




Leadership at Times of Crisis

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Leadership In
Times of Crisis



Out of
Danger
Comes
Opportunity

Agenda

- A Study in Crisis Leadership – Hurricane Sandy
- Three Types of Emergencies We Should be Planning For:
 - Routine, Crisis, and Emergent Crises
- Seven Essential Skills Needed to Manage These Events
- Team Organization
- Incident Assessment
- Incident Action Plans
- Time to Practice
- Great Contemporary Crisis Leadership Story
- Looking Ahead



A Study in Crisis Leadership – Hurricane Sandy

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The Early Days of Sandy



- The storm formed on October 22 and began her march through the Caribbean islands:
 - Haiti.
 - Dominican Republic.
 - Cuba.
 - Bahamas.
 - Jamaica.

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East Coast Begins to Pay Attention



- By October 25, all eyes were looking south at Sandy; the speculation and hedging began:
 - Different landfall models were circulating.
 - Widespread disbelief and discounting: “Would this be like Hurricane Irene?”

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October 28, 2012

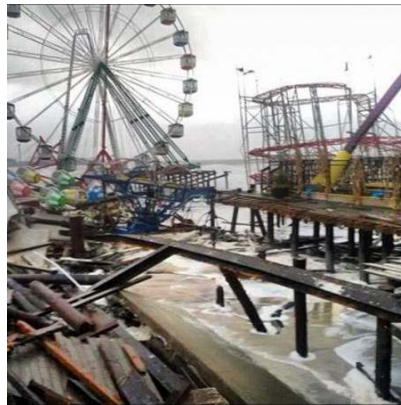
90% chance that Sandy would hit the major population centers in the East *head on*.

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Landfall – October 29, 8:00 PM



- The center of the storm made landfall just south of Atlantic City, N.J., around 8:00 PM.
 - The storm was downgraded from a hurricane to a post-tropical storm right before landfall.

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Final Tracking Path of Hurricane Sandy

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Sandy Superlatives



- Deadliest and most destructive storm of the 2012 Atlantic hurricane season.
- Second costliest hurricane in United States history. Preliminary estimates assess damage at \$75 billion. (In 2005, Katrina's damage was higher, \$81 billion.)

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Sandy Superlatives



- Sandy is the largest Atlantic hurricane on record as measured by diameter, with winds spanning 1,100 miles from Florida to Canada.
 - A third of the country was impacted by the storm.
- Hurricane Sandy affected 24 states.
 - Thousands of homes and businesses destroyed.
 - Millions without electrical power.

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Sandy Statistics



- At least 285 people were killed along the path of the storm in seven countries.
 - 72 of those deaths were in the United States.

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Sandy Statistics



- On October 29, more than 13,000 flights were canceled across the U.S. On October 30, more than 3,500 were cancelled.
 - Total number of flights cancelled = 19,729.
- Public transportation was halted throughout the region.
- The New York Stock Exchange closed for two days.

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Sandy Statistics

- Four city hospitals were forced to evacuate patients as water poured in and power failed.
 - NYU Langone Medical Center, Bellevue, and the Manhattan VA hospitals – all next door to one another along the East River – and Coney Island Hospital in Brooklyn had to relocate more than 1,200 patients.



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Leadership Successes

- No deaths or serious impacts from the hospital evacuations.
- Minimal deaths in the region.

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Leadership Failures

- Many businesses failed to adequately take the threat seriously. Common thought: “We got ready for Irene and nothing happened!”
 - Downplayed the possibility of a direct hit and serious flooding because a storm of this size “had never happened before.”
- Many plans assumed there would be a short time out of the building and then everyone could go back to work.
- Plans assumed minimal impact in the region; they expected power and ISPs to work.
- Many citizens failed to get ready at home.

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Types of Emergencies

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Three Types of Emergencies

1. Routine emergencies.
2. Crisis emergencies.
3. Emergent crises.

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Routine Emergencies

- “Routine” does not mean “easy.”
- “Routine” refers to the relative predictability of the situation.
 - Of a “general nature” that permits advanced preparation.
- Able to take advantage of lessons learned from prior experience.
- Likely to have thought about:
 - What we need to plan for.
 - What is needed (equipment, etc.).
 - Have done training and exercises.



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Crisis Emergencies

- Distinguished by significant elements of **novelty**:
 - Threats never encountered before.
 - A familiar event occurring at unprecedented speed.
 - A confluence of forces, which, while not new, in combination pose unique challenges.
- Because of the novelty, plans and behaviors that may work well in “routine” situations are frequently grossly inadequate or even counterproductive.



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Crisis Emergencies Require Different Capabilities

1. Diagnose the elements of the novelty.
2. Improvise response measures adequate to cope with the unanticipated aspects of the emergency.
 - Born of necessity, these may be actions quite different than ever done before.

The response must be **creative** and extremely **adaptable** to execute improvised solutions.

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Emergent Crises

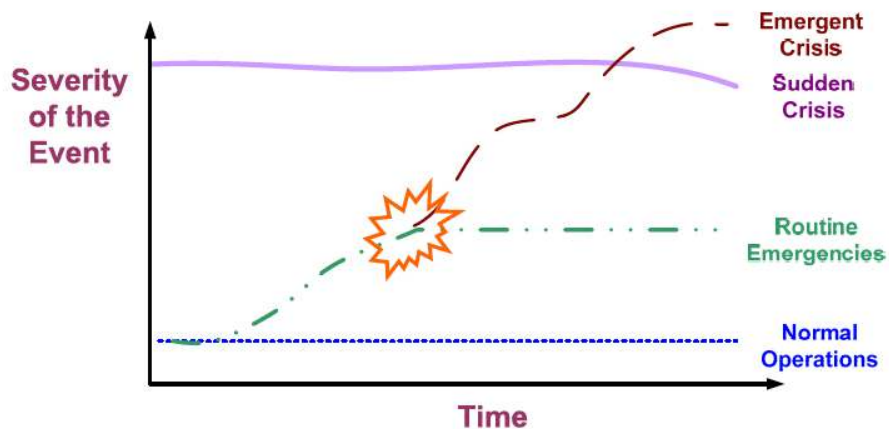
- Pose special challenges in terms of recognizing novelty because they look much like “routine emergencies” in their early stages.
 - Only **later** do they reveal their unusual characteristics.
- Leaders may be slow to see the new features that require a different response. They become “wed” to their original solution.



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“You give 100% in the first half of the game, and if that isn't enough, in the second half you give what's left.”

– Yogi Berra

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Seven Essential Skills

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Seven Essential Skills



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Situational Awareness

- Begin by gathering and assembling the key facts, often under conditions of great confusion and uncertainty.
 - Assess how we are positioned to deal with the emergency.
- Obtain from multiple sources.



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Situational Awareness

- Decision-makers must “project forward” the *implications* of the information they acquire and *anticipate* possible consequences of a fast-changing and still-moving incident.
 - Must be able to generate possible alternative courses of action and assess which of them holds the most promise of dealing with the situation.



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Situational Awareness

- Gain situational awareness from:
 - Traditional media.
 - Social media.
 - Internal company sources.
 - Vendors.
 - Public entities (Police, Fire, EMS, others).
 - Anyone else who can get you information.

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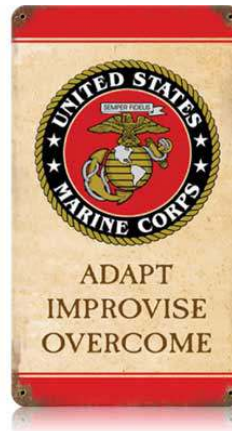
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Improvise

- Using your new-found situational awareness, review routine plans and checklists, then determine if customization is required.
 - The presence of significant novelty calls into question whether routine plans will work.
 - The situation may require unplanned and unrehearsed actions.



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Improvise

- In a true crisis, leaders, often under extreme pressure with high stakes and compressed timelines, must formulate a new approach and then execute new responses or a combination of responses.
 - In other words, leaders must improvise.



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Creativity and Adaptability

- Leaders must find ways to see and appreciate the novel elements in a crisis. Ways to foster creativity and adaptability include:
 - Focus attention on the novelties – what about it is new?
 - People are drawn to the familiar. Don't just ask "What is the same?" ask "What is different?"
 - Ensure that diverse viewpoints are heard. Have a mixed team with a variety of backgrounds and experiences.
 - Systematically require additional thought. Is the set of possibilities large enough at the beginning? Look for one or more best alternative explanations. Use a "Team B" approach.
 - Set operational expectations and track results against those.

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Creativity = Flexibility

- A leader/team must adapt rapidly.
- By its nature, a crisis changes quickly.
 - The first response will likely not be the final response.
- In crisis situations, you cannot be wedded to a single strategy.
 - You must continue to take in new information, listen carefully, and consult with frontline experts who know what's happening.

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Decisiveness

- Once situational awareness has been reviewed,
AND
- The response has been improvised,
AND
- Creativity and adaptability have been exercised,
THEN
- **Make a decision.** Decisive action is required.
 - If after a while it becomes apparent the wrong decision was made, make another one.
 - Keep moving forward.

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Decisiveness – This is the Time to Lead!

- When things are happening quickly, no one can have actual control of the situation, but a leader can assume control.
 - In other words, *the disaster can't be controlled, but the response can be.*
 - Assume the mantle of leadership and, well, lead!



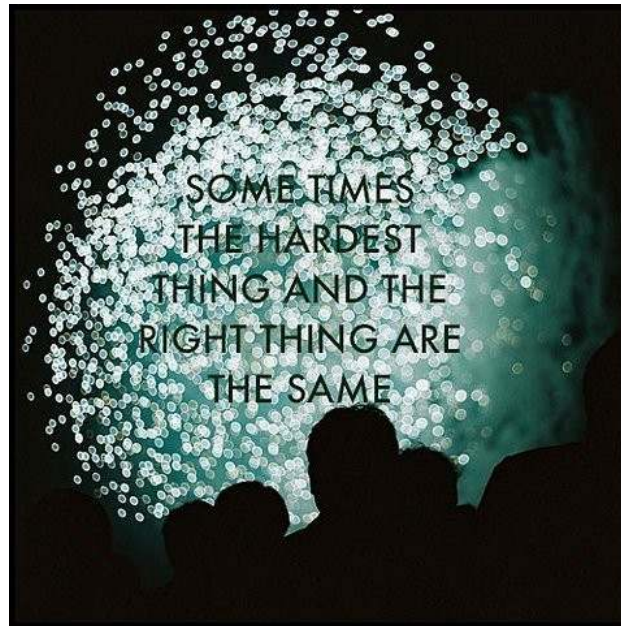
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Action

- Once the previous skills have been exercised, it's time enact the plans and observe.
- Ensure that there are sufficient feedback loops to assess response to the new plan and adjust accordingly.
- Be aware of the dangers of cognitive bias.

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Action – Cognitive Bias

- Cognitive bias: The persistent forces that shape people's thinking and organizational awareness. Some cognitive biases that appear in crisis situations include:
 - Overweighing one's experience. ("Been there, done that.")
 - The illusion of experience. A tendency for individuals to think that they have more experience than they actually do.
 - Overconfidence, both in one's abilities and in one's ability to predict the future. This results in overconfidence in the ability to control the future.
 - Failure to observe or believe disconfirming evidence.
 - Escalation of commitment. Once it has been noticed that the solution is not working, people recommit to that same solution.
 - Migration of objectives. Objectives shift and become personal.

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Action – Counteracting Cognitive Bias

- Cognitive biases are a constant influence.
- It is necessary to identify moments when they are pushing in the wrong direction, then counteract them in real time.
 - Choose different leaders or teams from the groups less likely to be subject to the same bias.
 - Provide training and guidance about cognitive biases and how to avoid them.
 - Develop rules, procedures, and tools that help to counteract them.
 - For example, overconfidence: Have a group of advisors involved in consultation with the leader.

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Communication

- Clear, crisp, concise, and timely communication is essential.
 - Set realistic expectations.
 - Communicate early and often.
- Don't alarm people, but don't be afraid to speak to the magnitude of the situation.



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Communication

- The communication plan must include:
 - Who the stakeholders are.
 - What the message is.
 - What tools are used for communication.
 - Who communicates with the stakeholders (i.e., who owns the relationship).



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Communication

- You must engage all forms of media:
 - Traditional.
 - Social media:
 - FaceBook, Twitter, YouTube, LinkedIn, others.
- You must also monitor these media sources as well.
- It probably isn't possible to communicate too much.

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Reevaluate

- Set regular intervals to reevaluate and reassess progress.
 - This allows the ability to tweak (or do a major overhaul of) the plan.
- Ask these questions over and over (this is where "Team B" needs to chime in):
 - "How are we doing?"
 - "What are we missing?"
- Check for cognitive bias.
- Measure performance.
- Recommit or redesign.
- Keep moving forward.



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Team Organization

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Incident Command System

- ICS is a well-organized, team approach for managing critical incidents.
 - Developed in the California Fire Service in the 1970s to deal with fast-moving wildfires.
- ICS is now used widely throughout the United States:
 - National Response Plan (NRP).
 - Foundation for NIMS.
- ICS is also widely used worldwide.

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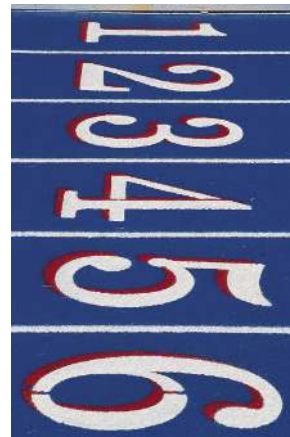
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Why ICS?

- The six Cs:
 1. Command.
 2. Control.
 3. Collaboration.
 4. Coordination.
 5. Communication.
 6. Consistency.



Hallmarks of ICS

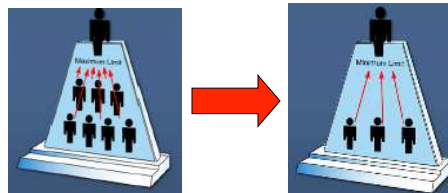
The ICS approach has the following eight hallmarks:

1. Manageable span of control.
2. Common terminology.
3. Modular/scalable organization.
4. Integrated communications.
5. Unified command structure.
6. Incident action plans.
7. Pre-designated command centers.
8. Comprehensive resource management.



Manageable Span of Control

- A *manageable span of control* is defined as the number of individuals one supervisor can manage effectively.
 - Management theory notes that the number of subordinates one supervisor can manage effectively is usually 3-7, the optimum is 5.



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Common Terminology

- *Common terminology* is essential in any system, especially when diverse groups are involved in the response.
 - Multiple departments and/or locations.
 - Critical when it is not an activity you perform on a “regular” basis.
- When possible, minimize use of abbreviations, acronyms, or confusing terminology to improve communication.

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Modular/ Scalable Organization

- *A modular organization* develops from the top-down at any incident.
 - All incidents regardless of size or complexity will always have an Incident Commander (IC).
- The organization can expand/shrink according to the needs of the situation.
 - Only activate what you need.

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Integrated Communications

- *Integrated communications* is a system that uses:
 - Standard operating procedures.
 - Common communications plan.
 - Common equipment.
 - Common terminology.
- The sophistication will likely depend on the size and complexity of the organization and the incident.

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Unified Command Structure

- A *unified command* allows all departments or groups with responsibility for the incident to manage an incident by establishing a common set of incident objectives and strategies.
- Unified command does *not* mean losing or giving up agency (departmental) authority, responsibility, or accountability.
 - It simply provides for a coordinated response.



Incident Action Plans (IAP)

- IAPs describe:
 - Current status of the incident.
 - Strategic objectives.
 - Team assignments.
 - Resource allocations.
- IAPs are written around operational periods (OP):
 - The OP is the time your team has to work on the action plan before the team leaders and IC meet to discuss progress and chart a new course.
 - At the beginning of an incident the time frame is often short (between 2 and 4 hours) and expands with time.
 - The Incident Commander and team leads determine the length of the OP.



Pre-designated Command Centers

- *Pre-designated command centers* are selected that are appropriate for the risk and hazards.
 - Primary.
 - Secondary.
 - Tertiary (if appropriate based on your risk assessment).
- Determine location once you have done a hazard analysis.

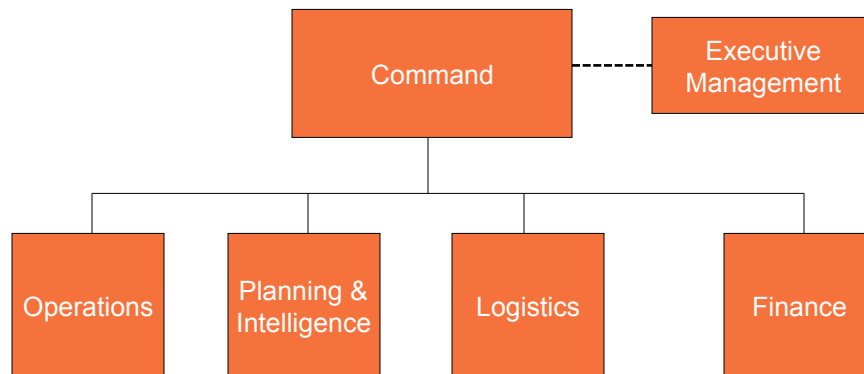


Comprehensive Resource Management

- *Comprehensive resource management* allows an organization to:
 - Maximize resource use.
 - Consolidate control of single resources.
 - Reduce the communications load.
 - Provide accountability.
 - Ensure personnel safety.



Five Teams in ICS



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Where are the Executives?

- Ideally, they are not part of the ICS Team. (Note that the Exec box has a *dotted line* to Command.)
- Traditionally, they have four overall responsibilities:
 1. Strategic and policy oversight.
 2. Approval of large expenditure requests.
 3. Senior statesperson role to all key stakeholders: employees, major customers, investor community, Board of Directors, etc.
 4. Media spokesperson (if the situation warrants it).

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Incident Assessment

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Initial Assessment Team

- The Initial Assessment Team (IAT) has the authority to activate the plan.
- Members of the team:
 - Consider back-bone assessment (Facilities, Security, IT, Telcom) first.
 - Then consider others, depending on risks and situation.
- Responsibilities include:
 - Conduct initial assessment.
 - Assess criteria for plan activation.
 - Determine escalation strategies.
- Need to determine in advance how team members will work together. (Conference bridge? In-person meetings?)
- Any of the members can activate the plan and the EOC.

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Initial Assessment Team (IAT)

- Determine the incident level:
 - Low, medium, high.
- Does the incident meet activation criteria?
 - If yes:
 - Activate the Emergency Operations Center.
 - Conduct an action planning meeting.
 - Determine the operational period.
 - If no:
 - Should the situation be monitored?
 - If yes, determine who on the IAT is in charge of monitoring, when the next briefing is and where.
 - If no, follow up using standard business practices.

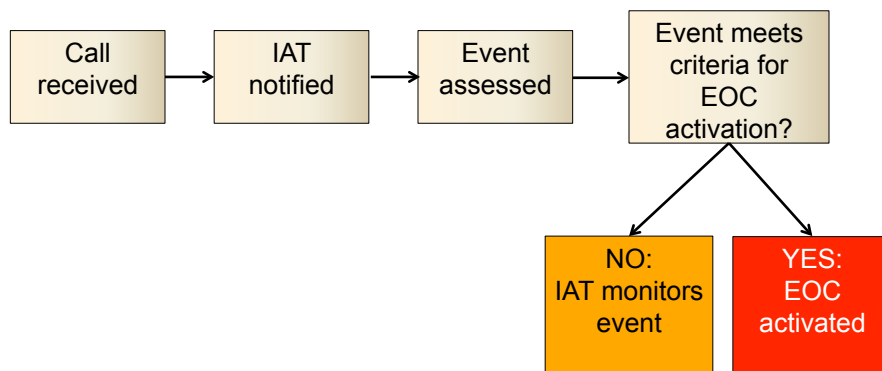
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Activation – Call Received



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Example of Emergency Levels

- **Level 0:** An emergency that is handled as BAU. Examples: A medical emergency or a short-term building evacuation.
- **Level 1:** An emergency that is **limited in scope** and can be addressed by the normal response of the organization. Examples: A minor fire or a temporary power outage.
- **Level 2:** An emergency that is **moderate to severe** in scope. Examples: A moderate fire that closes parts of a building, a moderate earthquake with some damage.
- **Level 3:** A **catastrophic disaster** that has severely damaged a mission-critical facility requiring relocation of staff and business processes and/or severe disruption of services at that facility

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Assessment Questions

- The first discussion should be on the type of event and its likely impact to the company location or staff:
 - Is this a local event? (Examples: Limited power outage, fire.)
 - Is this a regional event? (Examples: Flooding, earthquake.)
 - Is this a national event? (Example: 9/11.)
 - Is this an international event spanning countries or regions? (Examples: Tsunami, flooding, typhoons.)

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Assessment Questions

- Life Safety/ People
 - Are lives in danger? Is there an impact on our people?
 - Is there a life safety issue?
- Facilities
 - Is a company facility at risk?
- Technology
 - Is there a disruption of technology services (e.g., telecom, network, data center)?
- Business – Financial
 - Does the event impact power to our customers? Has an ETOR (estimated time of repair) been established?
 - Does the situation have a significant financial impact for the company?
- Company Reputation / Brand / Mission-Critical Activities
 - Does the event have a reputation impact for the company?
 - Does the situation have a significant impact for customers?

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Activation Matrix

Stakeholder	Life Safety/People	Facility	Technology	Financial	Brand
Company					
City					
Region (e.g. EQ, flood)					
Nation (e.g. 9/11)					
International event (e.g. Tsunami)					

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Incident Action Plans

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Basics of an Incident Action Plan

- An IAP is the plan of action that the team will be using for a set period of time.
- An IAP contains:
 - Overall incident status / strategy.
 - Specific strategic objectives and any necessary supporting information.
 - Assignment of responsibility for each objective.
 - Next operational period.

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Overall Program Priorities

- The most common priorities include:
 - Life safety.
 - Incident stabilization.
 - Property and equipment preservation.
 - Return to business as usual.



Steps to Build an IAP

1. Assess the incident situation and report the current status of the event.
2. Establish strategic incident objectives. Ensure that necessary resources are available to complete the tasks.
3. Assign all objectives (to a team or individual).
4. Determine the operational period.
5. Communicate the plan to all identified stakeholders.



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Sample Objectives

People	Finance	Facilities	Technology	Mission-Critical Activities	Communication
<ul style="list-style-type: none">• Account for all staff.• Determine need for EAP services.• Notify emergency contact.	<ul style="list-style-type: none">• Issue a disaster accounting code.• Contact all ins. carriers.• Document all physical damage with video or still images.	<ul style="list-style-type: none">• Conduct an initial damage assessment.• Contact contractors.• Appoint a liaison to work with ER responders.	<ul style="list-style-type: none">• Conduct an initial assessment.• Reroute main number if unable to reoccupy in 15 minutes.	<ul style="list-style-type: none">• Assess business unit impact.• Activate BCPs as necessary.• Determine the immediate work-arounds and what should be instituted.	<ul style="list-style-type: none">• Communicate company status with key stakeholders (list here)• Update website.• Update employee hotline.

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“A common characteristic of people who accomplish something unusual is their understanding of, and focus on, the objective. If you get the objectives right, a lieutenant can write the strategy.”

– General George Marshall

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Time to Practice

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Practice

- It's time for a summer camping trip:
 - You are planning a two-week car camping trip with three other friends.
 - You are visiting three national parks: Yellowstone, Grand Tetons, and the Grand Canyon.
 - Using the IAP process, develop objectives for this trip.
 - What are your priorities?
 - What are your objectives?



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A Great Contemporary Crisis Leadership Story

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“Miracle on the Hudson”

- January 15, 2009: About a minute after take-off from New York's LaGuardia Airport, US Airways #1549 flew through a flock of Canada geese.
 - Birds were sucked into the twin engines of the Airbus 320, killing the engines.



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Airbus 320 Engine Trivia

- The Airbus 320's engines are designed to be able to “digest” seven 1.5-pound birds each without shutting down.
 - Unfortunately, Canada geese have six-foot wingspans and can weigh up to 18 pounds.



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Where Was Their Leader (Captain)?

- In less than 4 minutes, Captain Sullenberger and First Officer Skiles had to control a jet plane that had suddenly lost power.
 - They had to decide whether they could make an emergency landing at a nearby airport or find another alternative to get the plane down safely.
- The wrong choice over one of the most crowded cities in the U.S. could have meant deaths and injuries for the 155 people aboard and perhaps many more on the ground.



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Few Make It

- Since 1950, only a few commercial jet flights had successfully made controlled emergency landings in water (referred to in aviation as “ditching”) without fatalities:
 - Pan American Boeing 377, traveling from Honolulu to San Francisco in 1956.
 - Aeroflot Tupolev 124, landed in the Neva River near Leningrad in 1963.
- If it landed too fast, it could disintegrate. If it wasn't level, the plane could catch a wingtip, cartwheel, and break apart.

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Sullenberger's Leadership Skills

- Stop and think (albeit quickly).
- Clear grasp of the situation.
 - High level of situational awareness (intensely involved and yet able to see the big picture).
- Willing to make the decision.
- Clear, direct communication.
- Willing to carry the decision into action.
- Reevaluate.

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The Extra Mile

- Sullenberger walked the center aisle of the plane twice in an effort to make sure that no one else was still on board. He also retrieved the aircraft maintenance logbook.
- Even with the rear doors unusable, the crew had evacuated the plane within about *three-and-a-half minutes* of landing.

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“If we all did the things we are capable of doing, we would literally astound ourselves.”

-Thomas Edison

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Thank you

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IAP #1, 08:30

Incident Commander:	
Chief of Staff:	
Date and Time:	
Situation Status (describe briefing what is the current incident status)	
the Hurricane Center is tracking Hurricane William. The current forecast cone puts landfall between Virginia and North Carolina sometime tomorrow morning. Initial reports are forecasting a Category 3 storm, possibly Category 4, depending on whether it takes a turn to the south.	
There is also a hurricane watch in effect, with mandatory evacuations for coastal areas. There are voluntary evacuations in other areas, including coastal areas prone to flooding.	
After the devastation caused by Hurricane Sandy just last week, the east coast is feeling a bit timid about another storm coming so quickly. Responders have not recovered from the last hurricane before this one is on its way.	
Incident Action Plan (IAP) Strategic Objectives	Team Assignment
Prepare email to staff	Command
Contact WBG EMT (T.V.)	Command
Contact MT on early release of staff (2PM)	Command
Contact Istanbul IC/Sr.Mgmt.	Command
Prepare building in case of flood (potential closing)	Operations
Inform to security how to deal with staff coming	Operations
Advice to staff traveling	Operations
Backup plans: Work from home, Go to BCC, Hotels, Outside area, country offices	Operations
Rely on building engineers for ongoing work on F building - data center	Operations
Prepare Chantilly data center - Work with IMT for updates on building status	Operations
Prepare for Shutdown of systems - if needed	Operations
Inform staff to have laptops ready to take home	Operations
Notify vendors with staff working on-site once decision is made to close	Finance
Trade all expenses related to the incident	Finance
Test EOC message center	Logistics
Establish depth chart for EMT	Logistics
Confirm ability of EMT to function remotely (get any needed supplies - batteries, radio?)	Logistics
Nov15 payment date readiness - Cash mgmt/settlement	P&I
Prepare - liaise with legal, if SEC is closed	P&I
Work from home - ringmain	P&I
Global offering launch on 11/14/12 - liaise with Treasury	P&I
Audit Committee meeting scheduled on 11/13/12 - liaise with Board	P&I
Identify staff to go to the BCC	P&I
Identify where is MT operating	P&I
Confirm Treasury Backoffice ability to function remotely (Istanbul, Chennai)	P&I
Next Operational Period - 11:00 AM	