



# The PPBI Incident Management Maturity Model

Available with consulting assistance from PPBI

[ppbimail@twcny.rr.com](mailto:ppbimail@twcny.rr.com)

Contact Lynda Mura

Strategic Teaching Associates, Inc.

[sta@twcny.rr.com](mailto:sta@twcny.rr.com)

(315) 622-5924

# PPBI INCIDENT MANAGEMENT MATURITY MODEL



<b><i>Functional Category</i></b>	<b><i>Level 1 Inadequate</i></b>	<b><i>Level 2 Marginal</i></b>	<b><i>Level 3 Acceptable</i></b>	<b><i>Level 4 Best Practice</i></b>
<b><i>Assemble</i></b>	Inadequate notification process.	Limited / outdated contact information.	Expanded contact information updated within 12 months.	Comprehensive contact information with automated process and response capabilities updated within 6 months.
<b><i>Coordinate</i></b>	“Just in time” assignments; in-house only.	Emergency responsibilities pre-assigned with limited training. Coordination with appropriate emergency staff of opposite sector.	ICS organization implemented. EOC equipped. Cross section leadership briefings.	Functionally exercised command system within 6 months. Defined interrelationships between command staff and tactical operations. Cross sector stakeholders involved during rehearsals.
<b><i>Collect</i></b>	Limited staff to handle incoming calls (ad-hoc).	Staff trained in situation monitoring. I/P from multiple sources.	Incident Action Plan process utilized. Documentation system in place.	Electronic version of action plan and documentation system.
<b><i>Channel</i></b>	Timely information not shared with appropriate stakeholders.	Information disseminated/released upon request at irregular intervals.	Communicating to selected stakeholders regularly: PIO established.	Announced / scheduled media briefings to multiple stakeholders. Publicize known information. Trained PIO staff.

# Instructions

1. Place a check in the appropriate column for each item.
2. Use the Tally line to count the number of checks in each column for each of the 4 dimensions (Assemble, Coordinate, Collect, and Channel).
3. Transfer the Dimension Tally numbers to the small chart on page 4.
4. The Level with the highest number is the maturity level for that dimension of your Incident Management Plan.

# PPBI's Incident Management Plan Assessment Checklist



Prepared by PPBI members Peter Laz, Deidrich Towne, Jr., and Dr. Tom Phelan  
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ASSESSMENT ITEMS	NFPA Reference	Level 1 Inadequate	Level 2 Marginal	Level 3 Acceptable	Level 4 Best Practice
<b>"Assemble" the decision makers</b>					
1. Identify the functional roles and responsibilities of the following during Mitigation, Preparedness, Response and Recovery: a. Internal and External Agencies b. Organizations c. Departments d. Individuals					
2. Lines of authority for those agencies, organizations, departments, and / or individuals shall be established or identified.					
3. Develop and maintain a reliable capability to alert officials and emergency response personnel.					
4. An emergency communications and warning process/procedure shall be developed and periodically tested to alert customers or citizens of an actual or impending emergency.					
5. Notification exercises					
6. Involve local and regional Public Sector agencies					
<b>TALLY</b>					

ASSESSMENT ITEMS	NFPA Reference	Level 1 Inadequate	Level 2 Marginal	Level 3 Acceptable	Level 4 Best Practice
<b>"Coordinate" Response, Recovery and Restoration Activity</b>					
1. Develop the capability to direct, control, and coordinate response and recovery operations.					
2. Utilize an Incident Management System.					
3. Identify specific organizational roles, titles, and responsibilities for each management function as specified in the Emergency Operations Plan.					
4. Established procedures for coordinating response, continuity, and restoration while complying with applicable regulations					
5. Develop, coordinate, and implement operational procedures to support the IMP.					
6. Standard Operating Procedures are developed for identified credible hazards.					
7. A facility capable of supporting response and recovery operations shall be established, equipped, periodically tested, and maintained.					
8. Personnel shall be trained in the organization's incident management system.					
9. The IMP shall be evaluated through periodic reviews, testing, after-action reports, and exercises.					
10. Exercises shall be designed to test individual essential elements, interrelated elements, or the entire plan.					
11. Connect Evacuation Drills and Tabletop simulations					
12. Functional Exercises					5
<b>TALLY</b>					

ASSESSMENT ITEMS	NFPA Reference	Level 1 Inadequate	Level 2 Marginal	Level 3 Acceptable	Level 4 Best Practice
<b>"Collect" All Incident-Related Information</b>					
1. Particular attention shall be paid to considerations of life safety.					
2. Situation Analysis is conducted to include damage assessment and resources needed.					
3. The organization shall establish procedures to locate, acquire, distribute, and account for services, personnel, resources, materials, and facilities procured or donated to support the response to the incident.					
4. The organization shall perform an assessment of training needs, develop and implement a training/education program to support the IMP.					
5. Training records and documentation shall be maintained.					
6. The organization shall develop financial and administrative procedures to support the IMP before, during, and after an emergency or a disaster.					
7. Determine the level of implementation of the plan according to the magnitude of the incident.					
<b>TALLY</b>					<b>6</b>

ASSESSMENT ITEMS	NFPA Reference	Level 1 Inadequate	Level 2 Marginal	Level 3 Acceptable	Level 4 Best Practice
<b>"Channel" All Incident-Related Information</b>					
1. The IMP shall be communicated to and coordinated with all stakeholders					
2. Communications systems and procedures shall be established and regularly tested.					
3. Established procedures for maintaining continuity of response via the IMP					
4. After-action or lessons learned debrief sessions shall be conducted to ensure that corrective action is taken on any deficiency identified.					
5. The organization shall develop procedures to disseminate and respond to requests for pre-disaster, disaster, and post-disaster information, including providing information to the media and to deal with their inquiries.					
6. Where the public may be impacted by a hazard, a public education program shall be implemented.					
<b>TALLY</b>					

### MATURITY DESIGNATION

	Level 1	Level 2	Level 3	Level 4
<b>Assemble</b> (6)				
<b>Coordinate</b> (12)				
<b>Collect</b> (7)				
<b>Channel</b> (6)				