

US Airways
Weehawken, NJ
January 15, 2009
DCA09MA026

National Transportation Safety Board
Washington, D.C.

Attachment 5

New York OEM CIMS Protocol

9 Pages

1. Overview

1.1. Introduction

New York City's public safety agencies typically perform their daily responsibilities using their own resources. However, City agencies frequently respond to more complex multi-agency and multi-jurisdictional incidents that are successfully resolved through the cooperation of several City, state and federal agencies, and non-profit and private sector organizations. Further, there is a heightened need for New York City's response agencies to be integrated with regional and national emergency preparedness and response organizations.

The **Citywide Incident Management System (CIMS)** is an incident management doctrine for managing emergency incidents and planned events in New York City. CIMS establishes roles and responsibilities and designates authority for City agencies performing and supporting emergency response.

CIMS is designed to be scalable and to facilitate integration of additional organizations, including state and federal agencies, and private sector and non-profit organizations.

CIMS is the City of New York's implementation of the National Incident Management System (NIMS). CIMS has been developed to address New York City's specific incident management requirements, while still ensuring that CIMS is fully interoperable with the Incident Command System (ICS) and meets federal requirements for implementing NIMS. All references to ICS in CIMS refer specifically to the ICS implemented in NIMS. NYC-specific modifications to the NIMS ICS standard are documented in NYC Modifications to NIMS ICS (Annex C).

Key Components of CIMS include:

- Defining how citywide emergencies or multiple large-scale incidents will be managed;
- Defining agency roles and responsibilities at multi-agency incidents;
- Establishing the NIMS ICS standard as NYC's incident management system;
- Defining the ICS organizational structure;
- Establishing means of integrating regional, state and federal agencies into a NYC response;
- Describing the operational implementation of CIMS;
- Defining how incident operations, including Life Safety, Investigation, Site Management and Recovery / Restoration, are prioritized, and when they can be implemented concurrently;

- Establishing a process for after-action review and critique of emergency responses and implementing lessons learned; and
- Defining ICS implementation and training requirements for NYC agencies participating in citywide response.

1.2. Integration with State and Federal IMS

CIMS is interoperable with NIMS and New York State's ICS. The multi-jurisdictional scope of large-scale, catastrophic emergencies requires that NYC agencies be able to integrate regional, state and federal agencies into NYC's incident management system. Adopting (with modification) the NIMS ICS standard as CIMS' organizational structure ensures compatibility with state and federal response agencies.

CIMS will be updated as needed to ensure that as evolving operations, preparedness and training standards are adopted; CIMS will continue to be interoperable with state and national standards.

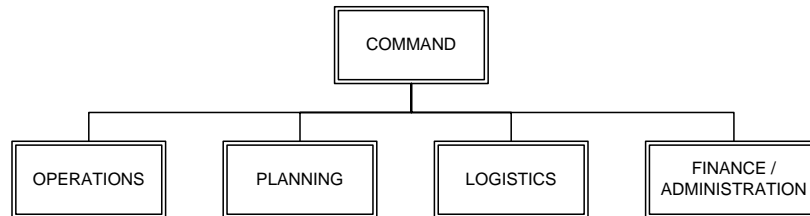
1.3. ICS Implementation Overview

Under CIMS, ICS will be implemented at all responses. The command model to be used (Single or Unified Command) and the Primary Agency or Agencies are designated in the Primary Agency Matrix (Annex A). ICS implementation is discussed in greater detail in Section 3.1.

1.4. Generic ICS Structure

CIMS addresses small- and large-scale incidents. The ICS structure actually used at responses will vary; however, under CIMS, a variation of the generic ICS structure, depicted in Figure 1, will be used at all incidents regardless of the size and nature of the incident.

Figure 1 - Generic ICS Structure



Additional General Staff Sections may be implemented if the incident has a significant functional requirement that is not met using the generic ICS organizational model.

Depending on the scale and requirements of the incident, the Command Element (see Section 2.1) will either retain or delegate the Operations, Planning, Logistics and Finance / Administration roles. Detailed ICS organizational implementations are described in the National Incident Management System (Annex B).

1.5. CIMS Development and Maintenance

CIMS was developed by the Office of Emergency Management (OEM) in consultation with the Mayor and after comment by representatives of key City agencies.

A **CIMS Advisory Committee** will be formed to regularly review and maintain CIMS and to institutionalize its use by agencies and organizations supporting emergency responses in New York City.

The CIMS Advisory Committee will be chaired by OEM and composed of representatives from key agencies and response and recovery experts.

OEM, in consultation with the CIMS Advisory Committee, will regularly review, and update CIMS to:

- Ensure compliance with federal requirements;
- Ensure interoperability with NIMS ICS standards;
- Incorporate emergency management best practices;
- Incorporate interagency response protocols; and
- Incorporate lessons learned from after-action reviews.

2. Incident Command

2.1. Overview

The Command function of an incident management organization is performed by one or more individuals called “Incident Commanders” who are designated by their respective agencies. Regardless of whether the Command function is performed by a single person or by multiple people, the term “Command Element” is used in CIMS to refer generically to the individual(s) performing the Command function of an incident management organization.

The Command Element is responsible for overall incident management and has the authority to make overall strategic and tactical decisions regarding the mitigation of the incident, define the Incident Objectives, and determine what resources are required for incident operations. The Command Element is responsible for working collaboratively with the Primary, Coordinating and Supporting Agencies to set Incident Objectives and priorities, and is accountable for the effective deployment of available resources.

As an incident escalates or span of control becomes difficult to manage, the Command Element may choose to delegate responsibility for subordinate ICS functions (e.g., Operations, Planning, Logistics, etc.). However, the Command Element retains responsibility for overall management of the incident.

2.2. Primary Agency Matrix

CIMS refers to agencies with Incident Command responsibilities as “Primary Agencies.” The Primary Agency Matrix (Annex A) lists different incident types and specifies:

- What command model (Single or Unified) will be implemented; and
- Which agencies have Incident Command responsibilities for that incident type (agency roles).

The command models and agency roles recognized in CIMS are described in Sections 2.4 and 2.5.

2.3. Principles

Regardless of whether a Single or Unified Command is implemented at an incident, and regardless of an agency’s role, the following principles apply to all incidents in New York City:

- All agencies operate within a CIMS ICS structure;

- The Incident Commander of each Primary Agency and the senior representatives of all Supporting Agencies will remain together at a single Incident Command Post (ICP); and
- All agencies will begin working together early in an incident's development to share information and individual agency decisions, thereby facilitating more complex operations if the emergency escalates.

2.4. Command and Management Models

The ICS uses two command models for managing incidents: Single Command and Unified Command. These command models are described below. The Primary Agency Matrix (Annex A), and / or the size and complexity of the incident determine which command model is used to manage the response.

2.4.1. Single Command

For incidents being managed by a Single Command, the Primary Agency will designate a single Incident Commander with overall incident management responsibility. In cases where incident management crosses boundaries with adjacent jurisdictions, a single Incident Commander may be designated if all parties agree to such an option.

The Incident Commander will develop Incident Objectives upon which subsequent incident action planning will be based. The Incident Commander will approve an Incident Action Plan (IAP) and all requests pertaining to the ordering and releasing of incident resources.

2.4.2. Unified Command

A Unified Command with overall incident management responsibility will be established for multi-agency incidents or by consensus of responding agencies. Each agency in the Unified Command will designate an Incident Commander who will jointly set incident objectives with the other Primary Agencies.

Unified Command is an important element in improving multi-jurisdictional or multi-agency incident management. As a combined command and management effort, Unified Command overcomes much of the inefficiency and duplication of effort that can occur when agencies from different functional and geographic jurisdictions, or agencies at different levels of government, operate without a common organizational framework.

Examples of incidents where Unified Command may be implemented include:

- Multi-agency incidents requiring a Unified Command as determined in the Primary Agency Matrix (Annex A);
- Incidents involving multiple agencies from more than one political jurisdiction (e.g. City, state and federal agencies); or
- Incidents involving multiple political and geographic jurisdictions.

The members of the Unified Command have different legal authorities and areas of responsibility. They jointly determine overall incident strategies, set and prioritize Incident Objectives, ensure that joint planning for tactical operations is accomplished, ensure the integration of tactical operations, and approve, commit and make optimal use of all assigned resources.

The goals of the Unified Command are:

- Ensure that all Incident Objectives are met in priority order;
- Manage the incident under a single, unified approach;
 - One organizational structure
 - One Incident Command Post
 - One planning process
 - One resource management process
- Ensure that each Incident Commander shares all vital information;
 - Agency responsibilities for incident mitigation
 - Agency incident objectives
 - Agency resource availability and capabilities
 - Agency limitations
 - Areas of agreement and disagreement with other ICs
- Develop a single IAP; and
- Ensure that an interoperable communications plan and system are implemented.

2.4.3. Single / Unified Command Differences

The primary differences between Single and Unified Command are:

In a Single Command structure, the Incident Commander is solely responsible (within the confines of his or her authority) for establishing incident management objectives and strategies. The Incident Commander is directly responsible for ensuring that all functional area activities are

directed toward accomplishment of the strategy. The implementation of the IAP is the responsibility of the Operations Section.

In a Unified Command structure, the individuals designated by their agencies jointly determine objectives, strategies, plans, and priorities and work together to execute integrated tactical operations and maximize the use of assigned resources. Primary Agencies with tactical operations responsibilities each designate an Operations Section Chief to direct tactical operations in a Unified Operations Section, or if agencies agree, they may select a single Operations Section Chief to direct tactical operations.

2.5. Agency Roles

Agency roles at incidents are classified as follows:

Primary Agency	Agencies with Incident Command responsibilities
Coordinating Agency	OEM is the City's Coordinating Agency
Supporting Agency	Agencies that support incident operations by providing personnel and equipment to the incident

2.5.1. Primary Agency

Primary Agencies are designated in CIMS to have overall responsibility for an incident, including overall management of strategic and tactical operations. Primary Agencies will cooperate with Supporting Agencies to successfully achieve Incident Objectives. Incidents managed by a Unified Command will have more than one Primary Agency.

In a Single Command response, the Incident Commander will be the designated member of the Primary Agency who is responsible for overseeing that agency's operations for the incident. The Incident Commander will designate the Operations Section Chief (see Annex A for exceptions).

In a Unified Command response with multiple Incident Commanders, the Primary Agencies will co-locate at a single ICP and jointly set Incident Objectives. The Unified Command may designate a single Operations Section Chief (OSC) by mutual agreement, or an OSC may be designated from each Primary Agency with a relevant Core Competency (see Section 3.2.5).

Depending on the location and / or type of an incident, additional agencies may have jurisdictional responsibilities for managing the incident (e.g.

incidents occurring on state or federal property within NYC). The Primary Agency Matrix (Annex A) tries to anticipate these scenarios and identifies these agencies as “Potential Primary Agencies” that will participate in a Unified Command, as appropriate.

2.5.2. Coordinating Agency

OEM, as the City's Coordinating Agency, may respond to multi-agency incidents and participate in the Unified Command, if established. At multi-agency incidents, it will be OEM's responsibility to:

- Ensure that a CIMS command structure is in place;
- Coordinate resources from response and recovery agencies;
- Relay situation information to the City's Emergency Operations Center and to the Mayor;
- Support logistics and communications needs;
- Obtain subject matter expertise; and
- Facilitate transition of command and resolution of interagency differences.

In complex incidents where the Primary Agency designation is unclear, falls outside of the incident types listed in the Primary Agency Matrix or changes as Incident Objectives are completed, OEM, based on the CIMS Protocol, will identify the appropriate Primary Agency or Agencies.

During large-scale or citywide incidents, OEM may activate the City's Emergency Operations Center (EOC) (Section 4.1).

OEM will also coordinate and support recovery and restoration activities.

2.5.3. Supporting Agency

Supporting Agencies help achieve Incident Objectives by providing personnel and equipment to the incident. Supporting Agencies accomplish this role without losing or abdicating agency authority and responsibility for their resources or functional jurisdiction. Depending on the specific nature or location of the incident, or other considerations, a Supporting Agency may be asked to join a Unified Command as a Primary Agency.

2.6. Transition of Command

Over the course of an incident, as emergency conditions change or Incident Objectives are completed, the Primary Agency designation may also change.

OEM will assist in identifying these transition points. The Primary Agency Matrix (Annex A) will be used to identify the appropriate agency or agencies to which to transition command.

Transition of command also includes changes of personnel filling incident management organization positions, e.g., as a result of expansion of the incident management organization, extended duration of incident, transition to investigative or recovery / restoration phases of the incident, or other considerations.

2.6.1. Process

When Primary Agency designation is transferred or personnel are replaced, the process must include a briefing that captures all essential information for continuing effective command. This information should be recorded and displayed for easy retrieval and subsequent briefings.