



# Incident Response Planning & Preparation

Student Guide

2013



GLOBAL BIORISK MANAGEMENT CURRICULUM

***Incident Response Planning & Preparation***

***Welcome & Introductions***



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## Introductions

- Instructors
- Students
  - Your name?
  - Where are you from?



Slide 2

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# Action Plan

By the end of this lesson, I would like to:

| KNOW   |  | FEEL  |  | BE ABLE TO DO                        |   |
|--|--|---|--|--------------------------------------|---|
| <i>Your learning doesn't stop with this lesson. Use this space to think about what else you need to do or learn to put the information from this lesson into practice.</i> |  |   |  |                                      |   |
| What more do I need to know or do?   |  | How will I acquire the knowledge or skills? |  | How will I know that I've succeeded? | How will I use this new learning in my job? |
|  |  |   |  |                                      |   |
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|  |  |   |  |                                      |   |



## Key Messages

- The most effective incident response systems will be able to plan and prepare for potential incidents, alert to and assess actual incidents, and quickly mount effective responses.
- Without proper planning and preparation, an incident response system would be unable to alert to an incident in a timely fashion, properly assess that incident, or mobilize effectively in response.
- In the case of incident response, planning is the process whereby a potential incident is considered and evaluated, and resources are assigned, in order to generate a response that will appropriately mitigate any adverse effects.
- Management has the authority to make medium and long-term decisions and allocate appropriate resources towards an incident management system.

Slide 4



## Key Messages, continued

- Management, however, needs the expertise and advice of biorisk management advisors, lab workers, and other personnel in the institution to adequately make plans.
- Planning should result in a document, developed by management in cooperation with an institution's personnel (and others), that outlines, at a high level, how the incident management system will operate.
- Preparation derives directly from planning. It is the act of putting into effect an institution's plans prior to an incident, in order to be in a position to better handle that incident when it does occur.
- The preparation process includes training of personnel, acquisition of equipment, storing of supplies, and physical modifications to equipment and buildings when possible, and desirable.

Slide 5

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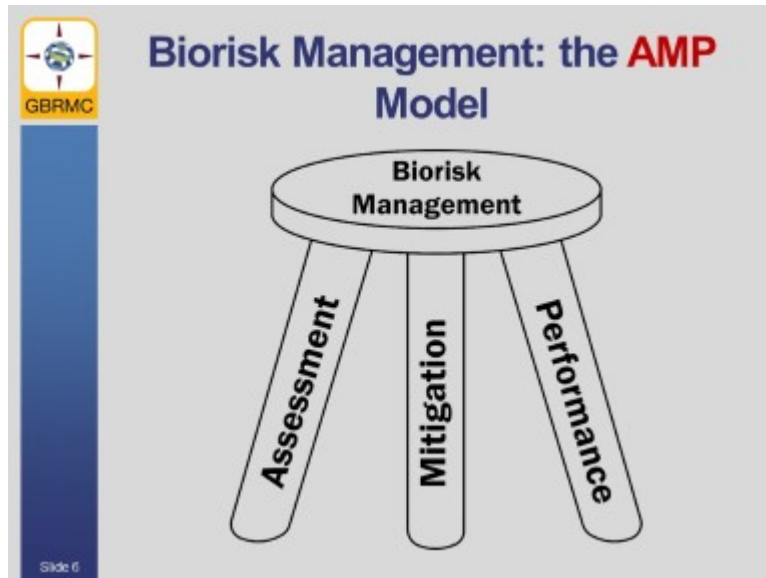
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## *Incident Response Planning & Preparation*

## *Biorisk Management*



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## Key Components of Biorisk Management

- **Biorisk Assessment**
  - Process of identifying the hazards and evaluating the risks associated with biological agents and toxins, taking into account the adequacy of any existing controls, and deciding whether or not the risks are acceptable



Slide 7

Define **assessment**:

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## Key Components of Biorisk Management

- **Biorisk Mitigation**
  - Actions and control measures that are put into place to reduce or eliminate the risks associated with biological agents and toxins



Slide 8

Define **mitigation**:

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### Key Components of Biorisk Management

- **Biorisk Performance**
  - Improving biorisk management by recording, measuring, and evaluating organizational actions and outcomes to reduce biorisk.



Define **performance**:

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## Incident Response Planning & Preparation

## Incidents



### Incident versus Emergency

An **incident** is an **event** that is likely to have adverse consequences.

An **emergency** is an **incident** that requires an immediate response.

Slide 10

What is an Incident?

What is an Emergency?

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## Incidents

**Group Exercise:**

**In your groups**, spend **5 minutes** to list all possible examples of an **Incident** that might impact or involve biological agents or toxins. Write each incident on an individual **sticky-note** and place them on your **flip chart**.

Slide 11

What are some examples of an incident that might impact or involve biological agents or toxins?

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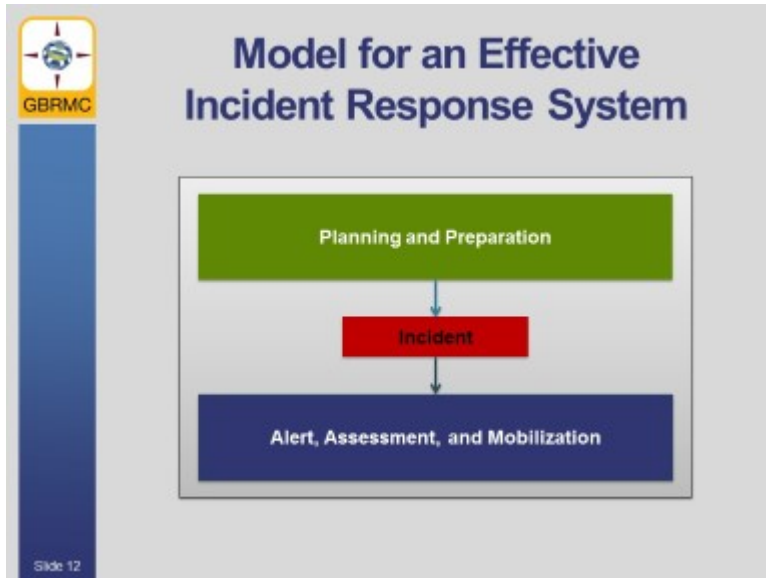
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**Introduction to Planning and Preparation**

We will now look more closely at the **planning and preparation** phase.

Planning and Preparation ■

Incident ■

Alert, Assessment, and Mobilization ■

GBRMC

Slide 13

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## Planning and Preparation

Without proper **planning and preparation**, an **incident response system** would be unable to **alert** to an **incident** in a timely fashion, properly **assess** the **incident**, or **mobilize** effectively in response.

### Why?

**Hint:** Think of an incident where there had not been any prior thought on how to respond. What was the outcome?

Slide 14

Why are Planning and Preparing so important?

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## Planning

What exactly is **planning**?

Slide 15

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## Planning

**Planning** is the development of mechanisms or procedures, in advance, to achieve a particular goal.

Slide 16

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## Planning

In the case of **incident response**, **planning** is the process whereby a potential **incident** is **considered** and **evaluated**, and resources **are assigned**, in order to **generate** a response that will appropriately **mitigate** any adverse effects.

Slide 17



## Planning

**Incident response planning** is normally the responsibility of an institution's **management**.

Top level **decision-makers** must come together to determine the best approach for handling **incidents** in a particular institution.

Slide 18

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## Planning

**Management** has the **authority** to make **medium** and **long-term decisions** and allocate appropriate **resources** towards an **incident management system**.

**Management**, however, needs the expertise and advice of other **personnel** in the institution to adequately make **plans**.

Why?

Slide 19

What is the role of management in Incident Management & Response?

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## Planning

Often, **management** can develop high-level policy and delegate details to those **personnel** more familiar with daily operations and technical work.

Slide 20



## Planning

**Planning** should result in a **document**, developed by **management** in cooperation with an institution's **personnel** (and others), that outlines, at a high-level, how the **incident management system** will operate.

Slide 21

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## Incident Response Planning & Preparation



### An Incident Management Plan is an “instructional document”

- Instructional documents teach a reader to:
  - Understand a rule or principle.
  - Envision a process or workflow.
  - Perform a task.
  - Use a tool.
- Instructional documents are **READER-CENTERED** (rather than rule-centered)

Slide 22


## Writing Instructional Documents



### Some Instructional Documents

- Policy:
  - A plan or guiding principle that influences other actions
- Program Plan:
  - A set of tasks or actions, performed in a specified sequence or manner, that achieves a particular result.
- Procedure:
  - A specific task, work instruction, or action. Procedures may include steps or actions

Slide 23



### Targeting an Incident Management Plan

**Group Exercise:**  
In your groups, spend **10 minutes** answering these questions:

- Who writes this document?
- Who is the audience?
- What is the intended purpose?

Slide 24

Author:

Audience:

Purpose:

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## Planning an Incident Management Plan

**Group Exercise:**

**In your groups**, spend **5 minutes** brainstorming all the topics that an incident management plan should contain. Put each topic on an individual **sticky note**.

Remember the answers from the previous exercise to help you target the topics.

Slide 25

What should be in an incident management plan?

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## Planning an Incident Management Plan

### Class Exercise:


**As a class**, put all of the **sticky notes** in one large area. Now, group them into categories of topics. Write a new **sticky note** to title the category.

Remember the answers from the previous activity to help you target the topics.

Slide 26

What categories did you come up with?

|                               |                               |
|-------------------------------|-------------------------------|
| <hr/> <hr/> <hr/> <hr/> <hr/> | <hr/> <hr/> <hr/> <hr/> <hr/> |
|-------------------------------|-------------------------------|



### Function versus Resources

- A plan generally describes two aspects:
  - Functions
    - What must be done
  - Resources
    - What it takes to get the function done
- Can the titles from the previous exercise be grouped into these two aspects?

Slide 27

Notes:

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## Incident Response Planning & Preparation

## Writing Instructional Documents



### Suggested functional categories

- Planning
- Preparation
- Alert
- Assessment
- Response (Mobilization)
- Investigation
- Testing
- Feedback
- Others?

Slide 28


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### Suggested resource categories

- Personnel
  - Internal
  - External
- Equipment
- Facilities
- Time
- Supplies
- Training
- Testing
- Performance Indicators/Metrics

Slide 29

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## Writing an Incident Management Plan, Step 1

### Class Exercise:

The goal of this exercise is to create, as a class, a matrix of information that will guide you in writing a comprehensive incident management plan.

**Your small group** will be assigned one or two functions from the previous activity and asked to begin addressing the **resources required** to accomplish that function.

Write your answers, large and legibly, on the **sheets of paper** that are provided.

Take **15 minutes** per topic.

Slide 30

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## Validating an Incident Management Plan

### Group Exercise

You now have the basic structure of a plan – the functions and the resources required. Now let's see if it would work with some examples of common and not-so-common incidents.

- **Your small group** will be assigned one incident scenario.
- Walk through the plan and determine if the plan provides enough guidance to effectively manage the incident.
- If, after the walk-through, you feel that additional information/guidance is required, use sticky notes to add that to the matrix cell where it is required.

*Remember that the plan is NOT a standard operation procedure so the specifics about exactly what to do won't be included – focus on assuring that the resources are described for each functional step in the process.*

**Take 20 to 25 minutes** for this validation activity.

Slide 32

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## Incident Response Planning & Preparation


## Preparation



### Preparation

**Preparation** derives directly from **planning**. It is the act of putting into effect an institution's **plans** prior to an **incident**, in order to be in a position to better handle that **incident** when it does occur.

Slide 33



### Preparation

The **Preparation** process includes assuring that all the resources or actions identified in the plan are available or readily acquired. This includes **training of personnel**, acquisition and storage of **equipment** and **supplies**, and **physical modifications** to equipment and **buildings** when possible, and desirable.

Slide 34

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## Preparation

Think about the different types of **personnel** who work in a typical **lab** or **institution**.

**Question:** How should each of these be involved in the **preparation** process?


Please **discuss** for **5 minutes** at your **tables** and be prepared to share with the class.

Slide 35

Who can contribute to the Preparation of an Incident Response System?

What is their contribution/role?

|                               |                               |
|-------------------------------|-------------------------------|
| <hr/> <hr/> <hr/> <hr/> <hr/> | <hr/> <hr/> <hr/> <hr/> <hr/> |
|-------------------------------|-------------------------------|



## Planning & Preparation Action Plan

### Individual Exercise

What do you need to do to create an incident management plan for your organization? What preparation needs to occur for the plan to be implemented?

**Individually**, list 5 to 10 actions that you need to take to create an organizational incident management plan and to prepare to implement the plan. Use the worksheet in your **workbook**.

Then categorize them as follows:

- A = fairly easy to accomplish on your own
- B = fairly easy to accomplish but involves other people and/or an extended period of time
- C = more difficult to accomplish because it requires extensive change
- D = more difficult to accomplish because it requires extensive resources
- E = extremely difficult to accomplish

Slide 36

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## Planning & Preparation Action Plan

**Exercise:**

Pick 1 "A" category actions, 1 "B", "C", or "D" actions, and 1 "E" action.

Using the remainder of the worksheet, determine who else needs to be involved, the time & resources needed, and additional challenges. Plan one or two next steps and a due date for each of these 3 actions.

*Note: the actions that require other people, additional resources, extensive change, or that are generally more difficult will take more effort to accomplish. However, taking small steps on all types of tasks, rather than just the easier ones, will better assure that you ultimately will be successful in accomplishing them.*

Slide 38



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## *Incident Response Planning & Preparation*

## *Review & Wrap-Up*



### Review

To wrap-up, let's discuss what we learned about **Incident Response Planning & Preparation**

|                    |                    |                           |
|--------------------|--------------------|---------------------------|
| What did we learn? | What does it mean? | Where do we go from here? |
|--------------------|--------------------|---------------------------|

Slide 39

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## Key Messages

- The most effective incident response systems will be able to plan and prepare for potential incidents, alert to and assess actual incidents, and quickly mount effective responses.
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- In the case of incident response, planning is the process whereby a potential incident is considered and evaluated, and resources are assigned, in order to generate a response that will appropriately mitigate any adverse effects.
- Management has the authority to make medium and long-term decisions and allocate appropriate resources towards an incident management system.

Slide 40



## Key Messages, continued

- Management, however, needs the expertise and advice of biorisk management advisors, lab workers and other personnel in the institution to adequately make plans.
- Planning should result in a document, developed by management in cooperation with an institution's personnel (and others), that outlines, at a high-level, how the incident management system will operate.
- Preparation derives directly from planning. It is the act of putting into effect an institution's plans prior to an incident, in order to be in a position to better handle that incident when it does occur.
- The Preparation process includes training of personnel, acquisition of equipment, storing of supplies, and physical modifications to equipment and buildings when possible, and desirable.

Slide 41

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# Action Plan

By the end of this lesson, I would like to:

|      |  |      |  |               |  |
|------|--|------|--|---------------|--|
| KNOW |  | FEEL |  | BE ABLE TO DO |  |
|------|--|------|--|---------------|--|

*Your learning doesn't stop with this lesson. Use this space to think about what else you need to do or learn to put the information from this lesson into practice.*

| What more do I need to know or do? | How will I acquire the knowledge or skills? | How will I know that I've succeeded? | How will I use this new learning in my job? |
|------------------------------------|---|--------------------------------------|---|
|                                    |   |                                      |   |
|                                    |   |                                      |   |
|                                    |   |                                      |   |

*Use space on back, if needed*