



# Critical Incident Protocol

— A Public and Private Partnership

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MICHIGAN STATE  
UNIVERSITY



**Critical Incident Protocol**  
**—A Public and Private Partnership**

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## —A Public and Private Partnership

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# Introduction

This publication *Critical Incident Protocol: A Public and Private Partnership* discusses the essential and beneficial process of the public and private sectors working together to plan for emergencies. Important elements include planning, mitigation, business recovery, lessons learned, best practices, and plan exercising. Whether it is a minor incident or a major terrorist activity involving weapons of mass destruction, the community's collective resources must unite and work to understand the processes necessary to resolve the matter.

Surveys conducted on emergency planning and recovery reveal how important proper planning can be:

- Most businesses do not have an emergency or recovery plan even though they know it is important.
- 47% of businesses that experience a fire or major theft go out of business within two years.
- 44% of companies that lose records in a disaster never resume business.
- 93% of companies that experience a significant data loss are out of business within five years.
- The majority of businesses spend less than 3% of their total budget on business recovery planning.

Communities and businesses participating for the first time in a public/private critical incident partnership will become aware of the value of a joint planning process and those already engaged in public/private partnerships can gain new ideas and reinforce current practices. The Protocol will outline lessons learned in:

- **Establishing partnerships** in advance so the event can be managed and resolved with minimum loss to the community.
- **Conducting individual and joint public/private evaluations of risk factors** and understanding what business functions are critical to individual businesses and the community.
- **Developing joint public/private sector emergency plans** and how community resources can be identified and shared to respond to disasters.
- **Facilitating business resumption** and recovery.
- **Developing training exercises** and understanding the value of exercising the joint plan.
- **Incorporating mitigation** throughout the entire process and recognizing its significance in preventing a disaster and reducing its potential impact.

The Protocol is not intended as a checklist since detailed planning lists and documents can be obtained from a number of resources, some of which are listed in the Protocol **Reference** Section. A **Glossary** of terms is included to enhance mutual understanding of common terminology between the public and private sectors.

***As one Fortune 100 Security Director stated, "It is not if, but when."***

The *Critical Incident Protocol* was developed under a grant awarded by the U.S. Department of Justice, Office for State and Local Domestic Preparedness Support, Office of Justice Programs. The Protocol development process was facilitated by and this Protocol was written by the School of Criminal Justice, Michigan State University.

Over 100 persons from the public and private sector participated in five regional meetings held throughout the state of Michigan and their collective expertise and personal experience created the substance of the Protocol. A Focus Group comprised of fire, police, emergency managers, and private security executives guided the Protocol development process.

In 1998 the City of Sterling Heights Municipal Security Task Force, with representatives from the public and private sectors, was formed to develop joint plans to react to the use of weapons of mass destruction (WMD). They reviewed the Protocol and provided additional comments. The City of Sterling Heights and General Dynamics Land Systems participated in a tabletop exercise conducted by long distance interactive video conferencing to evaluate the use of that technology in conducting such exercises. Members of the Private Sector Liaison Committee, International Association of Chiefs of Police, were also involved in the review process.

The participants stressed one over-riding principle: "Denial of the potential for a critical incident must be eliminated, for it is not *if* but *when* disaster will strike."

## Critical Incident Defined

A **critical incident** is any event or situation that threatens people and/or their homes, businesses, or community. While we often think of floods, tornadoes, hurricanes, or armed assailants as posing critical incidents, the true definition of a critical incident includes any situation requiring swift, decisive action involving multiple components in response to and occurring outside of the normal course of routine business activities.

For example, a company may experience loss of production due to mechanical breakdown or a retail merchant may encounter product spoilage but these are normal disruptions within their business processes. But if these businesses are faced with workplace violence or a terrorist incident, a number of outside resources will be needed. The public sector (police or fire) routinely respond to emergency situations, but workplace violence, a terrorist act, or a community disaster will place abnormal strain on their resources and expertise.

The scope of many critical incidents such as natural disasters, workplace violence, or domestic terrorism, requires the cooperative efforts of business and public sector planners and responders.

## Protocol Objectives

- Create public and private sector understanding of their common goal to protect lives and property while sustaining continuity of community life.
- Encourage the public and private sector entities that may have engaged in the assessment and planning process in isolation to form cooperative partnerships.
- Assist those businesses and communities lacking emergency planning experience in the development of a joint emergency planning process.
- Develop an understanding of mutual or respective goals and understand how public and private resources can complement and support each other.
- Serve as a resource for those engaged in the joint planning process.

***As one police chief said,  
"We have to handle the small incidents prior to managing the major ones."***

***A security director indicated that if the joint planning process has occurred, we can respond to a weapon of mass destruction event as well as we do to other events.***

***Joint planning will be for the good of the community.***

# Overcoming Roadblocks

Many obstacles such as **denial, apathy, lack of trust, and misinformation** may hinder cooperative public/private sector critical incident planning and response. We can overcome these obstacles if we acknowledge that communities are diverse and entities often perceive themselves as having different needs and concerns.

***First**, initiate dialogue and develop a joint planning process road map that overcome lack of trust and create the understand that relationships don't just happen but take continuous communication and understanding.*

***Next**, increase the public sector's understanding of how the "bottom line" motivates the private sector and increase the private sector's understanding of the public sector's operating procedures, legal obligations, and political considerations. Foster the understanding that public/private sectors' motivations are not different, but actually are quite similar. It's a good idea to take advantage of joint preparedness opportunities when the economy is good or immediately following a disaster. There also is a need to obtain business and community leaders' commitment in the joint critical incident planning and response process. Disaster recovery planning must begin before tragedy strikes, not after a disaster is experienced. Often, this too late.*

## Mutual Benefits of Joint Planning

The public and private sectors can develop greater understanding of the value of joint emergency planning, and that can lead to other community partnerships. Joint planning provides community leaders with an understanding of the process and possible repercussions if cooperative planning does not occur. It can illuminate the potential financial impact and liability resulting from the failure to adequately plan for a critical incident. The loss of a business can have dramatic real-life impact on the community.

The planning process can identify how businesses contribute to the community and develop an understanding of community priorities in time of a disaster. Adequate planning develops the understanding that risk assessment, emergency planning, response, and recovery are similar processes within the public and private sectors.

Companies want to be involved and be viewed as good community citizens, and communities want to be held in esteem. Joint comprehensive emergency planning will improve quality of life and attract business growth by making the community a safer place to do business.

### Sample of a Community Brochure

Muskegon County, Michigan utilizes the Risk Management Planning process of the U.S. Environmental Protection Agency to create **"A Safer Community through a Joint Effort between Government and Industry."** Muskegon County's purpose is:

- Go beyond required regulation and take a proactive safety approach.
- Inform residents of the risks and the way they are managed on a daily basis.
- Create a well-trained and informed workforce to prevent incidents.
- Develop joint public and private sector planning and training programs.
- Respond quickly and know the personnel we will be working with.

***It doesn't happen overnight but we can learn from our joint successes and failures.***

***A fire chief said that a major industry in his community was talking about leaving town and as a result he had been informed by his city manager that the fire truck the department was planning to buy was no longer budgeted. The same circumstances could occur in a community if a business was hit with a disaster.***

***A police chief indicated that with today's extensive media coverage during a hostage situation, shooting, or other disaster, our citizens have become "experts" on the way these events should be handled and resolved. This yardstick judges us and our communities.***

***A number of police and fire chiefs stated they are still called to assist private businesses in searching for bombs. This shows a lack of knowledge of the role and capabilities of local responders.***

### **Why is joint planning important to the public sector?**

- Recognizes that media exposure of critical incidents has developed high public expectations on how emergency response efforts should be handled.
- Assists in understanding private sector requirements and resources.
- Helps obtain the commitment of the private sector to become a part of the overall community emergency response planning process.
- Enhances communication with the private sector prior to an incident informing them of available community resources.
- Heightens awareness that the private sector may not be able to control everything inside the fence line and may need to involve others outside the fence line during recovery.
- Reduces liability and insurance costs through joint planning with the private sector.

***One private business manager said that the only time he sees someone from the public sector is when they want a donation or a sponsorship. "I wish they would ask how they could help me at other times."***

### **Why is joint planning important to the private sector?**

- Provides the private sector with community contacts and develops an understanding of the support available from the public sector.
- Educates the public sector on why the bottom line is important to the private entity and how it affects the community.
- Creates an understanding of why rapid business resumption is important and what basic community infrastructure may be needed to support business resumption following a disaster.
- Develops an accurate understanding of public sector resources and private sector responsibilities until public support is available.
- Develops recognition of how the loss of one business may affect and impact other businesses in the community.
- Promotes involvement in the public sector's establishment of priorities.
- Develops understanding that during a critical incident, no company is an island unto itself. Total cooperative efforts are needed and there can be no secrets.

***A security manager indicated that with on-time delivery of parts or goods, a loss in one community has an immediate impact in other communities. We no longer maintain large storage areas. We no longer operate in isolation and must rely on that steady stream of product to keep us going.***

***A security manager related that he had an initial concern in divulging some of the products and chemicals his business used to public officials. However, once the joint partnership was in place, this became less of a concern. The community expressed approval and support for partnerships to protect them. In fact, many of the workers lived in the community.***



## **Leadership Begins at the Top**

Commitment in both the public and private sectors must be driven from the top down through the entire organization. If this is not the case, there will be no real commitment. Trust must be developed in the beginning and if top management develops trust across sectors, it will trickle down to lower-level employees. Ultimately, trust must be developed through all levels of the public and private sector.

After obtaining top level support, the process must involve the people who will respond and manage the critical incident. The public sector must realize that fines and mandated regulations may inhibit open communication and they must eliminate fear of regulatory enforcement action during the joint planning process. Consider the possibility of a period of “amnesty” where a proactive, rather than a regulatory approach, could be used.

The private sector must be concerned with liability resulting from a failure to plan. Public sector officials should assist in presenting the value of critical incident planning to top private sector management. Community leaders and private sector managers should make a financial commitment to plan correctly and openly and a community task force may be formed to address issues. In many cases, major industries or businesses may lead the change process.

***One fire marshall said that his main concern was to assist businesses in assessing their risk and developing emergency plans. Violations, unless they were flagrant, were not his main concern. What he didn't like was the arrogance displayed by some companies who didn't believe that the regulations applied to them. “What we had to do is build trust, a relationship, an understanding of our respective objectives that, when you look closely at them, are not really that different. We both want to protect property and save lives.”***

***Both the public and private sectors commented that support for the partnership process must start from the top. Too many top managers and community administrators are still in a state of denial or hoping disasters won't happen on their watch.***

***In 1998 the City of Sterling Heights Office of Emergency Management initiated a forum of public and private sector partners to mitigate, respond to, and recover from major property damages and mass casualties that may impact the community. The Sterling Heights Municipal Security Task Force plans and trains to handle weapons of mass destruction and other major incidents in partnership. The group meets monthly and has support of city and corporate management.***



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# The Preparedness Process

The ultimate goal of joint planning should be the establishment of an **Integrated Emergency Management System (IEMS)**. Developing the concept of an IEMS requires community units to cooperate to reduce the consequences of natural, technological, and man-made disasters. Response is the central focus during a disaster, but an integrated approach to planning will initiate mitigation activities to prevent or reduce the degree of risk, and to develop preparedness activities to increase response and recovery capabilities.

The process of joint planning and response encompasses a number of steps and various terms may be used interchangeably by the public or private sectors. Consequently, part of the planning process must include developing standard terminology.

## **Standard Terminology**

**Hazard Mitigation:** *Activities to eliminate hazards and lessen their impact if an incident occurs.*

**Response:** *Reaction to and managing the incident until it is resolved.*

**Recovery or Business Resumption:** *Processes focused on repair of damages, return to normal activities, and recovery of losses.*

**Preparedness:** *Actions and initiatives developed prior to an incident and including the following phases of critical incident management:*

***Risk Assessment – (both self assessment and joint assessment)***

***Response Planning***

***Training***

***Exercising***

Planners should build on work done by successful businesses and look at those with good plans, but must not take for granted that large companies or communities have all the answers.

***As a fire chief stated, “Remember, if they don’t invite you in, knock on the door.”***

# Risk Assessment

Each public/private sector component must be involved in assessing possible events—man-made or natural—that may strike their operations, and they must calculate the potential impacts. This self-assessment of actual and potential **events** and related **impacts** will lay the foundation for the emergency response plan. When individual and community assessments are combined, a determination can be made about the adequacy of community resources to handle most community disasters.

All potential threats and hazards must be identified. For example:

- **Natural** – Tornadoes, floods, winter storms, earthquakes, and power outages.
- **Man made** – Terrorist attack, workplace violence, explosion, bombing, and accidents.

Businesses often focus on immediate, ongoing activities and not on the perils impacting long-term economic survival. They must appreciate a critical incident's potential impact on the profit margin and understand what a risk assessment and planning process can do to reduce or prevent such losses. Small businesses are the most vulnerable to economic ruin as a result of a critical incident.

It may be necessary to educate those responsible for the assessment process as they may lack the appropriate knowledge and skills to develop risk assessments. The public sector or another private entity may be able to lend their expertise in the assessment process. This is not an overnight process and leadership and support may be obtained from those companies with good plans in place. The process can begin with small steps or pieces of the plan and planners should not get bogged down in the overall process.

## Self Risk Assessment

**Use a building block process. Start with a piece of the plan.**

- **First**, look at broadest categories of risk. Go from a generalized risk assessment to specific risks.
- **Next**, list previous incidents and/or potential threats or events. Begin with the obvious and work toward the less likely.
- **Then**, determine what is vital for continued business operations and what might cause significant business interruptions.

Plans must first be completed by individual private sector entities, as they know their own risks. Each business function or component within the entity must conduct individual risk assessments. The component must evaluate all the processes performed by the business unit and identify those critical areas or activities that are required for positive outcomes. Determine any function or process that, if interrupted, could result in significant loss of revenue, customers, or business operation. When combined, these **individual assessments comprise the risk assessment for the entire business.**

All operations performed by a particular unit or component must be listed, prioritized, and identified as to their importance to continued business operations. For example, operations can be classified as **Critical, Essential, or Non-essential.**

- **Critical** – Those operations a business cannot do without or a function that is vital to the operation and/or may pose a life safety risk. For each critical business activity, **mitigation strategies** should be implemented and a recovery process developed.
- **Essential** – Not critical, difficult to operate without, but the organization could function for a period of time.
- **Non-essential** – Disruption would merely be an inconvenience.

Once critical business functions have been identified, they can be prioritized as to maximum allowable recovery or down time. This will help to determine the order of recovery, required recovery time, and necessary support services. Following is a suggested time frame, but each business must determine its own operational requirements.

- **Immediate** – 0 to 24 hours. (May require immediate alternate or “hot” site)
- **Delayed** – 24 hours to 7 days. (Prearranged site that would be needed for a short period)
- **Deferred** – Beyond 7 days. (No immediate need for an offsite location)

Business functions can then be categorized as to their vulnerability to each potential threat or hazard:

- **Highly Vulnerable** – Those business functions that have a great risk of experiencing a threat or hazard.
- **Vulnerable** – May experience a threat or hazard.
- **Not Vulnerable** – Threat or hazard not likely to occur

Shown below is an example of a Risk Assessment Matrix\*

***One community that had a very strong public/private partnership in place received an excellent return from their request for a risk survey. Fortunately, the value of the returns has not yet been put to a test.***

### Risk Assessment Matrix

Business \_\_\_\_\_ ABC Co. Service Center \_\_\_\_\_ Address: \_\_\_\_\_  
 Telephone \_\_\_\_\_

Function	Priority	Type of Risk	Vulnerability	Recovery Requirement	Action Plan
Electrical Power Source	C	Near river	V	I	Power Generator
Customer service calls	C	Telephone Disruption	V	I	Switch to contract service
Advertisements-mailings	NE	Weather	NV	Def	None

Key to codes:

**Priority:** C = Critical, E = Essential, NE = Non-Essential

**Vulnerability:** H = Highly Vulnerable, V = Vulnerable, NV = Not Vulnerable

**Recovery Requirement:** I = Immediate, Del = Delayed, Def = Deferred

\*This is just an example form. The partnership process can develop forms specific to your own community situation.

During this process, mitigation plans must be developed for those functions identified as **critical** and is recommended for those **highly vulnerable**. Also, plans must be put in place to assure business recovery while considering the maximum allowable recovery time. Cost-effective mitigation and planning approaches must be developed to obtain the support and financial commitment of top management. Without this commitment, the process will not move forward.

Some communities may prefer a numeric value for measuring risk. This would include assigning a numeric value for criticality and vulnerability or frequency of threat. This aids in overlooking something that rarely happens but, if it does, the impact would be devastating. Risk could be viewed on a 10-point scale (1-10 for low to high). The higher number would indicate priority for planning.

**One community said that they requested that each business conduct a self-assessment of their risk. They received a very low return rate. Then, a downtown business fire occurred and fire resources had problems resolving the incident. Another survey was requested and they received an 85% return rate.**

**EXAMPLE OF A SELF ASSESSMENT WORKSHEET**

Business \_\_\_\_\_ Business Component or Function \_\_\_\_\_

- List all business processes required to maintain business function(s). Rank as C for Critical, E for Essential and NE for Non-Essential. Also include maximum allowable recovery time.

Ranking	Business Process	Recovery Time
_____	_____	_____
_____	_____	_____

- Prioritize all **critical** processes, list plans to recover the process, and what resources would be required to maintain the business function:

Critical Processes	Plans and Required Resources
_____	_____
_____	_____

- List duties and tasks to recover the critical process. If an alternate site is required, list needed resources and what must be accomplished at that location.

- A. \_\_\_\_\_
- B. \_\_\_\_\_

- Where will recovery resources be obtained? List those from within the business function, required from contractors or vendors, and other outside resources.

- A. \_\_\_\_\_
- B. \_\_\_\_\_

- Identification of persons responsible for the above recovery process.

Employee	Home Phone	Work Phone	Pager
_____	_____	_____	_____
_____	_____	_____	_____

- Identify list of customers, suppliers, and other operations affected by the disruption.

\_\_\_\_\_

*\*This is just an example form. The partnership process can develop forms specific to your own community situation.*

## **Joint Risk Assessment (Among public/private partners)**

Joint risk assessment must follow individual self-assessments and involve more than police and fire operations. Joint public and private assessments will lead to community assessments and then plan development where all the potential events and available resources are considered. Lack of resources or knowledge may cause small businesses to struggle with the process or lead to a lack of commitment. If they don't understand the process or potential business impact, they may not realize the value of partnering with the public sector.

### **Factors to Consider**

Creating a level of cooperation between the public/private sectors is the proper starting place, although it still may be necessary to mandate the process or it will not be completed within an acceptable time frame. It is essential to develop an understanding of available public and private sector resources and of the expertise to respond to the identified risks.

Partners must work together to ensure **protection of proprietary information** that may be exposed during the joint assessment process. For example the private sector may have concerns that building plans may reveal future product or research trends that they would not want known to competitors.

Another important task is to determine how identified risks can be corrected and potential liability reduced. It is necessary to ensure that personal safety issues are separated and evaluated differently from property risks. Communication and joint understanding are very important and will result in the use of common terms and similar "jargon." Partnerships can assist in eliminating incorrect assumptions of what others can do or how they may respond.

Multi-tenant facilities possess unique and different challenges and the landlord or overall facility manager must demonstrate leadership. A designated person must be responsible for the assessment and planning process. Tenants should be part of plan development so their input and unique concerns are considered. Their "buy-in" is important.

Public sector units may have to prioritize where they believe the greatest risk lies to the **entire community** so they know where to focus their resources for the greatest impact on community safety and well being.

**High priority** items to consider when undertaking joint risk assessments:

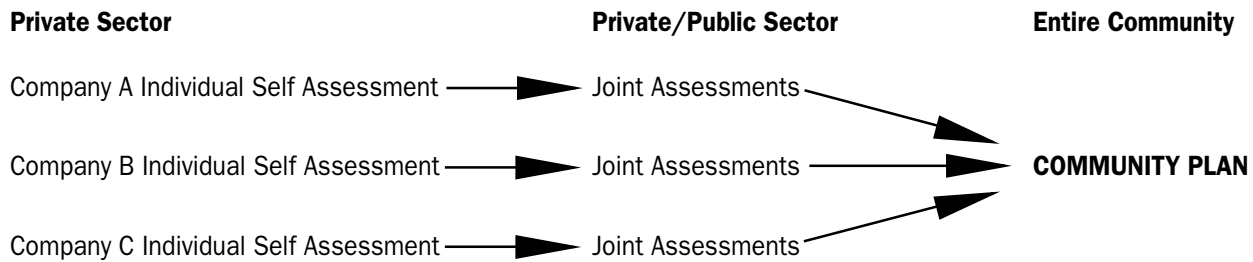
- Hold public and private sector meetings to discuss risks and identify the availability of community resources and assist in developing community response plans. These meetings will outline risks, compare similarities and differences, and identify available community resources.
- Understand what the public and private sector can handle, start to prioritize risk, and determine deficiencies that must be acknowledged. Keep in mind that during any disaster the day to day emergencies still occur and will tax community resources.
- Consider worst case scenarios and acknowledge that current government resources could be severely stressed in a widespread disaster. Don't be afraid of public perceptions. By working together, community fear can be reduced through joint planning and communication.
- Remember that many community leaders are also leaders in the private sector, and that only by working together can the potential cost of a disaster be recognized by the community.
- Learn how other entities are completing the assessment process. Lessons learned are invaluable and should be shared.

***One community building department was willing to work with private business to protect the proprietary aspects of their building plans from general public scrutiny. This minimized private sector fears that their future plans might become known to competitors.***

***One community said they initially had concerns about their citizens learning what risks were out there. As they conducted joint assessments and planning, they soon learned that the community appreciated the interest in joint planning for disasters. Further, they realized that most people in the community were employed by those same industries that they were worried about.***

***A community said their ability to prepare and respond to emergencies is a factor in the community's quality of life and attractiveness to new business.***

## Working Toward a Community Plan



## Critical Incident Planning

**Emergency planning is decision making prior to an actual crisis or disaster** including the consideration of resources required to manage and resolve the event. The plan must also include the necessary steps during and after the crisis is resolved (recovery).

Successful joint risk assessments will help develop joint emergency plans. A clear understanding of community risks, manmade or natural, and the accessible resources and expertise will provide the community with options to manage critical incidents.

However, it should be realized that all possible events are not foreseeable. The important part of joint emergency planning will be understanding how available resources may respond together to any event.

Joint planning is a learning process about perceptions of each other. Plans must NOT be developed in isolation. Joint meetings should occur early on so parties can agree up front on ground rules and confidentiality issues. The public and private sector plans must dovetail for maximum benefit.

### Begin to Develop the Plan

- If a plan doesn't exist, create one.
- If a plan does exist, review it (should be done annually anyway).
- Agree on common terminology, identify acronyms, and discard confusing jargon.
- Keep plans generic, simple, and flexible enough to address a variety of events.
- Consider likely events based on available intelligence and past experiences; remember to watch for potential threats to emergency responders themselves.
- Learn from the past. Be alert to events happening in other communities by networking with others and being prepared.
- Identify resource gaps and consider mutual aid pacts and contract resources.

***A corporate security director said that a Local Emergency Planning Committee (LEPC), as mandated by EPA regulations, might be a good forum to critique actual event responses and to share lessons. These groups are found, typically, at the county level and can be a valuable resource.***

***A police chief commented that when he hears of something that happened in another community, he contacts that police chief and learns all he can about the event and how it was handled. "I use the network of professional association contacts and those I have met through the years. That is one of my real values to the community."***

***A city fire official said their community hazardous materials response plans included support personnel from a local chemical manufacturer. When company personnel were required to respond on a global basis and were not available to the city, the company offered to train and equip local responders. The city was able to respond with their personnel. This represents a continuous blend of public and private resources to respond to an assessed community risk.***



## Identifying Responsibilities

The private and public sectors bring individual responsibilities to the joint planning process. Each sector must carry its own weight and bring an open, but well prepared mind to the joint planning process in order to win the trust and confidence of the other sector. Joint planning will develop an understanding of participants' roles, working partnerships, skills, and respective areas of professionalism.

***Public and private sectors agree that the first concerns in any critical incident are citizen and employee safety and security.***

### Private Sector Responsibilities

- All local businesses must be involved in the planning process to gain maximum planning efficiencies.
- Major companies should demonstrate leadership in plan development and encourage/support suppliers, contractors, and other community businesses.
- Learn what skills and resources are available in the private sector and determine who the on-site experts are.
- Progressive private sector leaders will develop detailed plans on who is in charge of a critical incident and who is responsible for coordination with the public sector.
- In small businesses, the emergency planning process may be the responsibility of the owner or manager who may have limited experience in emergency planning and may need assistance from the public sector or an experienced private sector partner, both during the planning or an actual critical incident.
- In large businesses, specialized personnel are dedicated to security, fire, or safety and emergency planning, and they will have primary responsibility for response. Other company staff (personnel, medical, public affairs, and operations managers) may support them. Plans should include resources needed to support public sector responders. Identify the person who will interface with the public sector incident commander, have knowledge of the facility and resources, and have decision-making authority.
- Top management must support mutual aid pacts, and financial responsibility for resource sharing must be specified during the planning process.
- Each business must identify needed contractor resources and how they may be shared within the community. Joint planning will identify mutual expectations of the use of the same outside resources and create understanding of the limited resources in the public sector.
- Planning must consider the **Maximum Allowable or Acceptable Down Time** before the continued existence of a business is threatened, and must identify resources required to maintain or resume business activities at an acceptable level.
- Businesses must overcome the attitude that they can handle events by themselves. During the planning process, confidence and trust must be exhibited by both sectors.

***Community and business risk or insurance ratings may be based on emergency preparations and response capabilities, and these are important factors in determining if a community is a good place to locate business. These factors may affect property assessments, ratings, and may reduce potential liabilities for the public/private sectors.***

### **Public Sector Responsibilities**

- The public sector's first duty is to maintain safety in the community.
- The anticipated public sector (local, state, and federal) response times to events may reveal that private companies must change their initial public sector response assumptions.
- The public sector must understand the private sector's limits on resources and the potential impact to the community.
- Define situations where public policy or legal mandates require public sector intervention even though the private sector has ample resources to handle the event.
- Volunteer fire department members may work at businesses and should be included in the planning process. They have excellent knowledge of their facilities and may already be part of the private sector response capability.
- Consider impact of actions that may cause additional repercussions to other areas.

***A fire chief stated that his primary obligation is to the community and he will get to other situations as circumstances dictate. "The private sector may have to wait until I get there," he said. "In most cases, it will be at least twenty minutes."***

### **Mutual Responsibilities for the Public and Private Sectors**

- The planning process is more than touring facilities. Take time to understand layouts, fire, and security systems. Bring public responders into facilities to obtain first-hand knowledge of risk locations, safety processes, and technologies. (\* See appendix A Information Gathering Form.)
- Consider using current private/public sector liaisons (such as community policing officers, school liaison officers, fire prevention officials, facility managers, and security managers) as catalysts for the joint planning process.
- Develop a joint public/private resources and expertise inventory for each identified risk.
- In mutual aid planning, determine if certifications, licenses, and other requirements for private sector emergency response personnel are acceptable in the affected jurisdictions.
- Consider and develop mutual aid pacts that deal with resources or expertise that can be used or shared by other private or public entities during a critical incident.
- Mutual aid pacts between the public to private sector or private to private sector can be letters of understanding or informal agreements that do not **mandate** resource use in a critical incident. They are voluntary agreements between companies and the public sector to support each other in an emergency.
- Include the media in the planning process.
- Disseminate plans throughout the organization and update them continually. Don't let them become a dusty book sitting on the shelf.
- Cross train public/private resources to create understanding of credentials and capabilities. All legal requirements and situations that determine how public and private sector resources may be utilized must be understood.
- All personnel, both public and private, who are involved in a critical incident must understand the incident command system. Egos must go out the window.

***As one security director states, "When we train together, many of the perceived differences become similarities. We are not that much different. In many cases, my personnel are also members of the local volunteer fire department or the Emergency Medical Services (EMS)."***

***A local fire chief says: "I may have the gold badge, but in your company, you are the one who knows the how, the when, and what needs to be done."***

### Mutual Aid Pacts

Some considerations:

- Type of resources (personnel, equipment, or other support) to be furnished
- Contacts and procedures for requesting resources
- Financial or reimbursement arrangements
- Use of equipment—
  - How will it be delivered?
  - How will it be returned?
  - Will personnel be furnished?
- Payment for lost or damaged resources
- Labor and legal considerations or restraints
- Confidentiality issues

## Understanding the Incident Command System (ICS) and Unified Command (UC)

Many jurisdictions have adopted the **Incident Command System (ICS)** as endorsed by law enforcement and fire services. ICS is required by Environmental or OSHA regulation during incidents of hazardous substance releases. ICS establishes an organized and structured approach to taking charge of a critical incident and coordinating resources to resolve the matter. The ICS should be understood and practiced by the private sector and the public sector should be aware of the private sector emergency response procedures, which may vary within the business community.

Joint planning will ensure that the incident commander is aware of all available private/public resources. The plan must include a communications process on how to obtain and coordinate the use of these resources.

- The private sector should develop an **Incident Management Team (IMT)** approach to identify first responders in an emergency and the person responsible for managing site-specific emergency procedures. The IMT manager must provide coordination and direction at the scene of an emergency. Even small businesses should designate a person to fill this role.
- The IMT manager is initially responsible for coordinating all private response personnel at the scene. Upon arrival of public resources, the IMT is integrated into the public **Incident Command System**. The IMT manager and Incident Commander work in concert as a unified command to ensure the most effective use of all available resources.
- The company may also have a **Corporate Crisis Management Team (CMT)** to support the on scene IMT with company resources. The CMT should be composed of the functional units of the company that may be needed by the IMT to resolve the critical incident. Representatives must understand their responsibilities and requirements. The CMT is analogous to the **Emergency Operation Center (EOC)** established by the public sector.

***One security manager said that he didn't think the public incident commander knew in some cases the tremendous resources available to them in an emergency. It is just there for the asking.***

## Terminology

### PRIVATE SECTOR

#### Incident Management Team (IMT)

(On scene commander responsible for resolving the incident)

#### Crisis Management Team or Center

(Supports the IMT/ICS and provides additional company or community resources as needed)

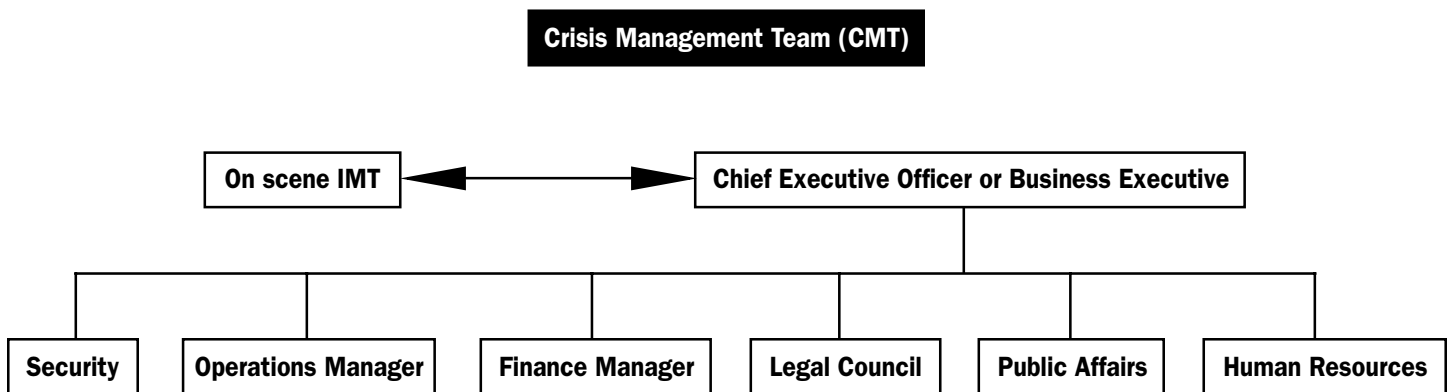
*These titles can be interchangeable but should be agreed upon.*

### PUBLIC SECTOR

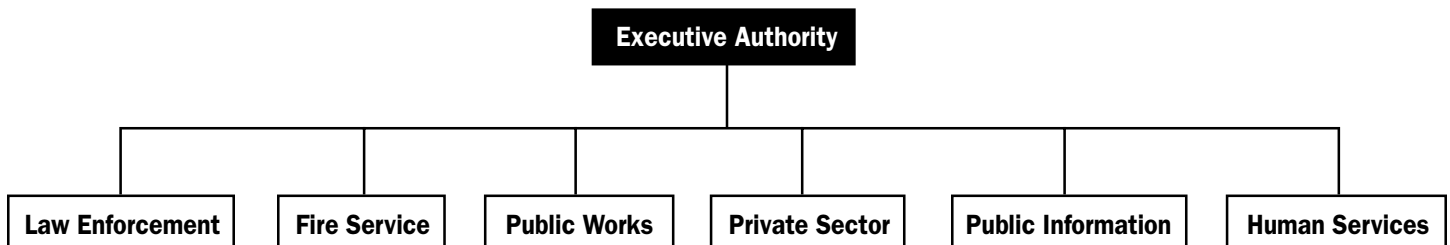
#### Incident Command System (ICS)

#### Emergency Operations Center

**The following is an example of a private sector Crisis Management Team (CMT) structure:**



**The following is an example of a public sector Emergency Operations Center (EOC) structure:**



**Unified Command (UC)** is a recognition that the most effective response involves all parties working together to bring their respective expertise to the incident. UC uses a management structure to facilitate cooperation by all sectors with jurisdictional or functional responsibility for resolving the incident. They must work together to develop a common set of objectives and strategies, share information, maximize utilization of resources, and enhance efficiency of the individual response organizations. Joint unified command training should be provided to the public and private sectors.

***A public emergency authority stated, "I want the most knowledgeable person from the facility with me, someone who can get me the information or resources I need."***

The tools necessary to support the incident commander and emergency responders should be available **in advance** (maps, contact numbers, and personnel resources). Resources available through computer aided design (CAD) and other computer systems should not be overlooked. Compatible radio communication systems should be planned in advance. In many cases coordination of communication can be established by providing radios to the other sector, having a private sector official with the incident commander, or a representative in the appropriate coordination center.

*Written public/private notification procedures should be developed in advance and disseminated widely. \**

**CRITICAL EVENT CALL UP PERSONNEL\***

Name of Company, Business, Department, or Agency \_\_\_\_\_

Address \_\_\_\_\_

**Critical Information (Resources Available)**

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

**Key Contact Personnel**

1. Name \_\_\_\_\_ Position \_\_\_\_\_

Home Phone \_\_\_\_\_ Work Phone \_\_\_\_\_

Pager \_\_\_\_\_ 24 Contact Number \_\_\_\_\_

Cellular Phone \_\_\_\_\_ E-Mail \_\_\_\_\_

2. Name \_\_\_\_\_ Position \_\_\_\_\_

Home Phone \_\_\_\_\_ Work Phone \_\_\_\_\_

Pager \_\_\_\_\_ 24 Contact Number \_\_\_\_\_

Cellular Phone \_\_\_\_\_ E-Mail \_\_\_\_\_

3. Name \_\_\_\_\_ Position \_\_\_\_\_

Home Phone \_\_\_\_\_ Work Phone \_\_\_\_\_

Pager \_\_\_\_\_ 24 Contact Number \_\_\_\_\_

Cellular Phone \_\_\_\_\_ E-Mail \_\_\_\_\_

*\*City of Sterling Heights Office of Emergency Management*

*\*This is just an example form. The partnership process can develop forms specific to your own community situation.*

# Exercise the Plan

The final step in the preparedness process is the development of a drill or exercise. Any emergency response plan must be exercised. Exercises are not tests but opportunities to acquire and enhance skills, reveal weakness, identify resource gaps, improve coordination and confidence, build teamwork, and validate the emergency response plan. Exercises will reduce the problems, mistakes, or omissions that can occur during actual events. The time spent in conducting and participating in exercises will pay tremendous dividends during an actual event.

***Plans must not remain in isolation and become stagnant.***

- **An exercise is a challenge** so regardless of how good or bad it turns out, something will be learned and team building will occur. If disappointed in the outcome, don't be afraid to try another exercise. Do not look for blame but look for opportunities to learn and correct mistakes. Exercises are the proper place to learn, not during real events.
- **Keep exercise scenarios realistic.** Don't make exercise scenarios too complex. Remember, an exercise is compressing a two or three-day real situation into a few hours. Don't worry about completing the exercise.
- **Exercises should consist of a generic scenario** with some local flavor and be indicative of an event that could happen in the area or it will not be perceived as realistic.
- **Keep exercises relatively simple** with only a few objectives even though, in reality, situations can be very complicated. Too many objectives will be counter productive in an exercise. Be sure to inform participants of the objectives and goals of the exercise.
- **Focus on one or two key threats.** Break the exercise into segments and don't be concerned about covering every potential hazard. This will help to simplify exercise evaluations and enhance the learning process.
- **Begin with tabletop exercises** involving members of the public and private sector. Joint tabletop exercises should be conducted at least once a year and twice is preferable. Tabletop exercises are a cost-effective way to evaluate the emergency response plan, develop participant skills, and enhance knowledge in the emergency response process.

## **REMEMBER:**

***Create the preparedness plan and then train to it.***

### **Types of Exercises**

- **Orientation** – Briefing or low stress training to familiarize participants with team roles, responsibilities, and expectations. Provides a good overview of the emergency response plan.
- **Tabletop** – Limited simulation or scenario of an emergency situation to evaluate plans, procedures, coordination, and assignment of resources.
- **Functional** – Limited involvement or simulation by field operations to test communication, preparedness, and availability/deployment of operational resources.
- **Full-scale** – Conducted in an environment created to simulate a real-life situation.

### **Exercises**

- Clarify responsibilities
- Identify roles
- Enhance skills
- Assess capabilities
- Evaluate performance
- Measure resources
- Provide feedback

## Performing an Exercise

An exercise design team should be created for each exercise and the team should consist of representatives from the participating departments. This will create a more realistic environment for participants and focus on issues broader than a particular function. **Exercise design is time consuming.** Tabletop exercises may last only 1 to 2 hours yet tabletop exercise design could take up to 40 hours of preparation. The quality of the exercise will correlate directly to the time put into its preparation.

To be effective, and for learning to take place, the exercise must have some successes. An exercise is a good evaluation process and overall successes and failures need to be conveyed to the participants. This is a good way for each participant to see and understand their role within the team. The scenario should stimulate involvement by all persons participating in the exercise. If participants do not have an active role, they should not be asked to commit their time.

**Exercises need to be realistic and follow policies, protocols, and procedures actually in place** or they will not be productive. Participants become frustrated if they receive information from the exercise designer that is not consistent with real procedures. Exercises help reduce the “can’t happen here” attitude. If the scenario is plausible, participants will see the potential for a real event of a similar nature.

Allow participants to interact, dialogue, or discuss learning points during the exercise. At the completion of the exercise, each participant should be asked to discuss one item they have learned and they will take back to their work place. Consider bringing exercise participants together at a later date to discuss what changes they have implemented as a result of the exercise.

Exercise evaluators should be persons knowledgeable in the areas of emergency response and the local environment. However, most learning will take place by the participants themselves during the exercise. **Provide constructive critiques and make it a learning experience.** Complete an “after action” report and provide it to all participants.

Business should consider conducting individual tabletop exercises within their own organizations on a regular basis. The media should be invited to participate in exercises, as they will be an active participant in an actual event.

Using long distance technology or interactive video conferencing to facilitate exercises involves additional locations, enhances participation, and is an excellent way to maximize exercise preparation, deployment, evaluation, and information sharing. This technology is available through universities, community colleges, schools, or businesses.

Appendix B contains an example of a tabletop exercise.

***A public official indicated that several weeks after a tabletop exercise was conducted with a company a railroad tank car sprung a leak requiring evacuation of their employees. The emergency response went well due to the public private understanding of their respective responsibilities. This would not have occurred if a joint exercise had not been held.***

***Following a tabletop exercise, one private sector exercise participant indicated he understood the value of proper planning. Public sector participants also expressed greater understanding of the resources and needs of the private sector.***





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# Mitigation

**Mitigation includes all efforts to eliminate hazards or lessen the impact** of an event should it occur. Relocating structures from a flood plain to eliminate recurrent losses caused by flooding is a classic example of mitigation. Yet mitigation can take many other forms. Examples include off site storage for critical information backup, separating redundant or duplicate essential manufacturing process so a fire or explosion to one area will not cause a loss of production, or reducing the potential damage of terrorist bombs by installing barriers to eliminate parking in close proximity to buildings.

During the risk assessment process, certain vulnerabilities (manmade or natural) will be identified for each facility or major function within a particular business unit. To prevent or minimize the impact of an assessed risk, a mitigation process should begin when vulnerabilities are first identified.

**Hazard mitigation** is defined by the Federal Emergency Management Agency (FEMA) as “actions taken to reduce or eliminate long-term risk to people and property from hazards and their effects.”

In 1995, FEMA developed the National Mitigation Strategy to encourage partnerships between the public and private sectors with the specific goal of significantly reducing the impact of natural hazards.

*Comprehensive Plan/Hazard Interface,  
A Publication of the Livingston County Department of Planning, Winter 1998-1999.*

Public and private sector facilities should develop good prevention practices. The private sector must look beyond what is required by regulation and develop additional approaches to reduce or eliminate hazards or risks. Regulations do not cover all potential hazards. For example, workplace violence, domestic terrorism, and weather related disasters are not addressed by regulation. Comprehensive planning involves forward thinking and bold decision making.

Mitigation efforts can be applied to the most common business disruptions:

- Electrical power outages have a high rate of business interruption. Alternate sources of power should be considered.
- Reduction in fire risk should be an integral part of business operations and personnel should be aware of their individual roles in preventing fires. Facility modifications must include fire prevention measures and qualified personnel must maintain fire suppression systems.

**Public and private officials said that much has been done in joint planning for hazardous material events. The HAZMAT response planning process has been streamlined over the years. “But we need to be worried about other types of events and concentrate on planning for those as well.”**

Company management should keep abreast of intelligence regarding domestic terrorism. Appropriate expertise and public sector resources will be needed to develop accurate threat assessments. Proactive protective measures should be implemented when appropriate.

Good records of past incidents should be maintained. During the assessment and planning process, consider what can be done to prevent these incidents from reoccurring. Following an actual event or exercise, gather all persons involved in the incident and determine how the event could have been prevented. Post event critiques are an important element of mitigation.

All long-term strategic planning should include identification of mitigation opportunities. A joint public/private sector process will identify the broadest opportunities for mitigation. The joint mitigation process necessitates trust and confidence in protecting competitive business strategies.

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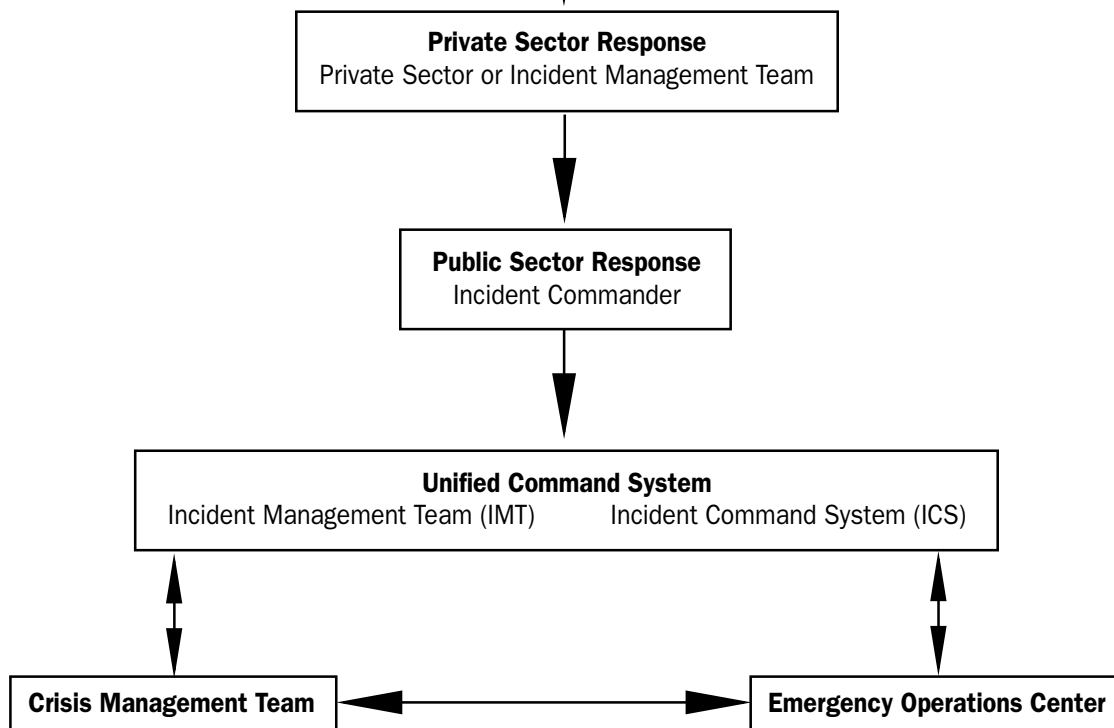
# Emergency Response

Coordinating public and private responses to an emergency or critical incident is the culmination of all preceding activities, i.e. risk assessment, critical incident planning, exercises, and mitigation. The effort put into planning will pay dividends and enhance management of a critical incident when it occurs.

The initial response to an incident, in many cases, will involve some element of the private sector. If the business has a security department, they may be the first responders. In other cases, it may be an employee with little or no emergency response skills. Proper response and correct actions within the first few minutes of an incident lay the foundation on which the joint emergency response will be based and the matter eventually resolved. The smooth “trade off” or transfer of control to the public **Incident Commander (IC)** and continued teamwork will enhance the successful resolution of the incident.

- Response from the private sector, whether it is an employee or a formally established **Incident Management Team (IMT)** or **Emergency Response Team (ERT)** will begin the emergency response process. The manager of the IMT/ERT is in charge of the incident until relieved by the public sector incident commander.
- If the incident is a major disaster requiring additional business resources, the company **Crisis Management Team (CMT)** may be activated to support the IMT. The CMT is usually located away from the incident site, and does not make operational decisions, but supports the IMT manager as required. The CMT may be located in the company’s **Crisis Management Center**. The CMT should have an alternate meeting site.
- **The Crisis Management Center’s (CMC)** function is to support the Emergency Response Team by directing the proper allocation and coordination of internal resources and obtaining assistance from external public and private resources.
- The local private sector and/or company Crisis Management Team (CMT) when activated will support the incident commander. The CMT must work in concert with the public sector Emergency Operation Center.
- Upon arrival of the public sector, the private **Incident Management Team (IMT)** will be prepared to work in concert with the public sector. The **Incident Command System (ICS)** will be implemented following a smooth transfer of authority, and where appropriate, joint decision making.

# DISASTER



Communication among all aspects of the public and private sector must be established immediately. Prior joint emergency planning will enable responders to get to the business of handling the disaster during an actual event. Preparation in understanding respective public and private sector needs and requirements will reduce conflict and enable immediate activation of all available resources. The incident commander can focus all energies to the task at hand, which is management, control, and resolution of the disaster.

When an incident occurs, the main focus must be the successful resolution of the issue at hand, not why it happened. **Participants must focus on the emergency response and not the cause.** The cause can be determined after the incident is under control or resolved. Good planning will have designated responsibility for the determination of cause. Everyone must understand that when an event happens, it is never as planned. Be flexible.

Top management must demonstrate overall leadership and support during the event but operational control and management must be in the hands of the first responders and incident commander. **The private sector should have persons available who know the facility** and can support the incident commander. This may be the facility manager, maintenance person, facility engineer, or security staff. In large complexes, someone needs to be stationed at the “front gate” of the facility to lead public responders. A “pathfinder” approach is required. The private sector interface with public sector responders must be a person with authority to make decisions and support the incident commander.

***One security manager said their company has a crisis management team comprised of the top company executives. This team can get the incident commander any company resource that is needed. The resources are there for the asking.***

Mass casualties resulting from hazardous materials incidents may also include injury and exposure to first responders. These events will tax the emergency response process and will resemble events mostly likely to occur in a weapon of mass destruction attack. Evacuation of personnel will require close coordination between the public and private sectors. The private sector may have to “defend in place” as the situation dictates.

***A fire chief said, “I want to see a familiar face when I arrive on the scene. If not a familiar face, then someone who knows where I should go and what the situation is.”***

**No one group can do it alone; all must work together.** If existing on-site resources are unable to handle the event, the Incident Commander must not only know what is available on-site, but what is available from other sources within the community. The IC should be familiar with the private sector’s qualifications. Combined training of public and private resources will create understanding and confidence in each other’s abilities.

**Below is an example of a Public/Private Resource Matrix\***

<b>PUBLIC/PRIVATE RESOURCE MATRIX</b>				
<b>Required Resource</b>	<b>Private Sector</b>	<b>Public Sector</b>	<b>Other</b>	<b>Name, Address, and Phone Number of Provider</b>
Structural Engineer	X			ABC Manufacturing, Main Street, Anytown, Engineer Jeff Jones, 313-555-1212
Chemist	X	X		Robert Smith, Anytown, 313-555-1212 Dean Jones, ABC Manufacturing, 313-555-1212

*\*This is just an example form. The partnership process can develop forms specific to your own community situation.*

If joint resources are to be used, both sectors must train, drill, and work together. It is a never-ending process. A level of trust and confidence must be established before the critical incident. The public sector must understand the commitment required in training of first line private sector responders. Top management must support the process.

***One fire chief said, “I do not know all the dangers inside the gate, and I want someone by my side who does.”***

- **Initiate a unified command structure** and engage public and private sector resources. This teamwork approach will maximize the effectiveness of all available resources to resolve the critical incident. Eliminate the perception that public responders are always the experts.
- **Establish and coordinate communication** between the incident commander and private sector response teams and company crisis management teams for damage assessments, prioritization and allocation of resources, and emergency operations.
- **Don’t overlook contract security forces** who understand their role and are trained to meet their responsibilities. Do not underestimate the knowledge and expertise available in the ranks of contract security forces.

- **Be certain the private sector understands the legal responsibilities** of the public sector. When the public sector responds, they must carry through with their responsibilities.
- **Determine who is authorized to approve response expenses** and establish a process of cost documentation. Determine if there is a cost recovery ordinance and keep track of costs associated with the emergency. Difficulty can occur when bills start coming in.
- **Develop a critical incident debriefing plan.** Be candid and learn from mistakes for lessons learned are invaluable. Mitigation must be initiated as needed.

***A fire chief said that they made a decision to let a fire burn since the water run-off would have contaminated the local environment. This was the understanding they had with the local business in advance.***

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# Media Relations

Public information is a vital component of any critical incident response. The media must be a part of the preparedness process and media involvement in the planning process will help reduce misunderstanding during an incident. **Accurate information should be available to the public as soon as possible.** The media needs to know where they can obtain information or receive briefings. Plan for an off-site Public Information Office/Media assembly and briefing area. An informed public is an educated and understanding one.

Here are some steps to smooth media/public relations:

- Develop a policy on who will handle the media. Employees must leave media contact to professionals. Small companies may not have a person skilled in handling the media during a crisis.
- Determine who will be the lead spokesperson. That person needs to have public relations experience. In most cases, the public sector should take the lead but they need support and information from the private sector. Consider joint press releases.
- Be cooperative but careful in speaking with the media since they can help get vital information to the public. **Do not speculate.** Media relations must be an ongoing joint public/private process.
- If you deal directly and honestly with the local media, they can be of assistance in dealing with national media. Watch using “I think” and be certain of facts including the time frames to release pertinent information so the actions of first responders are not circumvented.
- Let the emergency responders focus on the event.
- Create a community information plan so persons can call one number and obtain information on the crisis. Remember that people are “data driven” and need information.

***A community indicated they had involved the media in the planning process. During an actual aircraft disaster, the media had a clear understanding of the emergency management system and their role. As one officer said, “It sure made our job easier.”***

***One city says their relationship with the media and the establishment of a community hotline at the time of an emergency was working so well that the citizens expected to be informed of even very minor events. The local media cooperated in getting information to the public, which requires a close working relationship among the media, public sector, and private sector.***





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# Recovery and Business Resumption

The **recovery** or **business resumption process** can begin during the emergency response process, or it may be initiated in stages until the normal business operations are restored. The recovery process must factor in the **criticality** of the business function and the **maximum allowable down time**.

A quick recovery from an incident will start the community back on the path to normal activity. The process may be of short or long duration; however, planning for the recovery phase in the assessment, planning, and response process will definitely decrease recovery time.

Both sectors must strive for quick recovery. The private sector crisis management team should immediately initiate their recovery process. The Incident Commander should be kept informed of the recovery process but nothing should be done to conflict with response activities. Accurate damage assessment is important to the recovery process.

Recovery should not conflict with “crime scene” preservation and examination, and crime scene investigators must be trained and sensitive to recovery needs. Fast recovery is desirable but the cause of the incident must be established.

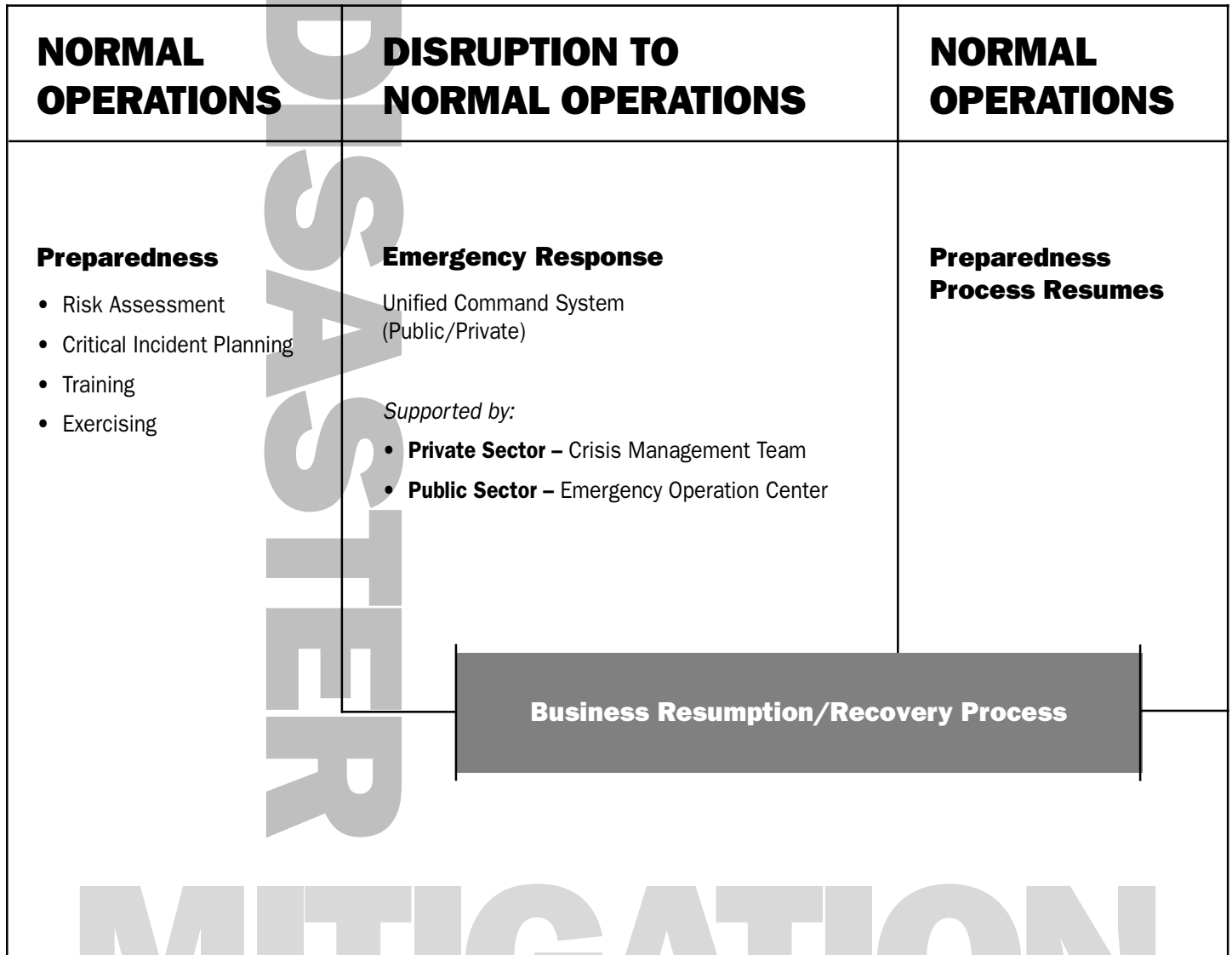
- **Determine the extent of damage and communicate** it to the public. Accurate projections of recovery times should be provided and public support and understanding should be solicited during the recovery process.
- **Developing a system** to bring in “the right people at the right time” is very important for long term recovery. Emergency responders and the private sector have to work side by side in the recovery as well as in the response.
- **Work with outside resources** to support the recovery process. Verify that the same resource provider is not planned or obligated to other community businesses. Identify and make certain that unscrupulous persons do not victimize the community. Advance planning for needed resources will reduce this from happening.
- **Develop understanding of the financial impact** to the community if the private sector is delayed in the resumption of business operations. In a widespread disaster, determine who needs to be “recovered first” and understand the impact on the welfare of the community.
- **Use all available community resources** to assist persons in recovering from traumatic events. Reestablishment of the individual sense of well being is an essential part of the community’s recovery process. In this age of technology the public expectations may be overly optimistic.

*In an emergency, neighbors have to deal with neighbors and after the crisis, they still have to live and associate with each other.*

*The public and private sectors agreed that there is no disaster that cannot be managed if they have joined in the planning, response, recovery, and mitigation process. With their joint expertise and resources, a terrible event can be resolved and the public’s confidence in their community can be maintained.*

*A private sector executive was surprised that his company could be shut down for several weeks while crime scene activities were conducted by the public sector. A tabletop exercise had exposed this possibility and, as a result, recovery and business resumption plans were being modified.*

# Critical Incident Process Flow Chart



MITIGATION

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# Appendix A:

## Components of a Basic Information Form

The following is a consolidation of forms, information sheets, and guides used by regional participants. The purpose is to compile information during the assessment and planning process for use at the time of a critical incident.

### Company Name:

#### Location:

Address with closest cross streets, roads, or major highways  
Alternate access routes

#### Phone numbers/contact:

Emergency contacts (name, telephone, mobile phone, and page numbers)  
Contract or proprietary security  
Key management  
Location where emergency responders will be met  
Primary and alternate locations for mobile command

#### Information and background:

Type of company or business  
Number of employees  
Brief history of business

#### Type of construction:

Wood, block, open steel, concrete slab, etc.  
Special construction, i.e. walls for explosion venting, etc.  
Truss direction (north/south or east/west)

#### Facility size:

Square feet  
Number of shifts and personnel assigned

#### Facility fire, security, or other asset protection technology:

CO<sub>2</sub>, sprinklers, foam, electronic card access control systems, etc.  
Fire control panel, type of systems, and location(s)  
Evacuation alarms  
Close circuit television systems

#### Independent water supplies:

Water tank, pond, etc.

#### Contiguous areas:

Hazardous facilities in close proximity  
Water ways, railroad tracks, airport flight paths, etc.  
Surrounding civilian population, schools, churches, arenas

#### On-site emergency resources:

Equipment and personnel

#### Off-site emergency resources:

Company  
Contract  
Mutual Aid pact (formal or informal)

#### Emergency information:

Material Safety Data Sheets  
Hazardous material and locations  
Number and training of emergency personnel  
Number of medical personnel at facility  
Security/fire control central station

#### Facility diagram and/or photographs:

#### Other information considered pertinent:

Name and telephone number of person completing information sheet:

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# Appendix B:

## Tabletop Exercise Scenario Example

**8:30 AM**      **Introductions and Tabletop Exercise Objectives**

**9:00 AM**      **Exercise Begins. Participants are provided the following information:**

### **SEGMENT 1 — Response**

The local police just received a call from Novelty Manufacturing Company Security that a shooting has occurred at their plant. Initial reports indicate that a gunman entered the plant and shot a receptionist. Employees and visitors are running from the plant in panic and the gunman is still inside. The following conditions exist.

***It is 2:15 PM, on a Thursday afternoon. The weather is a typical mild spring day with no wind.***

***Novelty Manufacturing is located next to a medium size strip mall. The company employs 125 workers.***

***There is a school located immediately behind the Mall and school gets out at 2:30 PM. Many students cut through the back lot of the plant to meet their friends at the shopping center after school.***

Two unarmed plant security officers are outside the plant. Witnesses running from the plant have informed security that the gunman is also holding several containers of a liquid-like substance.

One fleeing employee also informed security that she knows the receptionist who is shot. She believes the husband is the shooter. The employee also indicated that the receptionist just filed a restraining order against her husband.

***Police, fire, and emergency services are on the scene. The plant's manager is in the front parking lot. The police are requesting information on the victim, floor plans, and if all employees are out of the plant. It is not known what visitors are still in the plant. The fire department wants to know where flammable materials or items are located in the plant.***

The press is on the scene and interviewing witnesses. They want a spokesperson from the responders to meet them and appear on camera. They want to know if there is a danger to the school and also other stores in the mall.

Persons are calling Mall security wanting to know if any of their friends or relatives are hurt. Mall security wants a representative of the plant to handle the calls or come to their office. Mall security has informed the plant manager that his home office wants him to call.

Hysterical parents are calling the school and the police saying that they heard that there had been a shooting at the school.

**9:20 AM**      **Step 1 – Individual Analysis (10 minutes)**

Members of the emergency management team (public and private sector) should take approximately 10 minutes to list their response actions based on the above information. Any resources needed and contemplated actions should be noted. Any emergency planning documents should be referred to.

**9:30 AM Step 2 – Group Analysis (30 minutes)**

Members should present their recommended actions to the emergency management team. Team discussion should occur and any action(s) should be listed. A group list of priorities and next steps should be developed.

**10:00 AM**

**SEGMENT 2 — Response continued**

The following additional information is provided to participants:

Contact has been made with the gunman inside the building. He acknowledges he has shot his wife and is holding several hostages. He has threatened to kill them. To show he means business he claims to have started a fire in the store room at the back of the building.

Police units in back of the Mall report smoke coming from inside the dock area of the plant.

**10:15 AM Group Analysis (30 minutes)**

Each emergency management team should discuss the new information and what resources will be needed to respond to the current situation.

**10:45 AM Exercise scenario concludes when gunman surrenders to police**

**Critique & Discussion: (45 minutes)**

Some points to consider:

- What type of incident command structure was used? Who was in charge?
- Was there a joint command center established? Where was it located?
- What information was needed from the public and private sector respectively?
- Were plant diagrams and employee information readily available?
- Was there an evacuation of surrounding stores and the school? How was it handled?
- Where was the press staged and who was the primary spokesperson? How was accurate information obtained by the spokesperson?
- How was the fire in the back of the store handled?
- How was information on the shooter obtained? Was there any concern for the liquid that he was carrying?
- What role did plant management, Mall management, and private security play?
- Based on the lessons learned in this exercise, what are the next steps for participants to take individually and as a group? What is the time frame for taking these steps? When will the participants reconvene to report on the accomplishment of their respective actions?

**11:30 AM Exercise Concludes**

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# References

Here are some helpful references if additional information is desired.  
This list is not, by any means, all-inclusive.

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**Michigan Hazard Analysis**, Emergency Management Division, Department of Michigan State Police, EMD PUB-103, Publication 10-98.

**Site Emergency Planning Workbook**, Emergency Management Division, Department of Michigan State Police, EMD PUB-602, Publication 5-95.

**Warning, Evacuation, and In-Place Protection Handbook**, Emergency Management Division, Department of Michigan State Police, EMD PUB-304, Publication 1-94.

## Internet Resources

[www.msp.state.mi.us/division/emd/emdweb1.htm](http://www.msp.state.mi.us/division/emd/emdweb1.htm) Michigan State Police Emergency Management Division and contains publications on emergency management.

<http://www.redcross.org> The American Red Cross web site contains information on community disaster planning, mitigation, management and recovery from disasters.

[www.atf.treas.gov](http://www.atf.treas.gov) The Bureau of Alcohol, Tobacco, and Firearms website contains information on bomb threat and detection resources. A Bomb and Physical Security Planning link titled, **Bomb Threat Workbook**, for the public sector is available, along with information on detecting suspicious devices and bomb threat checklists.

[www.cdc.gov](http://www.cdc.gov) Information on infectious diseases from the Centers for Disease Control.

[www.cbiac.apgea.army.mil](http://www.cbiac.apgea.army.mil) The Chemical and Biological Defense Command web site provides information and analysis on CW/CBD.

<http://www.oep-ndms.dhhs.gov> The Department of Human Health Services web site on their role and function in emergency planning.

<http://www.disasterrelief.org> The Disaster Relief web site is maintained by the American Red Cross, CNN, and IBM. It provides information on disasters and sources for recovery support.

[www.doe.gov](http://www.doe.gov) Information on Department of Energy capabilities and support involving radiological materials and related emergencies.

<http://www.dtic.mil/def> U.S. Department of Defense with links to domestic preparedness resources.

[www.doc.gov](http://www.doc.gov) Department of Commerce information on emergency/disaster mitigation.

<http://www.dot.gov> U.S. Department of Transportation (DOT) information on hazardous materials.

<http://www.epa.gov> The U.S. Environmental Protection Agency web site provides information on accident protection, risk management, and their role in counter-terrorism. Links to other federal agencies and organizations involved in counter-terrorism are provided.

[www.fbi.gov](http://www.fbi.gov) Information and services available from the Federal Bureau of Investigation, designated as the the Lead Federal Agency in events involving terrorism.

<http://www.fbi.gov/programs/ndpo/default.htm> The National Domestic Preparedness Office (NDPO) web site provides links to other federal WMD assets and expertise.

<http://www.fbi.gov/ansir/ansir.htm> FBI/Awareness of National Security Issues and Response (ANSIR). The web site is the public voice for the FBI on espionage and physical infrastructure protection.

<http://www.fema.gov> The Federal Emergency Management Agency web site contains emergency response and planning information. Documents on various hazards can be downloaded along with fact and planning sheets.

<http://www.usgs.gov> The U.S. Geological Survey (USGS) contains information on geologic hazards. The USGS also monitors and evaluates threats from a number of natural hazards.

[www.info.gov/fed\\_directory/phone.shtml](http://www.info.gov/fed_directory/phone.shtml) Directory assistance link for the Government Information Exchange site. The link has access to the Operation Respond Emergency Information System (OREIS) database designed to provide first responders with information on various hazards.

<http://www.ibhs.org> The Institute for Business and Home Safety provides information on residence and business natural disaster safety. The web site is an initiative of the insurance industry to reduce death, injury, and property damage.

<http://www.iaem.com> The International Association of Emergency Managers (IAEM) web site provides information on emergency management issues.

<http://www.nemaweb.org> The National Emergency Management Association web site concentrates on mitigation of hazards. Links to related sites are provided.

<http://www.nrt.org> National Response Team Preparedness Committee web site on the exchange of lessons learned during training exercises. Links to over 100 preparedness and response web sites.

<http://ns.noaa.gov> NOAA's web site contains information on monitoring and analyzing hazards. Additional information on monitoring, responding to and mitigating hazards is available.

<http://www.ojp.usdj.gov/osldps> Office for State and Local Domestic Preparedness Support established to administer grants to assist state and local public safety personnel in acquiring the specialized equipment and training to safely respond to and manage domestic terrorist activities, especially dealing with WMD.

<http://www.osha.gov> Occupational Safety and Health Administration information on various human health and safety hazards.

[www.statelocal.gov](http://www.statelocal.gov) The U.S. State/Local Gateway for state and local access to federal information.

<http://www.usia.gov/topical/pol.terror> The U.S. Information Agency web site on counter terrorism with links to U.S. government sources.

<http://www.weather.com/safeside> The web site provides information on a joint project, Project Safeside, between the American Red Cross and Weather Channel to inform communities on meteorological hazards and the importance of preparing for natural disasters.

<http://www.emforum.org> The Virtual Forum for Emergency management professionals' web sites provides information on emergency management and links with professional organizations throughout the world. The Emergency Information Infrastructure Partnership is a voluntary association to exchange information on disaster planning and recovery. The EMForum includes FEMA, National Emergency Management Association (NEMA), the International Association of Emergency Managers (IAEM), National Volunteer Fire Council (NVFC), Congressional Fire Service Institute (CFSI) and State and Local Emergency Management Data Users Group.

<http://dp.sbccom.army.mil> This web site, SBCCOM:Program Director for Domestic Preparedness is dedicated to enhancing federal, state, and local emergency responders.

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# Glossary

During development of the **Critical Incident Protocol**, participants expressed the need to develop common **terminology** that would be jointly understood by the public and private sectors. The following definitions will be helpful during the planning and implementation process.

**Acceptable Down Time** – The period of time a function or activity can be disrupted without significant impact to production, customer service, revenue, or public confidence. Each business activity must develop its individual maximum allowable down time. Also referred to as Maximum Allowable Recovery Time.

**Business Resumption** – See Recovery

**Community** – A political entity, within a defined boundary, having authority to adopt and enforce laws and provides services and leadership to its residents.

**Crisis** – An incident or event that cannot be adequately handled within the normal scope of business operations. See Critical Incident.

**Crisis Management Team (CMT)** – CMT is comprised of senior private sector executives who represent the central business functions. In a disaster that exceeds the scope of normal business operations, the CMT provides strategy and support to the on-scene Incident Management Team. Analogous to the Emergency Operations Center (EOC) established by the public sector.

**Crisis Management Center (CMC)** – Location where the Crisis Management Team meets. Primary and alternate location must be preplanned. May be at the facility where the incident is occurring or a distant location, as the main office, headquarters of the business function, or alternate site.

**Critical Incident** – Any manmade or natural event or situation that threatens people, property, business, or the community and occurs outside the normal scope of routine business operations. Typically requires coordination of numerous resources.

**Critical Incident Plan** – Action plan developed to mitigate, respond to, and recover from a critical incident. Includes steps to guide the response and recovery efforts. Identifies persons, equipment, and resources for activation in a disaster and outlines how they will be coordinated.

**Disaster** – see Critical Incident.

**Emergency** – An event that threatens people, property, business continuity, or the community and may develop into a disaster or critical incident.

**Emergency Operations Center (EOC)** – The EOC is a location where senior public sector officials who represent primary governmental functions assemble to resolve a critical incident. Monitors and directs emergency response and recovery activities. Supplies the public sector Incident Commander with the necessary resources to resolve the critical incident. Analogous to the private sector Crisis Management Team (CMT).

**Emergency Planning** – see Critical Incident Planning.

**Emergency Response** – Coordinated public and private response to a critical incident.

**Emergency Response Team** – See Incident Management Team

**Exercise** – A planned, staged implementation of the critical incident plan to evaluate processes that work and identify those needing improvement. Exercises may be classified as Orientation, Tabletop, Functional, or Full-scale and involve scenarios to respond to and resolve the assessed risks. See definitions of exercise types.

**Full Scale Exercise** – Conducted in an environment created to simulate a real-life situation. Involves functional areas of response resources.

**Functional Exercise** – Limited involvement or simulation by field operations to test communication, preparedness, and available/deployment of operational resources.

**Hazards** – Any circumstances, natural or manmade, that may adversely affect or attack the community's businesses or residences.

**Incident Commander** – Public sector official (usually fire or police) in charge of coordinating resources and developing strategies to resolve the critical incident.

**Incident Command System (ICS)** – ICS establishes an organized approach to take charge of a critical incident and coordinate the response. Joint private/public sector planning enables a smooth transfer of authority from the private sector to the public sector Incident Commander when they arrive on the scene. Unified command may occur after this transfer.

**Incident Management Team (IMT)** – The private sector response team at the scene to resolve the critical incident. If a company Crisis Management Team is available, the IMT may request additional private sector resources. May also be known as Emergency Response Team (ERT)

**Local Emergency Planning Committee (LEPC)** – Process established by the U.S. Environmental Protection Agency for particular hazards and suggested as a method for local business and government to partner in the critical incident planning process.

**Maximum Allowable Recovery Time** – See Acceptable Down Time

**Mitigation** – Activities to eliminate hazards in advance or to lessen their impact if an incident occurs. Includes all types of prevention activities, control or containment, forward planning, and risk reduction. Should be considered throughout the entire planning, response, and recovery process.

**Orientation exercise** – Low stress training exercise to familiarize teams with their roles and expectations. Usually provided in a partial briefing format. Provides an overview of the critical incident response plan.

**Preparedness** – Actions and initiatives developed prior to an incident that includes risk assessment, planning, training, and exercising.

**Private Sector** – A business or company not owned or managed by the government.

**Public Sector** – A particular element or component of government, i.e. police, fire, emergency services, public works, local, state, or federal government entity.

**Recovery** – Process that takes place during and after a critical incident that focuses on repair of damages, return to normal activities, and recovery of losses. May also be called Business Resumption.

**Response** – Reacting to and managing a critical incident until it is resolved.

**Risk assessment** – Identification of risks to persons or property, operations, or business function or activity, and evaluation of the importance of the function to the continued business operation. Functions may be classified as **critical, essential, or non-essential** to their importance in continuing normal operations. May be individual assessments conducted by a particular entity or jointly conducted between the public and private sectors. The vulnerability of each function should also be evaluated.

**Tabletop Exercise** – Limited simulation of an emergency situation to evaluate plans, procedures, coordination and assignment of resources. Usually involves decision-makers interacting to resolve issues raised by a pre-scripted scenario.

**Terrorism** – The calculated use of **violence or threat of violence** to inculcate fear; intended to coerce or to intimidate governments or societies in the pursuit of goals that are generally political, religious, or ideological.

**Unified Command System (UCS)** – The UC involves a management structure to facilitate public and private teamwork to bring together expertise and resources for managing and resolving a critical incident. Involves joint consultation and decision making.

**Vulnerability** - Evaluation made on the extent or frequency of exposure to an identified risk. May be classified as Highly Vulnerable, Vulnerable, or Not Vulnerable. Establishes significance of risks and the potential impact to the ongoing business functions. Important factor to be considered in establishing priorities in mitigation activities.

**Weapons of Mass Destruction** – Any destructive device that is intended or capable of causing death or serious injury to a large number of people through the release, dissemination, or impact of toxic or poisonous chemicals or their precursors, disease-causing organisms, radiation or radioactivity, or conventional explosives sufficient for widespread lethality.

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