Eskom	Procedure	

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Content

1. Introduction

Responding to an incident or an emergency that requires an abnormal business response often results in the response being uncoordinated, relying entirely on the experience of the responders. While this kind of response might be effective in many cases, a more structured and coordinated approach, based on established and common planning and management processes, is known to use less time and fewer resources in managing comparable incidents, often by preventing them from escalating in the first place. This approach is applicable to incidents that require structured intervention or planned events that are unusual to normal business and must be proactively managed.

This procedure provides the structured, coordinated and standard approach that emergency management structures should incorporate into their responses as a minimum. Each step in the procedure can be used either when following:

i. The Eskom implementation of the Incident Command System (ICS) or,

ii. An objective and action tracking approach, as shown in Annex F.

This document articulates the procedure to be followed by emergency management response structures.

Eskom has decided to make ICS the official method of managing emergencies. ICS is a systematic approach to managing emergencies and is described in more detail in the Eskom Incident Command Standard [2]. The maturity of the ICS implementation in each division or Incident Management Team (IMT) will determine which of the above approaches, ICS or objective and action tracking, is the most appropriate at each step in the procedure.

This procedure is intended to be used in conjunction with the Eskom Incident Command Standard [2]. Many of the structure-specific roles, relationships and deliverables are described in the standard. The intention of this procedure is to provide a process any IMT can follow and to describe how an IMT should relate to the IMTs at the same level as them (levels are defined in 2.3 Definitions), at a higher level or a lower level.

2. Supporting Clauses

2.1 Scope

The scope of this procedure is limited to responses to an incident or an emergency that require an emergency management/abnormal business response. This scope does not include functional teams that are directed by the emergency plans provided by the management structures. Functional teams include any team given a specific task to carry out within a specific time frame, such as field teams erecting emergency bypasses in a substation. The functional teams are advised to understand the procedure used to develop and provide the plans they are given to execute.

2.1.1 Purpose

The purpose of this document is to provide Eskom's emergency response structures with a procedure that should be followed during emergency management that allows for the most effective resolution of incidents. This is applicable under all emergency conditions but is required in complex emergencies since the integration of different emergency response structures requires a standardised approach to emergency management. As indicated in the scope, two main ideas are described in each part of the process, with the appropriateness of the choice being left to the leader of the IMT. This is not to say that any of the steps are optional, they are not. Each step has specified deliverables that must be met.

This procedure is intended to be used by an IMT in managing an incident from an *unacceptable abnormal* condition to an *acceptable abnormal* condition. It is not expressly intended to be used by recovery teams (defined in section 2.3) although it can be if the team deems this an appropriate method for them to follow. It follows that this procedure will also be applied in simulation exercises, where Eskom's emergency response structures are tested in preparation for emergencies.

2.1.2 Applicability

This document shall apply throughout Eskom (including all divisions and subsidiaries).

2.1.3 Effective date

The effective date is the date of signature of this procedure.

2.2 Normative/Informative References

Parties using this procedure shall apply the most recent editions of the documents cited. This procedure is intended to be used with the Eskom Incident Command Standard [2].

2.2.1 Normative

[1] ISO 9001 Quality Management Systems

[2] Eskom Incident Command Standard- 240-105203484

[3] Standard-Planning and Execution of a Simulation exercise- 32-973

[4] Process Control Manual (PCM) for Perform Incident Investigation- 240-81320273

[5] Divisional Tactical Command Centre Incident Action Plan Template

2.2.2 Informative

[6] Enterprise Risk and Resilience Policy- 32-86

[7] Environmental, Occupational Health and Safety Incident Management Procedure- 32-95

[8] Crisis Communication Procedure- 240-86502245

2.3 Definitions

The definitions in the Eskom Incident Command Standard [2] are applicable in this procedure.

2.3.1 Alert: A state that emergency structures can declare under certain conditions in order to manage an impending or ongoing incident without receiving an incident declaration.

2.3.2 Emergency Management Response Structures: Structures that only convene when an incident occurs that requires management from that that particular structure.

2.3.3 Higher Level IMT: An IMT that can activate the reference IMT (see definition), with the expectation of handing it objectives that must be met. This IMT can also be requested to provide oversight and integration the reference IMT.

2.3.4 Incident: an occurrence or event, natural or human-caused that requires an emergency response to protect life, property or the environment or threatens the organisational mandate.

2.3.5 Incident Action Plan: The document that captures the elements needed by the operational staff to be able to execute the plan that must achieve the stated objectives. It therefore inherently documents those measures used by strategic and tactical levels to track the progress of the incident.

2.3.6 Incident Command System: The organisational system designed to manage any incident

2.3.7 Incident Management Team (IMT): The team that is managing the incident by applying these procedures.

2.3.8 Operational Period: Period during which a plan is executed by a dedicated shift of operational personnel.

2.3.9 Planning Section: Members of the IMT concerned with documenting the incident plan as it is developed and documenting and observing the incident as it unfolds

2.3.10 Same Level IMT: An IMT that must ensure the provision of a divisional service to the reference IMT, with the discretion to activate itself or not depending on the nature of the incident and request.

2.3.11 Reference IMT: When describing higher and lower level IMTs, the reference IMT can be considered the IMT from which the reader is meant to understand the terms.

2.3.12 Recovery Team: The team established after (or in parallel with) the response team to return the situation to a new normal, where this falls outside of the objectives of the Incident Management Team.

Note: For example, reconstructing a collapsed coal silo at a power station after the emergency has been managed may take many months. This might fall outside of the scope of the IMT. Reconstructing power lines in response to a major incident may, depending on the brief from the client, form part of the objectives of the IMT.

2.3.13 Lower Level IMT: An IMT that must activate on an instruction from the reference IMT, with the expectation of receiving objectives that must be met. This IMT can also request that oversight and integration be provided by the reference IMT.

2.3.14 Initial Attack: The activities of the initial responders using existing plans and experience. While a planning process can be used here, the time constraints often limit how much formal planning can take place.

2.4 Abbreviations

Abbreviation	Explanation
DTCC	Divisional Tactical Command Centre
DIAP	Divisional Incident Action Plan
DRCC	Divisional Response Command Centre; GxRCC for Gx; TxRCC for Tx; DxRCC for Dx
ERC	Enterprise Resilience Committee
ERCC	Emergency Response Command Centre
EXCO	Eskom's Executive Committee
IAP	Incident Action Plan
ICS	Incident Command System
IMT	Incident Management Team
PEOC	Provincial Emergency Operating Centre
PJCC	Provincial Joint Command Centre
PRT	Provincial Resilience Team

2.5 Roles and Responsibilities

The roles and responsibilities listed in the Eskom Incident Command Standard [2] are a requirement of this document. Additional roles and responsibilities relevant to this document are listed below:

2.5.1 The Eskom Group Chief Executive (GCE) is responsible for:

a. Assigning the permanent Standby ERCC Chairman,

b. Assigning delegation of authority for managing incidents in accordance with this procedure,

c. Engaging key stakeholders during the incident and

d. Reviewing and authorising pre-identified incident triggers that call for the immediate delegation of authority from the GCE to the ERCC Chairman.

2.5.2 The ERCC Chairman is responsible for:

a. Convening the ERCC in accordance with this procedure, the ERCC terms of reference and any pre-identified incident triggers that call for the ERCC Chairman to take specific actions;

b. Determining if the ERCC is activated in an Alert or Emergency status where this is not specified by predefined triggers;

c. Appointing members of the ERCC to carry out IMT functions at a national level;

d. Decide which IMTs should be activated to manage particular aspects of a national level incident;

e. Standing down the ERCC and;

f. Submitting a report on the incident to the GCE.

2.5.3 The EXCO Risk and Sustainability Committee is responsible for:

a. Overseeing the use of these procedures in the management of emergencies across Eskom, as identified by the parameters laid down in this procedure;

2.5.4 The Group/Divisional executive accountable for Enterprise Resilience is accountable for shaping and safeguarding Eskom's integrated emergency response capabilities through:

a. Reviewing, updating and approval of this procedure in response to changes in national legislation and Eskom's organizational context;

b. The execution and management of national and provincial simulation exercises which will test the use and applicability of this procedure in Eskom;

2.5.5 The Group/Divisional/Subsidiary Executive of each group/division/subsidiary is accountable for:

a. Ensuring that incident response management within the group/division/subsidiary is conducted as per this procedure;

b. Ensuring that the divisional response plans, including all the associated divisional triggers, are regularly reviewed and relevant to the changing context of their division;

c. Informing the Enterprise Resilience department of the establishment of any emergency response structure in response to an incident or an emergency, whether or not the team is described in [2];

d. Ensuring that Incident Management Teams within the group/division/subsidiary are trained in the use and application of this procedure;

e. Ensuring that divisional exercises are conducted which verify that the divisional IMTs are familiar with the response plans and the use of this procedure;

f. Ensuring that the planning for the national disaster priorities assigned to the Group/Divisional/Subsidiary executive by EXCO adheres to this procedure.

2.5.6 The chairman of each Provincial Resilience Team (PRT) is accountable for:

a. Ensuring that emergency response management carried out in the province adheres to this procedure;

b. Informing the Enterprise Resilience department of the establishment of any emergency response structure in response to an incident or an emergency, whether or not the team is described in [2];

c. Ensuring that integrated Incident Management Teams within the province are trained in the use and application of this procedure;

2.5.7 The Enterprise Resilience Committee is responsible for tracking the implementation of procedure in response to Eskom incidents.

2.5.8 Eskom's support functions reside largely within the line divisions that they support. Within the line divisions these functions must be included in emergency response whenever their specific skills are required. The support resource that have been retained by the functional Corporate Divisions (e.g. Human Resources, Finance, Commercial, etc.) are responsible for providing guidance to the support services located in the line divisions during the incident. The Corporate Support Divisions retain the following accountabilities in the support of emergency response:

a. Eskom's telecommunications function is responsible for the establishment and maintenance of emergency communications infrastructure needed by emergency responders during an incident;

b. Eskom's information technology function is responsible for establishing and maintaining an information management system needed by emergency responders during an incident;

c. Eskom's corporate communications functions are responsible for crisis communication at the national level needed by emergency responders during an incident. Divisional and provincial communications functions are responsible for local crisis communication needed by emergency responders during an incident.

d. Eskom's security function is responsible for the coordination of Eskom's engagement with the country's national security structures and the integration of the divisionally located security resources in a multi-divisional response, in order to

maintain the physical security of Eskom's personnel and assets and the needs of the emergency responders during an incident;

e. Eskom's human resources function is responsible for providing the workplace criteria to be used under any condition, especially if the criteria change under adverse conditions, or otherwise as needed by emergency responders during an incident.

2.5.9 Leaders of any IMT must:

Adhere to this procedure, or be able to justify the deviation in terms of the best management of the incident. If required to do so by predefined triggers, principal clients or situational uncertainty (as defined in 3.1), the chairmen of the following structures must activate the relevant structure and adhere to this document:

a. ERCC- for incidents of national importance or that concern more than one division in more than one province;

b. PJCC- for incidents that concern more than one division within the province, or for the provincial portion of a national incident;

c. DRCC- for incidents within the division that have a national footprint.

d. DTCC- for incidents within the division that have a national footprint supporting the DRCC, concern more than one province or for the divisional portion of a national incident;

e. PEOC- incidents within the province that concern more than one division and require a coordination role, or as support to the PJCC;

f. Eskom Planning Section- In support of the ERCC or in incidents that concern more than one division in which the management of the incident requires a coordination role;

g. Eskom Site Emergency response teams (e.g. Proto teams) - Incidents on site that require emergency management or just central oversight.

2.6 Process for Monitoring

The implementation and application of this procedure will be monitored by:

- Training records kept by the Enterprise Resilience Department (ERCC), PRTs (PJCCs) and Divisions (DRCCs, DTCCs and Divisional IMTs) on the areas of the business that have been trained on this procedure.
- Assessments conducted by the relevant simulation team on simulation exercises and drills executed at a national, provincial, divisional, and site level.
- Reports of divisional incidents at the ERC.

- Reports of provincial incidents at the PRT
- Records of notifications issued by the business on activation of an IMT (issued to and kept by the Enterprise Resilience Emergency Response Manager).
- The incident close-out report compiled by the IMT, detailing a review of the response management as well as the cause and final resolution of the incident - and the resulting recommendations for continuous improvement.
- Incident investigation reports, where these are commissioned by managers or required in terms of Eskom major incident investigation protocols. Where agreed with the investigators, the management of the incident will be reviewed in addition to the cause of the incident and the technical interventions undertaken.

2.7 Related/Supporting Documents

The following documents, defined in [2], support this procedure:

- Incident Action Plans
- Trigger lists
- Delegation of Authority

3. Emergency Response Management

Emergency response is necessary when normal business processes cannot manage an incident or emergency. This response should have the same degree of coordination and planning as normal business processes, even if the processes themselves are very different. The following describes the procedure to be used as a minimum by any emergency management structure responding to an incident that cannot be managed by normal business processes.

3.1 Activation protocols

The activation of the appropriate IMT depends on the incident itself. This does not directly rely on the chairman of the appropriate team, but rather on normal business processes that must activate the team. The team itself can respond to the following activation routes:

a. **Trigger levels** - If the division/province/group has identified variables that must be monitored then trigger levels might be identifiable for these variables that would indicate the need to activate or inform a particular IMT. If the variable has reached the value of a trigger level, the pre-determined activations must take place. Such trigger levels must:
   i. be identified,
   ii. planned for,
   iii. specify which IMTs should be either activated or informed
   iv. and have the necessary pre-approvals to allow the IMT to respond to the incident.

b. **IMT client** - the main client of the IMT, such as the GCE in the case of the ERCC, a PRT Chairman in the case of the PJCC, a Group/Divisional Executive in the case of a DRCC or TCC, or a site manager in the case of a site-level IMT, may decide that the IMT should be used in the resolution of the incident. In this case the use of the IMT is at the discretion of the main client.

c. **IMT chairman** - The chairman of the IMT can directly activate the IMT in response to a situation that may not have been pre-identified, before the main client is aware of it. The delegation of authority must still be followed as per 3.4.

d. **Client IMT** - another IMT can activate the IMT if it is deemed that an incident requires the IMT for the most effective resolution. This could be via escalation (from a lower level IMT), delegation (from a higher level IMT) or request for assistance (from a IMT on the same level):

   i. Escalation - If more than one lower level IMT asks for an integration or coordination service from a higher level IMT, the chairman of the higher level IMT must understand the context well enough to determine the appropriate level of activation of either the higher level IMT or a subset of its support structures.

   ii. Delegation - A higher level IMT can activate a lower level IMT and delegate to it actions or objectives that are in line with its (the lower level IMT's) divisional or provincial mandate.

   iii. Assistance - An IMT may be activated by an IMT at the same level if the service required is in line with the activated IMT's mandate. In this case the activated IMT's chairman may decide whether the IMT or the normal business processes would be the best tool to meet this requirement.

The figure below shows the kinds of emergency response structures in Eskom. As a rule of thumb, IMTs talk to other IMTs in the same division or province, or IMTs of the same type in other divisions/provinces.

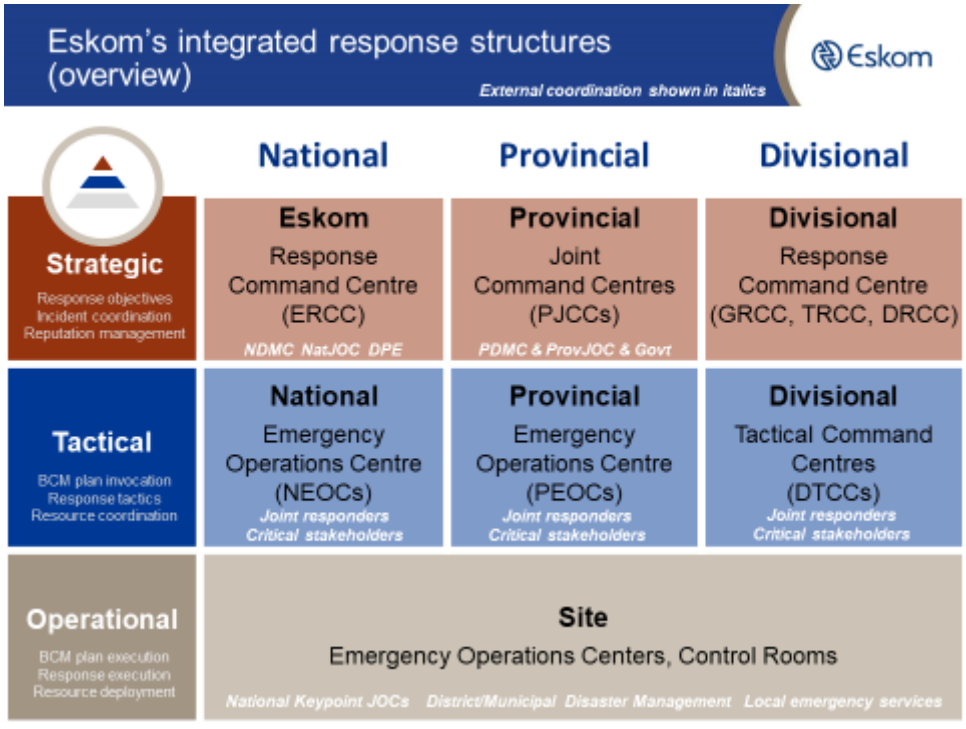

Fig 1 Functional Allocation of Eskom Emergency Response Structures

3.2 Escalation

All incidents that result in the activation of an IMT must be escalated to the next level of emergency team, assuming the activation process did not accomplish this. This is to ensure that the incident is managed at the correct level. Escalation can have any of the following intentions:

i. **Notification** - this is to inform the relevant emergency team that the IMT has activated, but does not suggest the need for a further response, based on the information being shared. It does provide the receiving IMT with the relevant information to make the choice themselves. A higher-level IMT may take the decision to activate based on this information.

ii. **Alert** - this is to inform the relevant emergency team that the IMT has been activated, and to recommend that they activate as well, based on the information being shared. It does provide the receiving IMT with the relevant information to make the choice themselves. A higher-level IMT may the take the decision not to activate based on this information, but will have to provide compelling reasons for not doing.

iii. **Activation** - this is to inform the relevant emergency team that the IMT has been activated, and to require they activate as well, based on the information being shared. The IMT must preferably provide evidence of pre-approved triggers for the relevant emergency team's activation.

Escalation is not a once-off notification, but rather a commitment to keep the higher level IMT Chairman informed of any material changes to the incident including changes in the expected time of the resolution of the incident.

In addition to escalating, an IMT must notify the following role players of its activation:

i. The Enterprise Resilience Emergency Response Manager.

ii. The manager most associated with or impacted by the incident.

If the intention of the lower level IMT is to activate the higher level IMT for the purpose of improved management and coordination, as per 3.1.d.i, it can be accomplished in this step, whenever a change of status is escalated.

If an IMT has escalated to or activated another IMT, external response agency or normal business process for assistance the reference IMT must identify a member to undertake the Liaison Officer role, in order to facilitate the coordination of the reference IMT's relationship with multiple structures. This is further expanded in 3.3.1.1.

3.3 Convening

The IMT Chairman must make decisions about who should convene and how, when and where they should convene based on their activity and mandate. The teams listed below are defined and described in [2], *Section 3, Emergency Response Structures*. Teams should convene as follows:

i. **Strategic teams -** Strategic IMTs should have a formal meeting, with a venue, virtual or physical, a start and end time and an agenda. Unless otherwise stated by the chairman, the whole core membership of the strategic team should meet. The initial meeting for an incident must be attended by all the core members. During the meeting the nature of the incident may mean that the further attendance of certain members may not be required, but this is an IMT decision, not a member decision. The default instruction, unless specifically decided and communicated by the IMT Chairman, is the attendance of all the core members.

ii. **Tactical teams -** Tactical teams must convene as soon as possible. The tactical team must be able to separate themselves from the ongoing situational information if they are engaged in planning steps in this procedure, but they must convene in a venue, virtual or physical, from which the team can acquire an operational view of the incident as it is unfolding, should they require it. The tactical team must organise itself to be available continuously during the incident.

iii. **Operational teams -** Operational teams must be able to respond as per the provided plans.

3.4 Composition of the IMT

Once convened, the teams can make decisions about the appropriate membership of the team, assuming this was not already done. The composition must take into account both the technical skills necessary and the management resources necessary to manage the incident.

If the IMT is following the ICS process, the ICS positions must be appointed, if they are not already appointed, as per the IMTs described in [2]. The appointments, as with all other documentation on the incident, must be tracked by the personnel performing the ICS planning function or its equivalent.

The Eskom Incident Command Standard [2] explains all of the ICS based roles, but this procedure generally allows flexibility in which roles are identified as necessary. The exception is the Liaison Officer role, which has been specifically picked out by this procedure to ensure proper integration between IMTs and external structures, as mentioned in 3.2. It must be recognised that in an organisation as large as Eskom, if multiple IMTs or eternal structures have been activated then regular coordination to ensure mutual understanding is necessary to avoid deleterious unexpected consequences of planned actions. Depending on the size of the emergency the Liaison role may be assumed by an IMT member who already has another role, or the Liaison Officer could be running a small group of people to manage the integration between their IMT and the other IMTs or external agencies involved in the incident.

3.5 Unified Command

The Eskom Incident Command Standard [2] specifies unified command under particular conditions. In general, unified command should be used with complex incidents involving more than one division.

If unified command is used, the mandates of the IMTs involved must still be met and adhered to under the unified command.

If more than one DRCC/DTCC activates for a single incident which impacts multiple mandates, any of the DRCCs may request an oversight role from the ERCC Chairman. The Chairman may decide to:

- Convene the ERCC in order to issue objectives
- Appoint a qualified IC to take command of the incident and direct the DTCCs.

- Appoint an IC directly from one of the DTCCs and instruct the other DTCCs to follow the direction given by the IC.
- Activate the Eskom Planning Section in order to provide an integration service for the incident and to keep the ERCC Chairman's objectives in mind. In this case the ERCC Chairman would keep the ERCC members informed, the Planning Section would ensure that identified gaps were covered by a particular function and the DRCCs would ensure the identified objectives covered their responsibilities to their mandates.

3.6 Incident investigation

Every IMT activation, whether in ICS or not, should be immediately accompanied by the activation of the team that will investigate both the incident and the management of it, by escalation to the appropriate department. In the case of the ERCC, this is the Audit and Forensics Large Incident Investigation Manager. Each IMT should identify which department will investigate the incident and observe the response as it unfolds, in order to continually improve the process.

3.7 Delegation of authority

Each incident, if so declared, must have accountability for it delegated to the appropriated IMT. This declaration must be made using one of the following options:

a. Alert- A state that emergency structures can declare under certain conditions in order to manage an incident without receiving an incident declaration, as specified in [2].

b. Emergency- The condition that requires a formal declaration of an incident, as specified in [2], since it is accompanied by an official delegation of authority in order to empower the IMT to efficiently resolve the incident.

In each case the specific powers of the IMT are limited to the combined authority of its members and any officially delegated powers of the client. In neither case is the IMT the holder of any special powers; existing policies and procedures must be adhered to. In particular, the emergency procurement and finance processes within Eskom cannot be bypassed in any way using this procedure or any other document relating to the ongoing command of an incident, declared or not.

3.8 Incident briefing

The assembled IMT must be briefed on the incident as the first step in the management of the incident. The information about the incident must include:

- A description of the initiating event,
- Any existing information on the cause of the incident,
- The current and predicted consequences of the incident,
- The activities that have taken place so far to manage the incident,
- The nature and state of the resources being used to manage the incident.

In general the "planning section" function of the IMT will be tasked to compile this information as submitted by the responders involved in the initial attack. The responders are best placed to perform the briefing considering that they are likely to have the most accurate perspective.

3.9 Scheduling

The schedule for planning and managing the ongoing incident must be clearly determined. The main item on the schedule is the delivery of the IAP or the next time the actions in the incident will be reviewed for progress. The Planning Section or internal team carrying out that function will provide the schedule.

3.10 Objectives

Setting clear objectives for the IMT is a vital part of managing the emergency responders.

There are two types of objectives that are used for planning during an incident.

The first are incident objectives- these are a description of intended outcome of the IMT's intervention in the emergency. In other words, it is the condition that must be reached before the team can stand down.

The second kind of objective is an operational objective. These are to be achieved in the upcoming operational period. Therefore they need to be SMART:

- Specific
- Measurable
- Achievable
- Realistic
- Time based

These aspects of the objectives are essential for proper planning of the activities during an upcoming shift of emergency responders.

Whether using the ICS process or the action tracking process, the objectives must be actively and consciously set. The IAP templates and the action tracking template described in Annex F are both developed in reference to these determined objectives.

3.11 Tactical plans

Tactical plans are developed in order to achieve operational objectives for each operational period, bearing the overall incident objectives in mind. The tactics must be developed bearing safety, available resources and overall objectives in mind. The description of a tactic must include:

a. Actions to be executed.
b. Personnel and skill sets required to execute.
c. Special equipment the identified personnel might not have access to.
d. Time frames in which the actions must be completed.

The increased risk of the incident requires that the tactics be reviewed to ensure that they are safe for operational personnel to carry out. The tactics must be reviewed by the responsible safety officer to ensure that all actions necessary to ensure the safety of the personnel are included in the final plan.

In the ICS process, compiling the tactical plans, needs, resources and deliverables into an Operational Planning Worksheet (ICS 215), as shown in Annex F, allows the Planning Section to use the information to populate the Incident Action Plan efficiently.

3.12 Logistics support

In ICS, logistics are handled in their entirety by the Logistics Section. Once the tactics are determined and the necessary resources have been identified, the Logistics Section will ensure that all these resources are sourced and delivered, so the tactics can be executed.

In Eskom however, most of the resources used by operational personnel on the ground are held by those staff. The role of Logistics in Eskom becomes relevant when operational staff identify gaps in the resources which must be filled in ways not easily available to the operational staff.

The staff assigned to find those resources may, among other techniques, follow emergency procurement procedures, canvas the rest of the organisation to borrow resources or even request the activation of another IMT in another division that would normally be responsible for providing the resource, be it material or skills.

3.13 Rapid Risk Assessment

Emergencies and unusual events have inherently increased risk compared to normal business conditions. The two kinds of risk that could materialise are safety, as was discussed in 3.8, and the risk in not meeting the objectives themselves. The latter could be because:

i. The outcomes of a successful tactic are not certain.

ii. The resources, human or equipment, required by a particular tactic may not be available in time.

While almost all actions have this kind of increased risk the rapid risk assessment for the incident should focus on the most urgent of these. A rapid risk assessment must be performed to identify the more urgent and critical risks and elevate them to the IMT developing the objectives, with suggested interventions.

3.14 Compiling the plan

The plan for the upcoming operational period will be compiled by those personnel assigned to the Planning Section type duties.

Given a set of tactics and a list of personnel and physical resources with which to execute those tactics, the elements of a plan are available. The planning process is a matter of assigning the tactics to the right personnel with the appropriate equipment in such a way that there is clarity for everyone responding to the emergency. The minimum documentation of such a plan must capture at least:

- The objectives of the plan so far
- The tactics or actions that are intended to meet those objectives
- The resources, personnel and possibly equipment that are needed to execute the tactics, up to the appropriate level of detail (to be determined by the Incident Commander)

The actual document in which the plan must be captured is currently up to each division's own standards, however the annexes include a simple matrix of the objective/action/resource relationships (Annex F) and an optional IAP is listed in the Supporting Documents section, 2.7.1 which includes all the necessary parts of the plan:

1. Incident Briefing
2. Incident Objectives
3. Team Roster and Contact details
4. Risks and Treatment Actions
5. Assignment lists
6. Stakeholder Plan
7. Telecommunications Plan
8. Medical Plan
9. Organisational Chart
10. Safety Message

3.15 Disseminating the plan

The plan itself must be communicated to the personnel responsible for carrying out the activities. The dissemination of the plan should not provoke debate, since the plan must be considered a set of assigned instructions. Personnel may ask for and must receive clarity on the expectations and details of the assigned actions.

3.16 Execution of the plan

In general the tactical IMT's role in the execution of a plan is to ensure that the assigned operational staff are engaged in the right actions and that the plan is running as expected. Plans rarely run perfectly and the tactical IMT should be aware of the plan's progression in order to be able to intervene if necessary. The ideal situation would be for an IMT to monitor the perfect execution of the assigned plan without ever needing to intervene, and this should not be considered a waste of time or resources.

3.16.1 Review the plan execution

The planning function personnel must monitor the execution of the plan in real time with at least the following aspects in mind:

1. Status of the incident- is it expanding or contracting.
2. Status of the responders.
3. Status of resources.
4. Relevance of the existing incident objectives.
5. Can the end of the incident and the final objectives be foreseen with sufficient confidence to start the recovery process?

3.16.2 Managing the ongoing plan while developing the next plan

ICS manages the evolution of an incident through the regular re-issuing of a new Incident Action Plan for the next operational period, generally to newly rested and returning responders.

Using the review of the ongoing plan as the main input, the IMT must develop the Incident Action Plan for the next operational period while managing the plan being executed during the current operational plan.

Each Incident Action Plan is an opportunity to tweak, adjust or even completely change the management of the incident. This applies to everything from the personnel involved to the incident objectives themselves.

3.16.3 Reviewing existing objectives

At the beginning of any complex emergency the information being used to make decisions might be unreliable or incomplete so decisions made in good faith may turn out to be inappropriate. For that reason the objectives can be changed at every operational period meeting.

3.16.4 Developing the right structure for the emergencies

As the management of an incident changes it may be necessary to add personnel or whole hierarchical levels to the management. This is especially true in expanding incidents. This may require a command handover from one team to another with more authority, which will then take command of the whole incident including the original command team.

3.17 Transfer of Command

Transfer of command occurs whenever the direct management of an in incident changes hands. This could be because:

a) An operational period ends and a new incident commander is in command for the next operational period. The new incident commander is not necessarily accountable for the whole incident beyond the management and objectives of the current operational period.

b) A higher level IMT takes command of an incident. Often this will involve the reference IMT becoming part of a larger incident response in partnership with other IMTs, often under the umbrella of unified command, described in [2].

c) A lower level IMT takes command of an incident, due to the incident reducing in size or impact, or the demobilisation of enough IMTs such that higher level coordination is no longer required.

In all cases the incident briefing and status report should capture all the information the new incident commander needs to manage the incident and existing objectives.

3.18 Initiate Recovery Process

An incident management team is not a recovery team. This means that the main focus of the IMT is to return an *unacceptable* abnormal condition to an *acceptable* abnormal condition, not necessarily to a normal business condition. The work of the IMT can be considered over once the incident or condition can be more effectively managed by the normal business processes, bearing in mind the impact on the normal business of both the incident and of moving busy personnel into an IMT. The recovery process will typically be initiated by the business, based on inputs from the IMT.

3.19 Demobilisation

Demobilisation is the activity of formally returning personnel to their normal work. Personnel can be demobilised at the end of an incident or during an incident, if their skills are no longer required. Demobilisation decisions rest with the manager of the operational staff and the actions being taken by them. The team investigating the incident must be notified of the demobilisation to allow them to interview the demobilised staff. Once staff are demobilised the minimum activities to be undertaken are:

a) Individual- A demobilised individual must be formally notified; the individual's direct supervisor is responsible for this.

b) Strategic IMT- an IMT may not demobilise at the end of a meeting in which it actively participated in the incident, but only once actions related to the IMT have been completed or handed over. Once a meeting has confirmed this, the IMT must have an initial review of the IMT's involvement in the incident, at the end of which a decision to demobilise must be taken. This should preferably be done at another scheduled meeting.

c) Tactical IMT- a tactical IMT may be demobilised once its mandate is best fulfilled by normal business processes. The demobilised tactical IMT must hold a meeting in which it undertakes an initial review of the IMT's involvement in the incident. Actions arising from this review will be managed by the structure charged with maintaining the IMTs readiness.

d) Operational Team- a demobilised operational IMT must be formally notified. The Chairman of the IMT should hold a review meeting if the members feel it would be useful for the future operation of the IMT.

3.20 Specific activities of particular structures

3.20.1 National emergencies

National incidents involving more than one function will be commanded by the ERCC as the highest level IMT. The ERCC will use the other IMTs within the established incident hierarchy to achieve the objectives determined by the ERCC. The roles are as follows:

a. Group Chief Executive's (GCE) role: The GCE is the primary client of the ERCC. The GCE can activate the ERCC for any given incident, and will then decide whether or not to delegate her/his authority to the ERCC for the purposes of managing the incident. The GCE will maintain Eskom's primary stakeholder relationships.

b. ERCC's role: The role of the ERCC is to determine the strategic level objectives of the incident and decide on the operational period and method of incident command, as per this procedure. This will include any integration with external agencies.

c. **ERCC appointed IMT:** The ERCC, if explicitly using the ICS method of command, will appoint specific executives to carry out the Section Chief roles of the ICS hierarchy. The main role of these positions is to interrogate the divisional plans to ensure that the strategic objectives of the ERCC will be met by the collective Divisional IAPs.

d. **PJCCs' role:** Only the chairman of the PJCC is required to be present at ERCC meetings when there are issues or activities that require provincial integration. The PJCC chairman will then ensure that the provincial part of the national incident is coordinated as per the objectives and method determined by the ERCC. In some cases the Chairman of the PRT may join the ERCC sessions.

e. **PEOCs' role:** The PEOC will coordinate the PJCC meetings, compile the documentation necessary for the PJCC planning needs and track the feedback from divisions within the province on the actions taken relevant to the incident. The PEOC will integrate the divisional response within the province to ensure efficiency and alignment between the divisions.

f. **DRCCs' role:** The DRCC need not convene when the ERCC is in command.

g. **DTCCs' role:** The DTCC will accept the strategic objectives from the ERCC and use them to determine the divisional objectives according to the divisional mandates. In addition any objectives or responsibilities specifically assigned to the division by the ERCC will be included in the DTCCs plans and oversight. The DTCC will deliver either progress on its actions or a full DIAP to the Eskom Planning Section.

h. **Eskom Planning Section's role:** The Eskom Planning Section will coordinate the ERCC meetings, compile the documentation necessary for the ERCC planning needs and track the feedback from divisions relevant to the incident itself.

3.20.2 Provincial Emergencies

For provincial incidents in which multiple divisions are affected by an incident that is contained within a province's boundaries the PJCC will command the incident, using provincial and divisional IMTs to achieve the identified objectives. The roles are as follows:

a. **ERCC's role:** The PJCC will inform the ERCC Standby Chairman of the incident, the PJCC's activation and the progress of the incident resolution, allowing the ERCC Standby Chairman to maintain the higher level view of the need to activate. If another PJCC activates for a similar incident, the ERCC Chairman may wish the ERCC to assume command of an integrated response.

b. **PRT Chairman's role:** The PRT Chairman is the primary client of the PJCC. The PRT Chairman may activate the PJCC to resolve an incident at the PRT Chairman's discretion. If the incident requires it, the PRT Chairman will delegate their authority to the PJCC Chairman. The PRT Chairman will maintain Eskom primary stakeholder relationships within the province.

c. **PJCC's role:** While the incident remains provincial the PJCC will determine the strategic level objectives of the incident and decide on the operational period and method of incident command, as per this procedure. This will include any integration with external agencies.

d. **PJCC appointed IMT:** The PJCC, if explicitly using the ICS method of command, will appoint specific executives to carry out the Section Chief roles of the ICS hierarchy. The main role of these positions is to interrogate the divisional plans to ensure that the strategic objectives of the PJCC will be met by the collective actions of the divisions in the province.

e. **PEOC's role:** The PEOC will coordinate the PJCC meetings, compile the documentation necessary for the PJCC planning needs and track the feedback from divisions within the province on the actions taken relevant to the incident. The PEOC will integrate the divisional response within the province to ensure efficiency and alignment between the divisions.

f. **DRCCs' role:** The DRCC need not convene when a PJCC is in command.

g. **DTCCs' role:** A division's DTCC may be called upon to activate by provincial members of a division if there is the need for technical guidance, accessing of specialised equipment not within the province or the need for extra authority within the division to achieve the strategic objectives.

3.20.3 Divisional emergencies

a. **Group/Divisional Executive's (GE/DE) role:** The GE/DE is the primary client of the DRCC. The GE/DE may activate the DRCC to resolve an incident at the GE/DE's discretion. If the incident requires it, the GE/DE will delegate their authority to the DTCC Chairman so the GE/DE will ensure that the remaining portion of the division still operating under normal business conditions continues to fulfil its mandate.

b. **DRCCs' role:** The role of the DRCC is to determine the strategic level objectives of the incident and decide on the operational period and method of incident command, as per this procedure. This will include any integration with external agencies.

c. **ERCC's role:** The DTCC will inform the ERCC Standby Chairman of the incident, the IMT's activation and the progress of the incident resolution, allowing the ERCC Standby Chairman to maintain the higher level view of the need to activate. If another DTCC activates for a similar incident, the ERCC Chairman may wish the ERCC to assume command of an integrated response.

d. **PJCCs' role:** The DTCC will inform the PJCC Standby Chairman of the affected provinces of the incident and its activation, allowing the PJCC Standby Chairmen to maintain the higher level view of the need to activate. If another, even unrelated, incident occurs within the province the PJCC Chairman may wish the PJCC or PEOC to provide a local coordination or command role.

e. **DTCC's role:** The DTCC will control and integrate the divisional response to a divisional incident, ensuring the efficient resolution of the incident, through the oversight of the actions taken by the divisional personnel to meet the DRCC determined objectives.

4. Acceptance

This document has been seen and accepted by the Enterprise Resilience Committee members.

5. Revisions

Date	Rev.	Compiler	Remarks
December 2021	2	A.J. Correia	
March 2018	1	A.J. Correia	

6. Development Team

A. J Correia is the author of this procedure.

7. Acknowledgements

Review of the procedure by members of the Enterprise Resilience Committee.

ANNEX A. Elements common to all processes

Incident	Incident takes place, trigger level is reached, and impending incident is identified
Activation Routes	One of the empowered people or processes decides, or is used, to activate the IMT
Escalation	Every activation of an IMT must be reported to the designated higher level IMT Chairman
Delegation of authority	If the resolution of the incident requires the use of the client's authority
Convening	The IMT convenes, physically or virtually, deciding on the team for the incident/shift.
Unified Command	If IMTs representing multiple functions at the same level are activated, consider unified command, with higher level IMT oversight
Incident Briefing	The incident cause, actions taken so far and possible consequences
See Annexes below for the activities for specific processes	
Transfer of Command	Must take place when: • Operational period/ shift change over • Incident escalates to higher IC authority

ANNEX B. Element descriptions of an action tracking command method.

Scheduling	This allows all responders to know when particular outputs are expected from them.
Objectives	What must be achieved to allow the IMT to hand the incident to the normal business?
Tactical plans	Actions intended to achieve the objectives, and the resources that will be needed
Logistical support	Support to acquire resources not available to the personnel tasked with actions/tactics
Compiling the plan	The plan includes documents necessary for the personnel to confidently carry out their assigned tasks.
Disseminating the plan	The plan must reach every responder expected to carry out an action in the plan
Execution of the plan	Execution of the plan must be observed to plan the next operational period

ANNEX C. Elements specific to an ICS command method

Scheduling	The Planning Section must post the delivery times for all expected outputs from each general section
Objectives	The Incident Commander/Unified Command must produce and disseminate the objectives for the incident and operational period
Tactical plans	Operations Section must produce the tactics intended to meet the objectives, and the tactics to be used in the next operational period.
Logistical support	Logistics must be given a list of resources that Operations cannot rely on being easily available to the responders.
Compiling the plan	Planning Section will use the stated tactics, assigned personnel and other inputs from sections to draw up a single coherent IAP
Disseminating the plan	All section heads will receive the IAP from Planning.
Execution of the plan	The plan must be followed by the responders. While it is being executed the incident is observed and information is gathered to be used in producing the next IAP.

ANNEX D. Elements specific to the ERCC using an ICS command method

Objectives	The ERCC must produce the objectives for the incident and operational period to the sections or divisions.
Tactical plans	Each DTCC must receive the objectives and draw divisional objectives from these that align with the divisional mandate, until the final objectives can be directly managed by tactics ↓ Tactical plans expected to be executed by divisional operational personnel ↓ DIAP compiled and sent to Planning Section and divisional responders
Logistics	Run by identified divisions in Tactical Plans
Compiling the plan	Planning Section will use the Divisional IAPs to draw up a single coherent Eskom IAP. The Section Chiefs will interrogate and improve the IAP, assuring integration and alignment. This will be approved by the ERCC
Disseminating the plan	All section heads will receive the IAP from Planning.
Execution of the plan	Each division carries out its own DIAP and reports on the progress at regular intervals to the Planning Section

ANNEX E. Suggested tracking list for objectives and associated actions

Objectives describing the necessary conditions before the IMT can stand down	Actions intended to meet the stated objective	Division/Department/Personnel Responsible to execute the action	Progress	Expected Date	Delivery date
Objective 1	Action 1 to achieve Objective 1	Division	Open	yyyy/mm/dd	N/A
	Action 2 to achieve Objective 1	Personnel	In Progress	yyyy/mm/dd	N/A
	Action 3 to achieve Objective 1	Department	Done	N/A	yyyy/mm/dd
	Action 4 to achieve Objective 1	Division	N/A	N/A	yyyy/mm/dd
Objective 2	Action 1 to achieve Objective 2	Department	In Progress	yyyy/mm/dd	N/A
	Action 2 to achieve Objective 2	Division	Done	N/A	yyyy/mm/dd
	Action 3 to achieve Objective 2	Personnel	Open	yyyy/mm/dd	N/A
	Action 4 to achieve Objective 2	Department	Open	yyyy/mm/dd	N/A
Objective 3	Action 1 to achieve Objective 3	Department	N/A	N/A	yyyy/mm/dd
	Action 2 to achieve Objective 3	Division	Open	yyyy/mm/dd	N/A
	Action 3 to achieve Objective 3	Personnel	In Progress	yyyy/mm/dd	N/A
	Action 4 to achieve Objective 3	Department	Done	N/A	yyyy/mm/dd
Objective 4	Action 1 to achieve Objective 4	Personnel	Open	yyyy/mm/dd	N/A
	Action 2 to achieve Objective 4	Department	In Progress	yyyy/mm/dd	N/A
	Action 3 to achieve Objective 4	Division	Done	N/A	yyyy/mm/dd
	Action 4 to achieve Objective 4	Personnel	N/A	N/A	yyyy/mm/dd
	Action 5 to achieve Objective 4	Department	Open	yyyy/mm/dd	N/A

ANNEX F. Operational Planning Worksheet (ICS 215)

1. Incident Name:									2. Operational Period:					Date From: Time From:			Date To: Time To:		
3. Branch	4. Division, Group, or Other	5. Work assignment & Special Instructions	6. Resources													7. Overhead Position(s)	8. Special Equipment & Supplies	9. Reporting Location	10. Requested Arrival Time
			Req.																
			Have																
			Need																
			Req.																
			Have																
			Need																
			Req.																
			Have																
			Need																
			Req.																
			Have																
			Need																
ICS 215		11. Total Resources Required															14. Prepared by: Name: _____		
		12. Total Resources Have on Hand																	

	13. Total Resources Need To Order														Position/Title: _____ Signature: _____