

Incident Command and Incident Management Overview

Nicole Cantrell
Manager of Emergency Management





Objectives

- By the end of this presentation, the participant will:
 - Discuss Incident Command System and the benefits of using ICS to manage incidents
 - Understand how general Incident Command principles apply to Nursing Homes, Long Term Care Centers and other healthcare organizations
 - Understand Command and General Staff roles and responsibilities during any incident



What is an Incident?

An incident is . . .
. . . an occurrence, caused by either human or natural phenomena, that requires response actions to prevent or minimize loss of life, or damage to property and/or the environment.





Incident Timeframes

How long will a complex incident last?

How long do we need to be self-sufficient?

How will you know that the incident is over?



So what if...

An incident has occurred within my agency or in our community -

- What can my agency do to more effectively manage incidents?
- What tools are available to assist my leadership and staff in understanding their roles during an emergency?
- How is a large response among multiple entities coordinated?



What is ICS?

- A standardized approach to incident management; able to manage all types of emergencies, routine or planned events, by establishing a clear chain of command.
- ICS ensures
 - Safety of responders and others
 - Achievement of tactical objectives
 - Effective use of resources
 - Integrated response structures
 - Coordinated incident response



ICS Benefits



- Meets the needs of incidents of any kind or size.
- Is flexible and adaptable, based on your agencies needs
- Allows personnel from a variety of agencies to meld rapidly into a common management structure.
- Provides logistical and administrative support to operational staff.
- Is cost effective by avoiding duplication of efforts.



Legal Basis for ICS

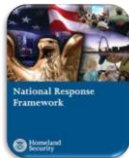
HSPD-5

Management of Domestic Incidents

HSPD-8

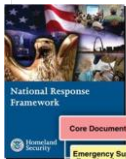
National Preparedness

Mandates





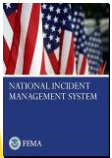
National Response Framework (NRF)



- Establishes a comprehensive, national, all-hazards approach to incident response.
- Presents an overview of key response principles, roles, and structures that guide the national response.
- Includes core documents, annexes, and partner guides.
- Replaces the National Response Plan.



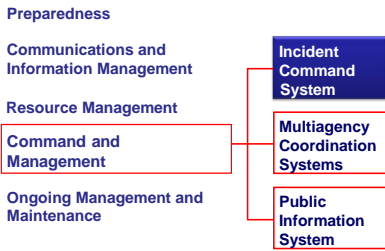
National Incident Management System



- **What?** . . . NIMS provides a consistent nationwide template . . .
- **Who?** . . . to enable Federal, State, tribal, and local governments, the private sector, and nongovernmental organizations to work together . . .
- **How?** . . . to prepare for, prevent, respond to, recover from, and mitigate the effects of emergencies regardless of cause, size, location, or complexity . . .
- **Why?** . . . in order to reduce the loss of life and property, and harm to the environment.



NIMS Components



NIMS is NOT ICS – ICS is a tool of NIMS



Incidents Managed using ICS



- Agency response to internal emergency
- Fire - structural and wildland
- Natural disaster response
- PH Disease outbreaks
- Hazardous materials incidents
- National Special Security Events, such as Presidential visits or the Super Bowl
- Other planned events, such as parades or demonstrations
- Meetings and conferences



Basic Management Principles

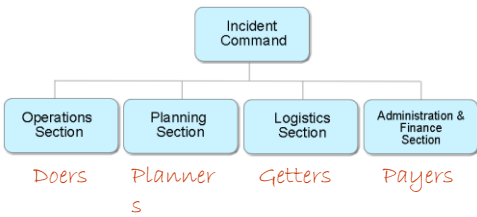
Basic ICS Principles

- Planning
- Organizing
- Communicating
- Evaluating
- Directing
- Coordinating
- Delegating





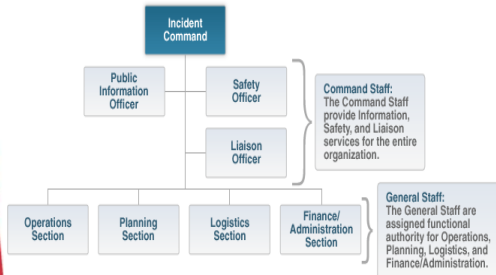
Five Major Functions of ICS





Incident Command Support

Command and General Staff



Each Command Staff position under the Incident Commander is called an Officer, each General Staff position is called a Section Chief



COMMAND STAFF ROLES



Incident Commander

- Overall decision making authority
- Only position always activated in an incident regardless of its nature
- Sets the objectives, devises strategies and priorities
- Maintains overall responsibility for managing the incident
- Must cover every function until assigned to someone else





“Command”

- Command is referred to as the directing, ordering, or controlling by virtue of *explicit statutory, regulatory, or delegated authority*, typically at the field level.
- Transfer of command may occur because:
 - Jurisdiction or agency is legally required to take command
 - The incident changes in complexity
 - The current IC needs to rest



Command Staff



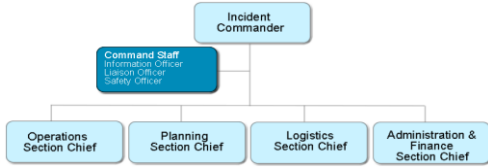
Public Information Officer



Safety Officer



Liaison Officer



19



Command Staff



Public Information Officer

- The Public Information Officer (PIO) coordinates all public information that is disseminated to the media and to the public. All press releases must be approved by the PIO and the IC.

- The PIO serves as a conduit between internal and external stakeholders seeking “public” information about event.

20



Command Staff



Safety Officer

- The Safety Officer is responsible for making sure all personnel are safe when responding to an incident.
- The Safety Officer is the only position that can override the IC (if conditions are not safe).
- Responsible for monitoring safety conditions and developing measures to assure safety for all personnel.

21



Command Staff



Liaison Officer

- The Liaison Officer is the primary point of contact for other agencies or organizations that may be involved in the response.
- Addresses questions and concerns to ensure a smooth interface and coordination among supporting agencies.
- *Not always a critical positions when responding to an agency specific event.



GENERAL STAFF ROLES

23



Operations Section Chief

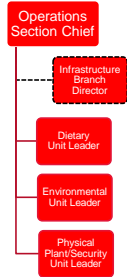
- Responsible for reducing immediate hazards
- Conducts the tactical (“doing”) operations, develops tactical objectives with IC
- Carries out the plan using those objectives
- Directs all needed resources



24



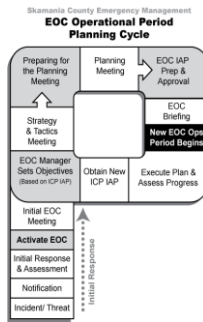
Operations Section





Planning Section Chief

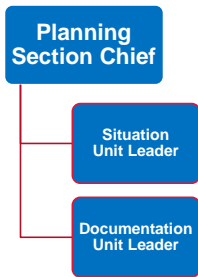
- Collects and evaluates information for decision support
- Maintains Situational Awareness
- Maintains resource status
- Prepares documents such as the Incident Action Plan
- Estimates future probabilities



28



Planning Section





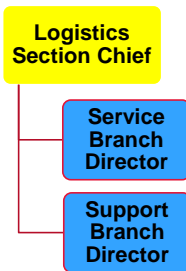
Logistics Section Chief

- Logistics
 - Provides support, resources, and other essential services to meet the operational objectives
 - Understands local resource requesting processes to ensure needed supplies can be obtained





Logistics Section





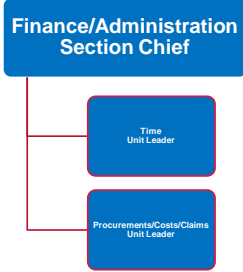
Finance and Admin Section Chief

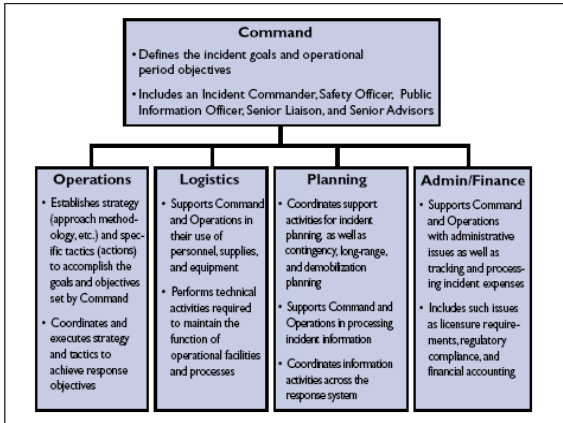
- Finance/Administration
 - Monitors costs related to the incident
 - Providing accounting, procurement, time recording, and cost analyses
 - Documents expenditures for reimbursements
 - Tracks personnel time and efforts





Finance Section





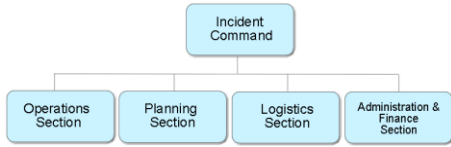


Common Command Structure

- Structure that identifies the core principles for an efficient chain of command
 - Unity of Command states that each person within the response reports to only one supervisor
 - Single Command exists when only a single agency or discipline responds
 - Unified Command exists when multiple agencies are coming together to manage an incident, and each commander comes together to make unified, joint decisions



Single Incident Command



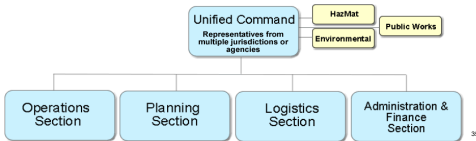
34



Unified Command

Used when...

- More than one responding agency within a jurisdiction
- More than one geographical or political jurisdiction involved (larger scale incident)
- More than one Incident Commander making decisions



35



Unified Command

- **Integrates all agencies with responsibilities for the incident into a single command structure**
- Agencies work together through Unified Command to:
 - **Establish a common set of incident objectives and strategies for a single Incident Action Plan**
 - Analyze intelligence information
 - Avoid duplication of effort and shared facilities

A hazardous materials spill in which more than one agency has responsibility for the response would be Unified Command

36



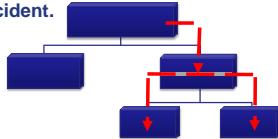
Unified Command

- A Unified Command (UC) may involve:
 - Multiple Incident Strategies
 - Multiple Agencies or Jurisdictions
 - Multiple Incident Commanders
- Enables agencies with different legal, geographical and functional responsibilities to coordinate, plan and interact effectively
- Incident Commanders within the UC make joint decisions and speak as one voice



Chain of Command

- **Chain of command** is an orderly line of authority within the ranks of the incident management organization.
- **Unity of command** means that every individual has a designated supervisor to whom he or she reports at the scene of the incident.





Emergency Operations Center

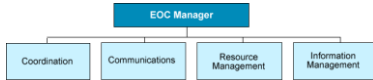
- Physical location where information and resources are coordinated to support incident management activities
- Can be in a multi-purpose facility or in a permanently established facility





Emergency Operations Center

- EOC organization and staffing is flexible, but should include:
 - Coordination
 - Communications
 - Resource dispatching and tracking
 - Information collection, analysis, and dissemination
- Requests for resources flow from on-scene incident command through the local and state EOCs to the Federal Government





Incident Management Functions

- Every incident requires management functions to be performed by:
 - Evaluating the problem
 - Developing a plan to address it
 - Acquiring resources needed to accomplish objectives
- Management by Objective (MBO) is critical
- Positions activated in the response serve as the Incident Management Team (IMT)
 - IMT purpose is to respond to and recover from the event through coordinated objectives and tactics.
- *ICS organization does not always correlate with daily administrative function*



ICS Advantages

1. Common Terminology
2. Modular Organization
3. Management by Objectives
4. Incident Action Plans
5. Manageable Span of Control
6. Pre-designated Incident Facilities
7. Resource Management
8. Integrated Communications (Interoperability)
9. Common Command Structure / Accountability



Common Terminology

- Provides for a clear message and sharing of information
- Avoids use of codes, slang, and/or discipline specific nomenclature
- Defines the common organizational structure
- Facilitates the ability to share resources



Modular Organization

- ICS structure begins from the top and expands as needed by the event
- Positions within the structure are activated as dictated by the incident size and complexity
- Only those functions or positions necessary for the incident are activated



Management by Objectives

- Incident Commander initiates the response and sets the overall command and control objectives
- Objectives are established after an assessment of the incident and resource needs are completed
- Clearly defined objectives allow staff to focus on the response and avoid duplication of effort



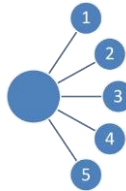
Incident Action Planning

- Development of objectives is documented in the Incident Action Plan (IAP)
- Reflects the overall strategy for incident management
- Forms tailored for nursing homes to support the IAP process



Manageable Span of Control

- Maintains a span of control which is effective and manageable
- Optimum span of control is 1 supervisor to 5 reporting personnel
- 3 = minimum
- 7 = Maximum





Pre-Designated Incident Facilities

- Location of response and coordination sites should be pre-planned
- Planners within the nursing home should identify sites for ICS management, staging areas for the receipt of supplies and equipment, and evacuation sites if required

Staging Area



On a map, the Staging Area symbol is a circle with an S in it.

Incident Command Post



On a map, the ICS Incident Command Post symbol is a green square with a white diagonal line.



Resource Management

- Resources used are categorized as tactical and support
 - Tactical; include personnel, major equipment available or potentially available
 - Support; those items which support the incident, such as food, equipment, communications, supplies, vehicles
 - Knowledge of the available tactical and support resources is critical to the success of the response

49



Integrated / Interoperable Communications

Three elements within integrated communications:

- ✓ Modes; hardware systems that transfer information,
 - i.e. radios, cell phones, pagers, etc
- ✓ Plans; should be developed in advance on how to best use the available resources
- ✓ Networks; should be identified within and external to the health facility
 - *This will determine the procedures and processes for transferring information internally and externally*

50



Six Steps to the Incident Planning Process

1. Understand the policy and direction
2. Assess the situation
3. Establish Incident Objectives
4. Determine appropriate strategies to achieve the objectives
5. Provide tactical direction and ensure it is followed
 - The correct resources assigned to complete a task and their performance monitored
6. Providing necessary back-up
 - Assigning more or fewer resources
 - Changing tactics as necessary

51



Summary Points

- You should now:
 - Feel more comfortable with how general Incident Command principles apply to Nursing Homes and other healthcare settings
 - Understand why and incident management is implemented, including Command and General Staff roles and responsibilities
 - Be familiar with how to build and implement a Nursing Home incident management team



INCIDENT RESPONSE TOOLS

53



Running Command in small agencies

You might be asking yourself a few questions by this point...

- Who in my facility could help me run command?
- How many people does it actually take to effectively manage an incident?
- What resources exist to help us during an emergency incident?

54



Position Cross Walk

NHICS POSITION	NH POSITION	ASSIGNED TO
Incident Commander	Administrator	
Medical Director/Specialist	Medical Director/Nurse Consultant	
Public Information Officer	Media relations/Administrator	
Liaison Officer	Director of Nursing	
Safety Officer	<i>Maintenance</i>	
Operations Section Chief	Director of Nursing	
Resident Care	<i>Director of Staff Development</i>	
Infrastructure Branch Director	<i>Maintenance</i>	
Planning Section Chief	Assistant/Associate Administrator	
Situation Unit Leader	Director of Admitting	
Documentation Unit Leader	Director Medical Records	



Position Cross Walk (cont.)

NHICS POSITION	NH POSITION	ASSIGNED TO
Logistics Section Chief	Assistant/Associate Administrator/ <i>Director of Dietary Services</i>	
Service Branch Director	Director/Manager Rehabilitation	
Support Branch Director	Activities Director	
Finance Section Chief	Business/Finance Director	
Time Unit Leaders	Payroll	
Procurement/Cost/Claims Unit Leader	<i>Payroll and Billing/Risk Manager/Finance Director</i>	



Nursing Home ICS Forms

- 20 forms developed by the California Association of Health Facilities – “Nursing Home ICS”
- Consistent with forms used by healthcare, fire/EMS/law and emergency management
- Used throughout the activation, mitigation, response and recovery
- Are handwritten or typed
- Purpose and destination indicated on the form



NHICS ICS Forms

- Only use the forms you need
- Despite the number, the “basic” or foundational forms can be completed rapidly
 - Advantage: clear documentation of times, actions, responsibilities
 - Advantage: a quality assurance tool
 - Advantage: can assist in reviewing the response
 - Advantage: can assist in financial recovery



NHICS Forms

Number	Name	Purpose
NHICS 201	Incident Briefing	Document initial response and actions
NHICS 202	Incident Objectives	Defines the command objectives and key messages
NHICS 203	Org. Assignment List	Documents the IMT positions
NHICS 204	Branch Assignment List	Assigns branch positions and its duties
NHICS 205	Communications Plan	Documents communication technology and contacts
NHICS 206	Staff Medical Plan	Identifies the care for employees
NHICS 207	Organizational Chart	Illustrative chart of IMT
NHICS 213	Message Form	Documents critical messages and response
NHICS 214	Operational Log	Documents duties performed in the position
NHICS 251	Facility Status Report	Assessment of the facility infrastructure



NHICS Forms

Number	Name	Purpose
NHICS 252	Personnel Time Sheet	Tracks hours worked during the response
NHICS 254	Patient Tracking Form	Identifies patients received at the NH
NHICS 255	Resident Evacuation Tracking Form	Tracks all residents evacuated
NHICS 256	Procurement Summary Report	Documents supplies / equipment procured for the response
NHICS 257	Resource Accounting Record	Tracks the expenditures
NHICS 258	NH Resource Directory	Critical contact information
NHICS 259	Casualty & Fatality Report	Documents injury or death of residents
NHICS 260	Pt. Evacuation Form	Documents individual evacuated patient
NHICS 261	IAP Safety Analysis	Directs a safe response



WHY ARE JOB ACTION SHEETS IMPORTANT?

Job Action Sheets Provide:

- Mission and Responsibilities
- Summary of the emergency response functional role
- Key Contact information
- Mechanism to document assigned duties
- Time period prompts for each role
- Are developed prior to an emergency



JAS INFORMATION BOX

- The information box at the top of the JAS documents position assignment and KEY response information such as location and contact data

Date: _____	Start: _____	End: _____	Position Assigned to: _____	Initial: _____
Position Reports to: Incident Commander		Signature: _____		
Facility Command Center (HCC) Location: _____	Telephone: _____	Fac: _____		
Other Contact Info: _____	Radio Title: _____			



CUSTOMIZING THE JAS

- The JAS can be customized to the individual Nursing Home or healthcare agency during the planning phase
 - Can add your name and or logo
 - Modify action statements or tools
 - Make it applicable to your facilities response
- It is recommended not to change the title or the mission to facilitate integration with community response



Planning and Response Tools:

- Incident Action Planning (IAP)
 - Done for each operational period (shift) by Planning Section
 - Guide to the response
 - Identifies command objectives : the mission
 - Identifies strategies and tactics
 - Assigns and documents roles and responsibilities
 - Assigns resources
 - Provides a reference



Planning and Response Tools

- Incident Planning Guides
 - Identify actions to consider in the planning for hazards most commonly faced by Nursing Homes
 - Natural Hazards: Severe Weather, Flood, Earthquake
 - Fire
 - Power Failure
 - Disease Outbreak
 - Sectioned by phases of emergency management: mitigation, preparedness, response and recovery



Incident Planning Guide: Severe Weather

INCIDENT PLANNING GUIDE

Does your Emergency Operations Plan Address the following issues?

Mitigation & Preparedness

- Does your nursing home regularly monitor pre-event weather forecasts and projections?
- Does your nursing home participate in pre-event local severe storm response planning with emergency management officials?
- Does your nursing home have a plan to initiate severe storm nursing home hardening actions (i.e., protect windows, secure outside loose items, test backup generators, obtain supplemental supplies of essential items (food, water, medications, lighting); protect basement high risk areas; relocate at-risk items to higher levels; activate amateur radio operators, top off fuel tanks, etc.)?
- Does your nursing home have plans for loss of power or loss of other utilities and services?
- Does your nursing home have a surge capacity plan that includes triggers and criteria for activation?
- Does your nursing home have MOUs with fuel suppliers to ensure a supply of fuel for emergency generators and vehicles, if needed?
- Does your nursing home identify and/or have MOUs with contractors that can perform repairs after the storm?
- Does your nursing home consider relocating hazardous materials/chemical agents to prevent contamination in case of flooding?
- Does your Emergency Operations Plan include triggers or criteria for activation of the Emergency Operations Plan, incident command and the command center?



Incident Response Guides

- Provides a direction (mission) for the response
- Critical actions to be taken when the emergency or disaster strikes
- Customize them to match your facility response actions
- Sectioned by IMT role
- Grouped in chronological order
 - Immediate 0-2 hrs.
 - Intermediate 2-12 hrs.
 - Extended ≥ 12 hrs.



TRAINING AND EXERCISE



It is important to educate staff on Job Action Sheets and Form utilization and include their use in future exercises and activations





Testing and Exercise

- It is critical to test and evaluate any response plans and tools
- Exercises and Drills should be conducted using Homeland Security Exercise and Evaluation Program Guidelines (HSEEP) to help with this testing
- Corrective Action Planning and improvements should occur based on exercise lessons learned



Moving Forward...

- Plan
- Train
- Exercise
- Evaluate
- Repeat



- If you've never done so, please take the FEMA ICS 100/700 tests online to obtain FEMA course certificates
- You only have to pass the test once

70



QUESTIONS???

If you forget everything I've said today, or have any questions in the future...



Nicole Cantrell,
Manager of Emergency Management
Nicole.Cantrell@childrenscolorado.org
 720-777-6117
