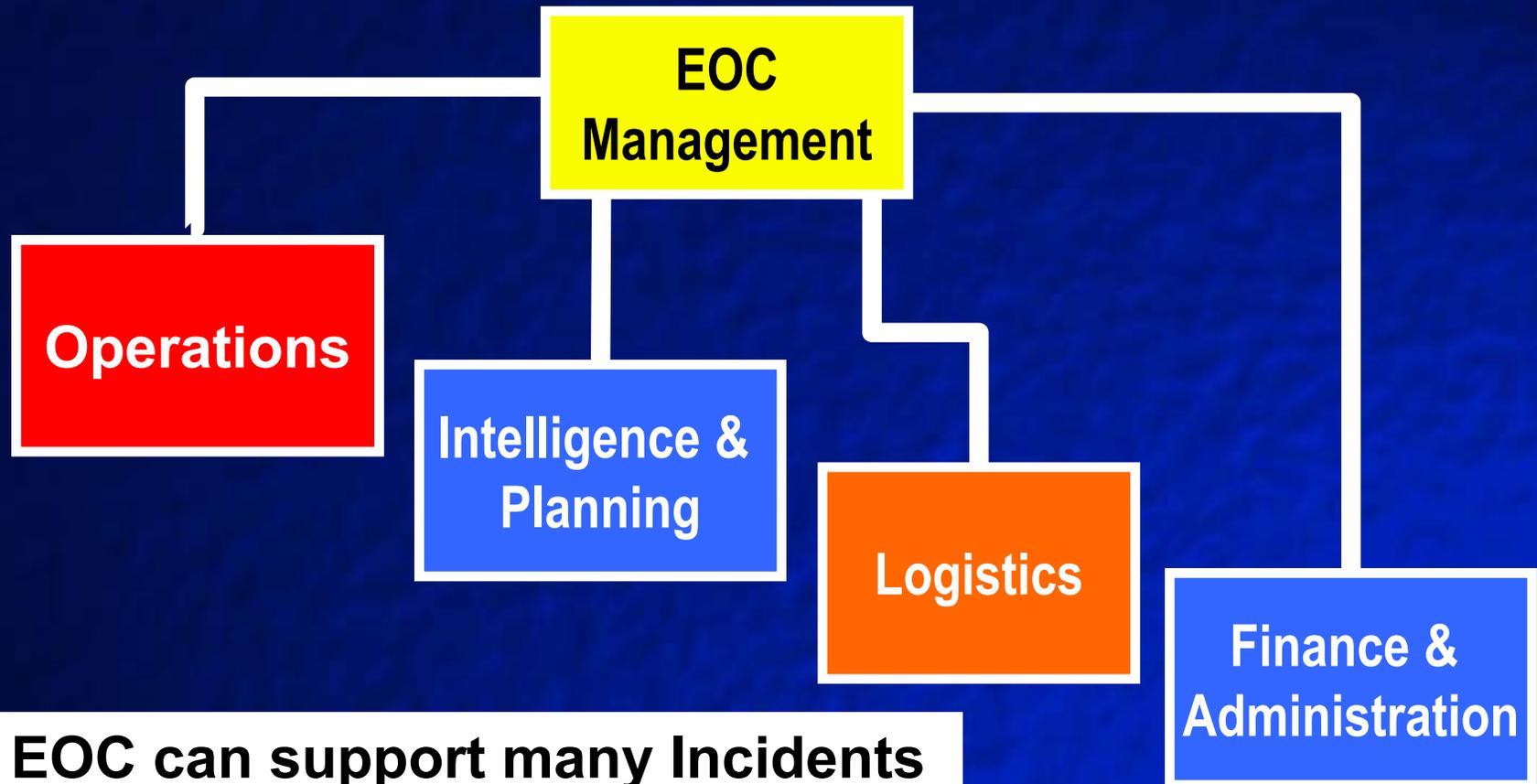**... To be eligible for State funding of RESPONSE RELATED PERSONNEL COSTS!**

SEMS

SEMS Organizational Levels

- *Field Level:* **ICS at the scene**
- *Local Government:* **City EOC**
- *Operational Area:* **County EOC**
- *Regional Level:* **Regional EOC**
- *State Level:* **State EOC**

Emergency Operations Center (EOC)

EOC Organizational Structure

EOC Management

Operations

Intelligence & Planning

Logistics

Finance & Administration

- EOC can support many Incidents
- The EOC has the big picture!!

All disasters begin & end at the local level - Field and EOC

SEMS-NIMS-ICS

Field Response Level

- **Must use ICS**
- **Tactical on-scene response**
- **Establishes and maintains ICPs (Incident Command Posts)**
- **Provides for Unified Command or Area Command**
- **Requests support from the EOC**

Local Government Level (EOC)

Cities, counties & special districts:

- **Manage and coordinate the overall emergency response and recovery activities**

- **Implements local emergency plans & SOPs**

- **Supports field level activity**

- **Requests support from Op Area**

EOC Management

- **Develops policy for the District during crisis**
- **Directs the EOC activity**
- **Overall coordination and support of staff**

SEMS

EOC Management Staffing

- Consider skills that presently exist in your organization
- Place personnel according to their skills into each function
- Have backup personnel for Continuity in Governing

EOC Director ➜	COO, General Manager
Safety & Security ➜	Risk Manager
Public Information ➜	PIO or Public Affairs
Liaison ➜	WUE Manager

EOC Staffing

Operations	➤	**Construction, Water Quality, etc**
Intel/Planning	➤	**Planning, Engineering, others**
Logistics	➤	**General Services, Purchasing**
Finance/Admin	➤	**Finance, Budget, Accounting**

Executive and Elected Officials Roles & Responsibilities

- **Provide policy guidance on priorities and objectives based on situational needs and the Emergency Response Plan.**

- **Resource coordination and support to the on-scene command from the Emergency Operations Center (EOC) or through dispatch.**

Executives/Senior Officials Delegate Command Authority

- **Executives/Senior Officials delegate authority to the designated Incident Commander for on-scene operations.**

- **The Incident Commander has direct tactical and operational responsibility for conducting incident management activities.**

Delegation of Authority

- **Delegation of authority may be in writing (established in advance) or verbal, and include:**
  - **Legal authorities and restrictions.**
  - **Financial authorities and restrictions.**
  - **Reporting requirements.**
  - **Demographic issues.**
  - **Political implications.**
  - **Agency or jurisdictional priorities.**
  - **Plan for public information management.**
  - **Process for communications.**
  - **Plan for ongoing incident evaluation.**

Delegation

of

Authority

Summary: Management Roles

**Incident Commander's /
EOC Director's
Role**

The Incident Commander:
- **Manages the incident at the scene.**
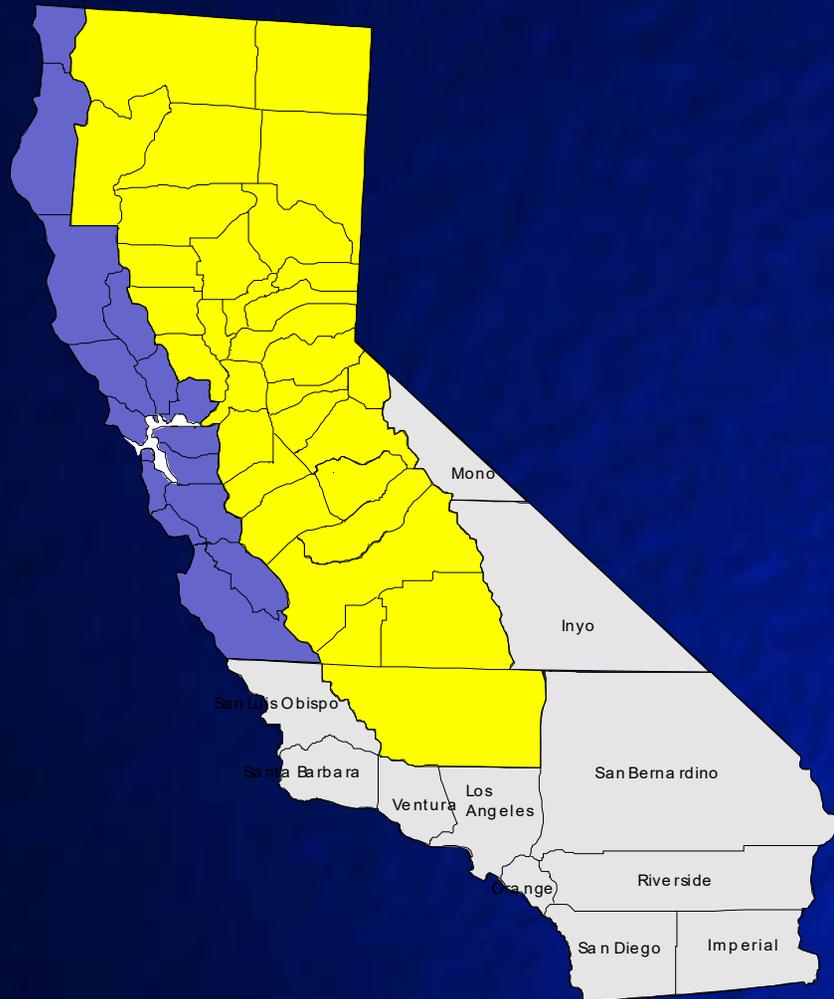- **Keeps the EOC informed on all important matters pertaining to the incident.**

**Agency Executives' /Senior
Officials' Role**

These officials provide the following to the Incident Commander / EOC Director:
- **Policy**
- **Mission**
- **Strategic direction**
- **Authority**

To maintain unity of command and safety of responders, the chain of command must NOT be bypassed.

State Level (OES)

- **Coordinates resources between regions**
- ***Federal response coordination***
- **Communicates with governor and legislature**
- **Implements media policy**

SEMS

Master Mutual Aid Agreements

- **Mutual aid systems form key links when local resources are inadequate**
- *Voluntary & reciprocal agreements among public agencies provide:*
  - *Services*
  - *Resources*
  - *Facilities*

Mutual Assistance Agreements

- **Need local specific**

- **Water Agency Response Network (WARN)**

- **MOU with California Utility Emergency Association (CUEA)**

Interstate Agreements

- **Interstate Civil Defense Compact**
- **Emergency Management Assistance Compact (EMAC)**

Mutual Aid agreements and EMACs help to facilitate the timely delivery of assistance during incidents.

Resources Available to Your Agency

Federal (Depts., Military, States)

State OES - Resources from 58 counties

Region - Resources from 12 counties

Op Area - County Resources

Neighboring Agencies

Your Agency

SEMS

National Incident Management System (NIMS)

NIMS

Why NIMS?

- **NIMS came from SEMS (California)**

- **September 11, 2001**

- **Required by Homeland Security Presidential Directive (HSPD) #5 and HSPD #8**

- **NIMS adoption and training by Sept. 30, 2006 for local governments**

- **Other requirements at a later date**

- ***NIMS is applicable at all jurisdictional levels***

NIMS — A comprehensive, national approach to incident management developed to improve the coordination of federal, state and local emergency response nationwide

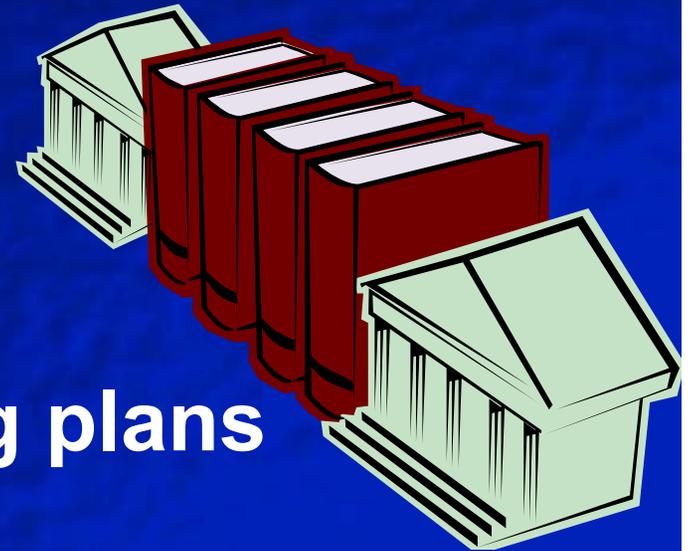# Lessons Learned

Lessons learned show the need for:

- **Coordination and cooperation among all responding agencies**
- **Standardization of organization, resources and terminology**
- **Interoperability and compatibility**

The White House, Homeland Security and FEMA on the scene.

Federal Directive Says

- **Federal agencies must use NIMS**
- **State, local and tribal governments must comply with NIMS to receive federal (grant) funding**
- **Adopt NIMS by resolution**
- **Train District staff**
- **Integrate NIMS into existing plans**

National Response Framework (NRF)

- **Establishes a comprehensive, national, all-hazards approach to domestic incident response**

- **Presents an overview of key response principles, roles, and structures that guide the national response**

- **Includes the Core Document, Annexes, and Partner Guides**

NIMS Components

NIMS incorporates standard emergency management practices and processes, such as:

- Command & Management
- Preparedness
- Resource Management
- Communications & Information Management
- Supporting Technologies
- Ongoing Management & Maintenance

NIMS Standardized Organizational Structure

- **Incident Command System (ICS)**
- **Multi-agency Coordination**
- **Public Information Systems**

NIMS Standards

Processes, procedures and systems for:

- **Training**
- **Resource Management**
- **Personnel Qualification and Certification**
- **Technology Support**
- **Communications & Information Management**
- **Continuous system improvement to ensure consistency among all responders**

NIMS: What It Is/What It's Not

NIMS is:

- **A flexible framework of:**
    - Doctrine
    - Concepts
    - Principles
    - Terminology
    - Organizational Processes

- **Applicable to all emergencies and jurisdictions**

NIMS is not:

- **An organizational incident management plan**

- **A resource allocation plan**

- **A terrorism/WMD specific plan**

- **Designed to address international events**

NIMS & Institutionalizing ICS

Government officials must:

- **Adapt ICS through resolution/ordinance as the agency's official incident response system**
- **Direct that incident managers and responders train, exercise and use ICS**

Ensure that:

- *ICS is integrated into functional and system-wide emergency operations policies, plans and procedures*
- *ICS training is conducted for responders, supervisors and command-level officers*
- *ICS-oriented exercises are conducted that involve responders from multiple disciplines and jurisdictions*

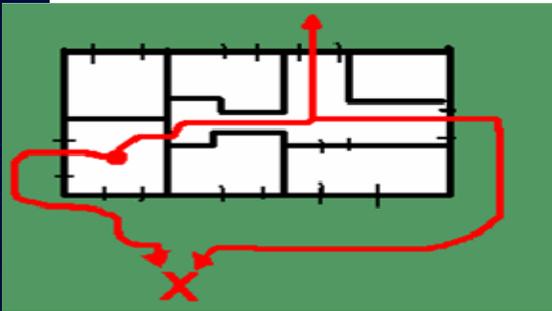# NIMS Integration Center (NIC)

- **Overall implementation of NIMS**
- **NIMS review and refinement**
- *National-level preparedness standards*
- *Training requirements/approved courses*
- *Approve equipment lists meeting national standards*

Preparedness (1)

Preparedness is a key phase of the emergency management cycle. Through preparedness, jurisdictions take actions to prevent, mitigate, respond to and recover from emergencies.

Preparedness (2)

- **Actions to establish and sustain levels of capability**

- **NIMS focuses on guidelines; protocols; standards for planning, training, qualifications, and certification; and publication management**

- **California has been using most NIMS elements for years.**

- **Requires a unified approach – all sections of a district working together**

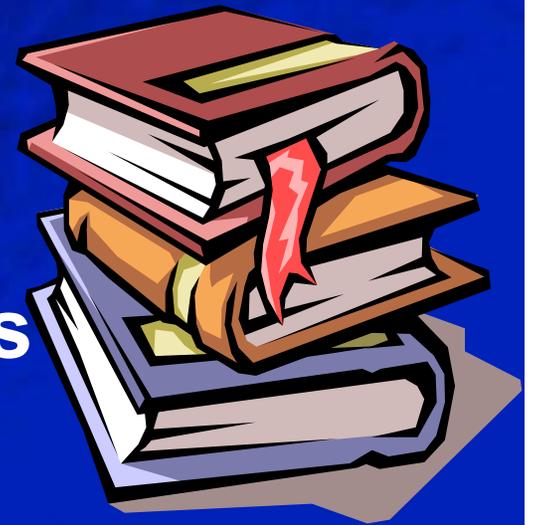# Responsibilities of Preparedness Organizations

Variety of committees, planning groups and other organizations that establishes, coordinates and integrates:

- **Plans & protocols**
- **Activities & programs**
- **Interoperability guidelines & protocols**
- **Multi-agency coordination systems**
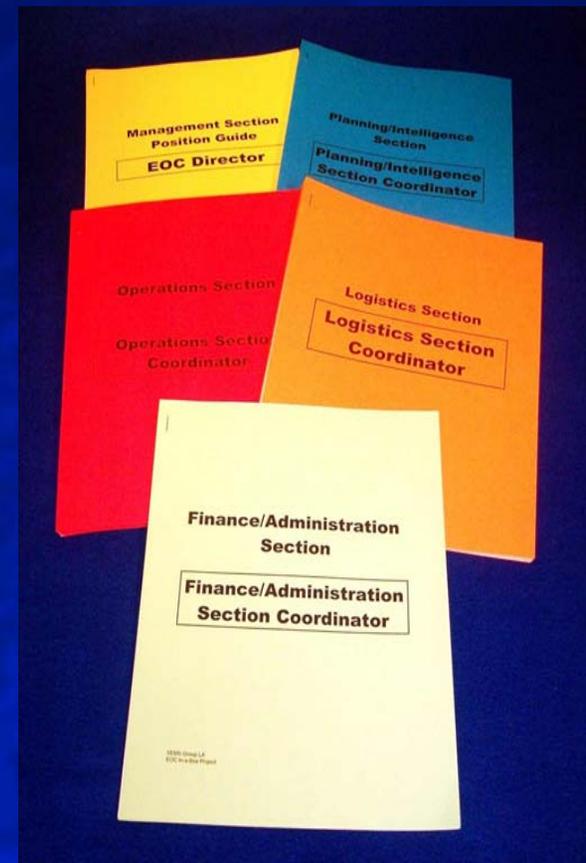- *Guidelines, protocols & priorities for resource management*

Preparedness Planning

Local emergency plans describe:

- **How resources will be used**
- **How priorities are set**
- **The integration of entities & functions**
- **Establishment of responder relationships**
- **How systems support**

  incident management activities

Types of Plans

- **Emergency Response Plan**
- **Mutual Aid Agreements/Plans**
- **Procedures (SOPs)**
- **Emergency Preparedness**
  - **Training**
- **Recovery**
- **Debriefing Plans/ Corrective Action Plans**
  - **Lessons learned from incidents**
- **Hazard Mitigation Plans**

Training & Exercises

- **Facilitate use of:**
  - **National standards, guidelines & personnel protection**
  - **Modeling & simulation**
- **Define general training requirements**
- **Establish approved courses**
- **Review / approve discipline specific courses**

Personnel & Equipment Qualifications & Certifications

- **Development of national certification and credentialing standards including:**
  - **Training**
  - **Experience**
  - **Currency requirements (how often)**
  - **Physical and medical fitness**
- **Equipment certifications: national equipment standards, guidelines and protocols**

Incident Command System (ICS)

Why ICS?

- **Fall 1970 California statewide fires**
- *FIRESCOPE was organized (federal, state and local fire services) and developed ICS*
- *ICS always used in the field*
- *ICS is a proven system*
- *ICS is based on "best" or successful business practices* to ensure:
  - **Safety of first responders and others**
  - **Achievement of tactical objectives**
  - **Efficient use of resources**

ICS provides the mechanics for coordinated and collaborative incident management

ICS Purposes

Using management best practices, ICS helps to ensure:

- *The safety of responders and others*
- The achievement of tactical objectives
- The efficient use of resources
- Cost effectiveness (avoiding duplication of efforts)

How ICS is Used

- **To manage all types of incidents**
    - **Fires, hazmat, earthquakes, acts of terrorism and multi-casualty incidents**
    - ***Parades, celebrations and concerts (a viable application for ICS)***
    - **Private sector emergency programs**
- **Works well for:**
    - **Small, large and complex incidents**
    - **Single or multiple agency or jurisdiction incidents**
    - **Wide-area search and rescue**

ICS Features (1)

- **Common Terminology & Clear Text**
- **Modular Organization**
- **Management by Objectives**
- **Reliance on an Incident Action Plan**
- **Manageable Span of Control**
- **Pre-designated Incident Locations and Facilities**
- **Resource Management**

ICS Features (2)

- **Integrated Communications**
- **Chain of Command & Unity of Command**
- **Unified Command**
- **Transfer of Command**
- **Accountability**
- **Mobilization / Demobilization**
- **Information and Intelligence Management**

Common Responsibilities (1)

Mobilization:

- **Be dispatched from your agency**
    - ▪ **Do NOT "Self Dispatch" to an incident**
- **Receive a deployment briefing**
- **Bring any specialized supplies or equipment you need to do your job or are requested to bring**
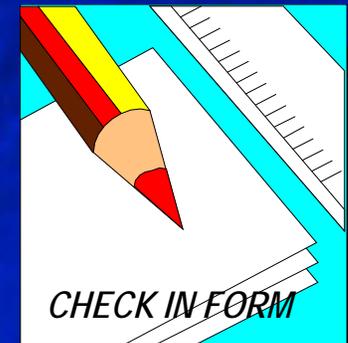
Common Responsibilities (2)

At the Incident:

- *Check-in*
    - **Follow check-in procedures when you arrive**
    - ***Provides accountability for all personnel***
    - ***Helps locate personnel in the event of an emergency***
    - **Provides a way to track resources**
    - **Prepares personnel for assignments and reassignments**
    - **Helps in organizing for demobilization**

CHECK IN FORM

Common Responsibilities (3)

Individual Accountability:

- **Maintain orderly chain of command, unity of command and take direction from a single supervisor**

- **Communicate potential hazards and changing conditions using clear text and Plain English**

- **Act professionally and avoid or report prohibited activities such as:**
  - **Sexual harassment or discrimination**
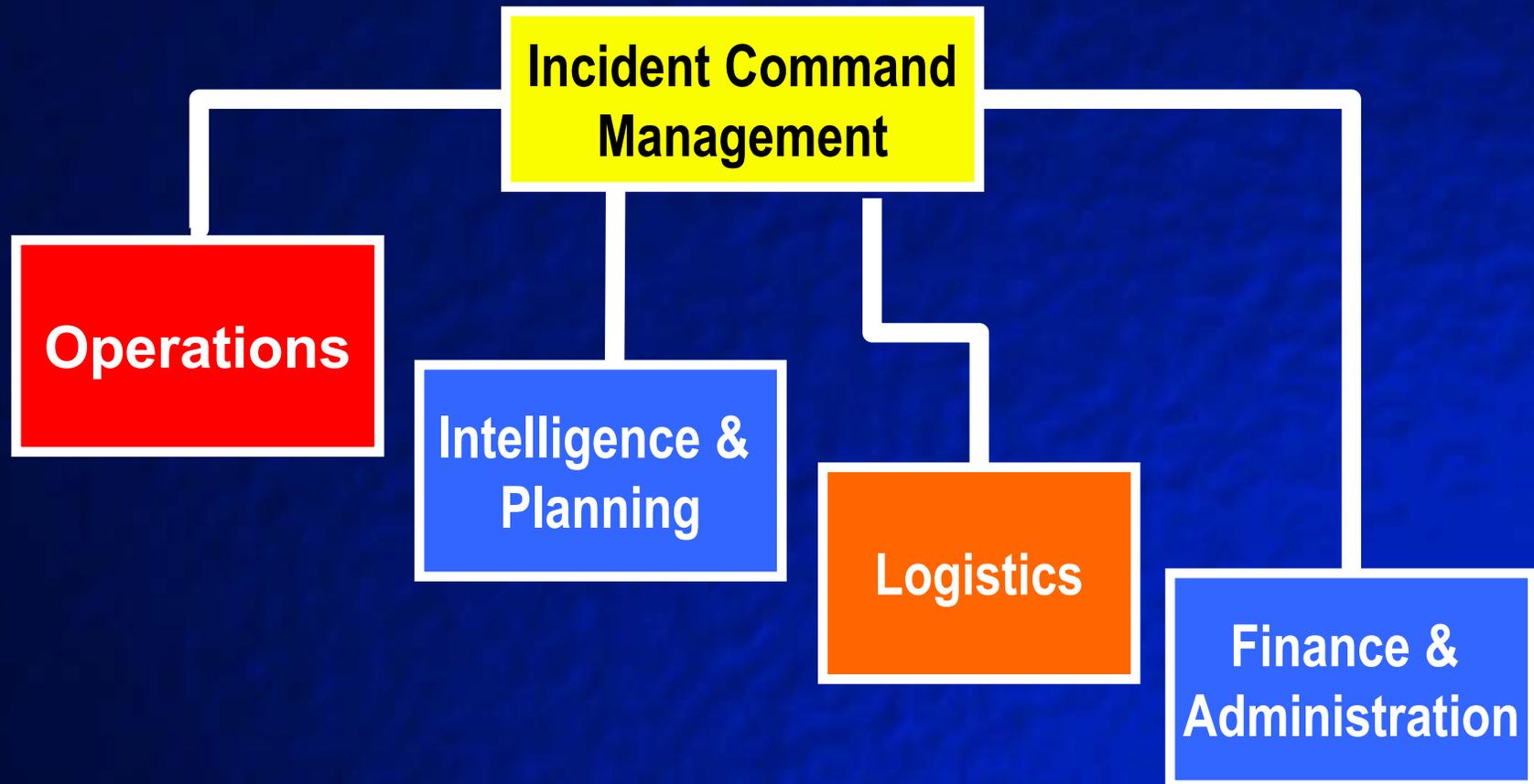 - **Use of illegal drugs or alcohol**

Common Terminology

- **ICS requires the use of common terminology. Common terminology helps to define:**
  - **Organizational functions.**
  - **Incident facilities.**
  - **Resource descriptions.**
  - **Position titles.**

This is Unit 1, we have a 10-37, Code 2.

SEMS-NIMS-ICS

Organizational Flexibility
Modular Organization

Incident Command Management

Operations

Intelligence & Planning

Logistics

Finance & Administration

Management by Objectives (MBO)

Objectives Identified:

- **Flexible**

- **Measurable**

- **Attainable**

- **Specific time frames**

Communicated to the organization via the Action Plan (field or EOC)

Action Planning

- **At every incident & in the EOC**
- **Objective driven**
- **Establishes accountability**
- **Eliminates redundancy**
- **Led by Planning Section**

Incident Action Plan (1)

- **Verbal or written plan for each incident and each operational period and includes:**
    - *Measurable strategic / tactical objectives for operational & support activities in a specified timeframe*
        - *Actions based on objectives*
        - **Developed by the Incident / Unified Commander**
    - **Activated elements (organization)**
    - *Management By Objectives for response tactics*

Incident Action Plan (2)

- **Communication document**
- **Shared with all supervisors**
- **Flexible**
  - **Incorporate lessons learned as incident progresses**
- **Developed by Planning Section**

Basically, an Action Plan addresses:
- *WHAT needs to be done?*
- *WHO will do it?*
- *WHEN will it get done?*
- *HOW will it get done? (resources to get job done)*
- *HOW do we communicate the information?*
- *Other "NEED TO KNOW" information*

Organizational Unity, Consistent Hierarchy and Chain of Command

- **Organizational Unity**
  - *Every individual within an organization has one designated supervisor*
- **Consistent Hierarchy**
  - **Span of Control is used and there are clear lines of authority within the organization**
- **Chain of Command**
  - **All elements in each level are linked together to form a single organization within span of control limits**

Resource Management Concepts*

- **Standardized identification**
- **Classified by type & kind**
- **Allocation & tracking**
- **Credentialing system**
- **Use of private & NGO resources**

* Under development by SEMS

Communications / Information Management (1)

Identifies requirements and common operating systems for:

- **Communications plans and interoperability standards**

- **Information management**

  - **Gathering, sharing and managing incident related information and intelligence within and across jurisdictions**

  - **Ensures consistency at all levels, including private sector and non-governmental entities**

  - **Formulating and disseminating indications and warning**

ICS Titles and Positions

- **Primary ICS responsibilities have distinct titles because it:**
  - ▪ **Allows for filling ICS positions with the most qualified individuals rather than by rank**
  - ▪ **Is useful when requesting qualified personnel**
  - ▪ ***Provides a common standard for all users***
- **When personnel are selected for ICS positions, the following is taken into consideration:**
  - ▪ ***Personnel background and experience***
  - ▪ ***Training***
  - ▪ ***Kind and size of emergency***
  - ▪ ***Agency policy***
  - ▪ ***Qualifications and certifications***
  - ▪ ***Disciplines involved***

Field Organizational Levels & Titles

Organizational Level

- Incident Commander
- Command Staff
- General Staff/Section
- Branch
- Unit

Title

- Incident Commander
- Officer
- Section Chief
- Director
- Leader

The term "supervisor" is only used in the Ops Section

Managing Public Information

The **Public Information Officer**:

- **Represents and advises the Incident Command.**

- **Manages on-scene media and public inquiries.**

The **Joint Information Center (JIC)** is a physical location used to coordinate:

- **Critical emergency information.**
  - **Crisis communications.**
  - **Public affairs functions.**

Speaking With One Voice

- **Executives/Senior Officials must coordinate and integrate messages with on-scene Public Information Officers and other agencies.**

- **A Joint Information System (established procedures and protocols) is used to help ensure coordination of messages.**

Leadership

- **Most importantly, Executives/Senior Officials provide leadership.**

- **Leadership means . . .**

    - **Motivating and supporting trained, on-scene responders so that they can accomplish difficult tasks under dangerous, stressful circumstances.**

    - **Instilling confidence in the public that the incident is being managed effectively.**

Questions?