Indiana Water/Wastewater Agency Response Network

MUTUAL AID/ASSISTANCE OPERATIONAL PLAN

Introduction

Indiana Water/Wastewater Agency Response Network (InWARN) Mutual Aid Agreement (MAA) has been developed to help local jurisdictions better handle an incident that requires resources beyond the capability of local utility resources. The InWARN Mutual Aid Agreement identifies the administration of the program, describes how to access mutual aid/assistance, specifies how to reimburse for the use of resources, and authorizes the creation of a InWARN Mutual Aid/Assistance Operational Plan. While the InWARN Agreement is the legal instrument authorizing the exchange of resources, the InWARN Mutual Aid/Assistance Operational Plan describes how to implement the Agreement. The InWARN Mutual Aid/Assistance Operational Plan is the operational extension of the agreement and outlines the procedures that need to be in place to make the InWARN Agreement work. In other words, the Operational Plan provides the "game plan" for how to implement the InWARN Agreement. The AWWA Resource Typing Manual identifies the type of players who execute the "plays" and provides details on 24 types of water sector resource teams and supporting guidance. All three of these documents inter-relate and support the mission to address local emergencies. As a result, other job aids may be developed to help direct the implementation of the Operational Plan.

Figure 1 shows how Member utilities activate the Agreement by following the Operational Plan and illustrates that Resource Typing is integral to requesting Mutual Aid/Assistance. Exercising the Operational Plan, Resource Typing, and other job aids ensure the functionality of the InWARN system.
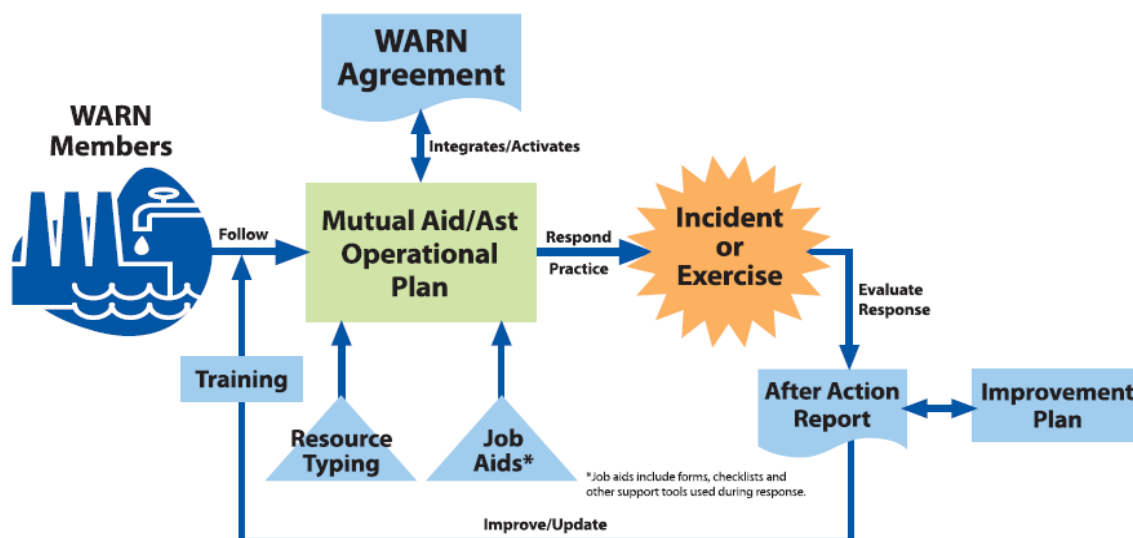
Figure 1: Member utilities follow the WARN Operational Plan to activate the WARN Agreement

What is the Purpose of an InWARN Mutual Aid/Assistance Operational Plan?
The InWARN Mutual Aid/Assistance Operational Plan is designed to be an instructional guide describing the use of the InWARN Agreement and the coordination of resource flow. It is not designed to be a command and control element outside of the emergency management system, rather a coordination tool within the emergency management system and specialized water/wastewater sector resources. The InWARN Operational Plan facilitates the integration of Member utilities before, during, and after an incident, including addressing those actions that occur prior to a formal emergency declaration. The InWARN Operational Plan describes how to sustain operations throughout the emergency and into recovery. Specifically, the InWARN Operational Plan:

- Describes non-emergency responsibilities
- Provides a concept of emergency operations
- Provides a general set of procedures for InWARN activation
- Provides a general set of procedures for mobilization of InWARN Member utilities
- Provides a general set of procedures for InWARN coordination
- Describes documentation and forms for the InWARN standard reporting formats
- Describes a general set of procedures for writing an after action report and improvement plan

A secondary purpose of the Operational Plan is to know, understand, and use the AWWA Resource Typing Manual.

Assumptions
Several key assumptions form the basis of this document and implementation procedures for InWARN:

- **Emergency Response Plans are in place.** While utility specific Emergency Response Plans (ERPs) are not within the scope of this document, InWARN encourages all utilities to develop or update an ERP. With the development of the National Incident Management System (NIMS), ERP updates include how the utility uses the Incident Command System (ICS), how the utility integrates with its local emergency management and response agencies, and how the ERP addresses vulnerability assessments, if they are also completed.

- **Employees are trained according to ERP, ICS, and NIMS.** In order to respond to all emergencies, member utilities provide practical employee training regarding the utility ERP, ICS, and NIMS. Additional training on how to use mutual aid/assistance resources ensures the ability to coordinate response with outside agencies. Section 9 of this document includes a list of recommended NIMS and ICS training.

- **Utilities have signed a single, statewide omnibus InWARN Agreement.** The InWARN Agreement establishes the foundation of InWARN and serves as the legal instrument authorizing the request for mutual aid/assistance, provides a mechanism for

reimbursement, identifies the legal protection and immunities for employees and for use of resources, and establishes eligibility for possible federal reimbursement of expenditures associated with mutual aid/assistance.

- **InWARN is coordinated with local and state authorities.** Coordinated response and access to restricted areas relies on communication between the InWARN and the following groups or organizations:
    - Utilities
    - Local emergency management agencies
    - State emergency management agency
    - State drinking water primacy agency
    - State wastewater permitting authority

The relationship between InWARN, state and local agencies, and utilities, is defined by the agreement and documented in the Operational Plan. Exercising InWARN with the Member utilities and other response agencies increases the chance of success in responding to an incident with InWARN.

SECTION 1 - Elements of InWARN
Member Utility
A Member utility may be any public or private water or wastewater utility that signs the InWARN Agreement. InWARN encourages Member utilities to participate in the annual meeting, trainings, and other activities. Member utilities are eligible to participate in committee activities to support the InWARN. The Member utility identifies an Authorized Representative and alternates to manage its participation in InWARN and response to possible incidents.

Member utilities vote on updates to the Mutual Aid Agreement and other topics related to the operations of the Agreement. Each member has one vote. A utility that operates both water and wastewater services has one vote.

Pre-emergency responsibilities for Member utilities include:
- Identify an Authorized Representative and alternates who are responsible for:
    - Activating the InWARN system,
    - Authorizing the deployment of resources, and
    - Acting as the lead representative for communications and functions for their utility.
- Provide InWARN with contact information for their Authorized Representative.
- Update the contact information every six months or as changes occur.
- Ensure employees are trained according to the current NIMS guidance and complete relevant training requirements as appropriate.
- Identify procedures for how or when the Authorized Representative may request or send mutual aid/assistance.
- Clarify reporting and coordination procedures with the local emergency management officials.
- Volunteer to support the pre-emergency organization of InWARN, as available.
- Attend InWARN trainings and general meetings.

Steering Committee

The Steering Committee members are appointed by the sponsoring associations. Under the leadership of the Steering Committee Chair, the Steering Committee is responsible for the following actions:

- Organize and coordinate emergency planning and response activities for InWARN
- Encourage the active participation of Member utilities
- Establish regular meeting schedules to maintain continuity
- Maintain communication with Member utilities regarding updates, changes, or modifications to InWARN
- Maintain the operational capability of the InWARN Agreement
- Represent the membership when engaged in meetings, discussions, and consultations with other associations, states, and local agencies

The Steering Committee consists of:

- Steering Committee Chair
- Vice Chair
- Secretary
- Regional Emergency Operations Coordinators
- Advisors
- Subcommittee Chairs (optional)

Steering Committee Chair

The Steering Committee Chair is elected by the members of the InWARN Steering Committee. The Steering Committee Chair who is responsible to:

- Represent the InWARN Member utilities to the state emergency management agency, state drinking water primacy agency, and state wastewater permitting authority in emergency planning matters
- Preside at all duly constituted meetings of the membership
- Act as the Executive of the Steering Committee and an ex officio member of all standing committees

Vice Chair

The Vice Chair is elected by the members of the InWARN Steering Committee. The Vice Chair performs duties as assigned by the Chair. During a temporary absence of the Steering Committee Chair, the Vice Chair provides direction to the InWARN Steering Committee. In case the InWARN Steering Committee Chair retires, resigns, or experiences a long-term absence, the Vice Chair acts in place of the Chair until the InWARN Steering Committee elects a new Chair.

Secretary

The Chair appoints the Secretary, who is responsible to record proceedings at all meetings of the Steering Committee, and:

- Edit and publish any official administrative publications for the Steering Committee

- Receive and maintain a file of notes and records for the Steering Committee and subcommittees
- Send official messages approved by the Chair to members – either directly or through the Region Chairs
- Perform other administrative duties as assigned

Regional Emergency Operations Coordinators (REOC's)
Designated by the Steering Committee the Regional Emergency Operations Coordinators are Member utility managers that serve on the Steering Committee and agree to serve as operational coordinators in the event of an emergency. One REOC is designated from of the three regions of the State (north, central and south) so that in the event that one of them is unavailable or unable due to the impacts of an emergency to coordinate during an emergency one of the other REOC's can do so. The REOC's are responsible for helping the Operations Committee develop the InWARN Operational Plan and for facilitating and coordinating InWARN's response during an emergency.

Advisors
Associate Members, also known as Advisors, are any non-utility InWARN participant that provides a support role to the InWARN program on the Steering Committee, but does not sign the Agreement. Associate Members may include the following:
- Professional water/wastewsater sector association representative(s) (AWWA, IRWA, AIRW, IWEA, IACT, etc.).
- State drinking water primacy agency,
- State wastewater permitting authority,
- State Emergency Management agency,
- Department of Public Health, or
- U.S. Environmental Protection Agency Region

Advisors attend InWARN Steering Committee meetings and participate in InWARN activities. Depending on the level of activity of the Associate Member, she or he may be elected as the Chair, or appointed Vice Chair or Secretary. As members of the Steering Committee, Advisors may vote on InWARN actions.

Subcommittees
Subcommittees include:
- Operations
- Response

Additional subcommittees may be appointed to address such issues as Web content or training and exercises. InWARN Member utilities and Associate Members may participate in one or more subcommittees. The Steering Committee approves the creation of and membership in the subcommittees.

Operations Subcommittee
To comply with the InWARN Agreement to create an operational plan, the InWARN Steering Committee may assemble an Operations Committee composed of representatives from Member

utilities to create an Operational Plan to ensure the InWARN is ready to respond. This "standing subcommittee" focuses on procedures and materials designed to manage and improve InWARN's operations. The Operations Committee is responsible for:

- Maintain the InWARN Mutual Aid/Assistance Operational Plan
- Identify a process for how the Steering Committee will approve and authorize the publication of the Operational Plan as well as its distribution through the Steering Committee Chair.
- Lead regular Member utility training to maintain familiarity with the operations of the Agreement
- Conduct an "after action review" of the InWARN system operations following each emergency and make recommendations for improvement

Response Subcommittee
Member utilities who are not affected by the emergency allow trained staff to leave their unaffected home utility to staff a central coordination center to help manage the InWARN Member(s) response. Based on the circumstances of the emergency, this "InWARN Response Team" may be located at the State or a County Emergency Operations Center, an InWARN Member utility facility, an independent operations center, or virtually as a decentralized operations center. In general, this subcommittee takes what the Operations Subcommittee has prepared and ensures volunteers are ready to respond in the event of InWARN activation. The NIMS concept of mutual aid/assistance discourages "self-dispatching" of resources to an emergency. In order to ensure coordinated response among the InWARN Member utilities and avoid "self-dispatch," InWARN may consider training Response Team Members who would be willing to help coordinate the InWARN system response during an emergency.   The subcommittee personnel complete training on the following documents and programs:

- InWARN Mutual Aid/Assistance Operational Plan
- FEMA Emergency Management Institute Independent Study courses (recommended series of NIMS and ICS training can be found in Section 9)
- State operational activities
- Emergency Management Assistance Compact (EMAC)
- National Response Plan
- FEMA Public Assistance Program

Because of the responsibilities of this group, InWARN may consider this to be a regular standing subcommittee.

SECTION 2: InWARN Activation
For all types of emergencies, a utility analyzes the situation and determines the best alternatives to address its needs. This could include three possible mutual aid/assistance response scenarios, identified in *Figure 2*. First, the utility may call upon neighboring utilities with which they have pre-written and established local agreements. Second, the utility can access InWARN. The InWARN Operational Plan focuses on accessing InWARN. This section describes how Member utilities activate InWARN. Elements of InWARN activation include warning activities and notification, as well as a description of responsibilities for requesting and responding utility authorized representatives, mutual aid/assistance coordinators, and staging area managers.

Third, public utilities have an option to "tap into" the public agency statewide mutual aid/assistance programs, if state law and operations have established such a program.

Activation of the InWARN Agreement can occur prior to a declared local emergency or, alternately, during a declared emergency. Some types of emergencies, such as severe storms or blizzards, can be characterized as a "warning" or "notice" event. Based on forecast or other information, it may be possible to pre-stage InWARN Response Teams and prepare Member utilities for possible deployment. In contrast, other types of emergencies provide no warning or notice.

A utility may have as many as three options for obtaining assistance via local one to one agreements, access through a statewide mutual aid program for public agency responders, and the intrastate WARN utilities agreement.
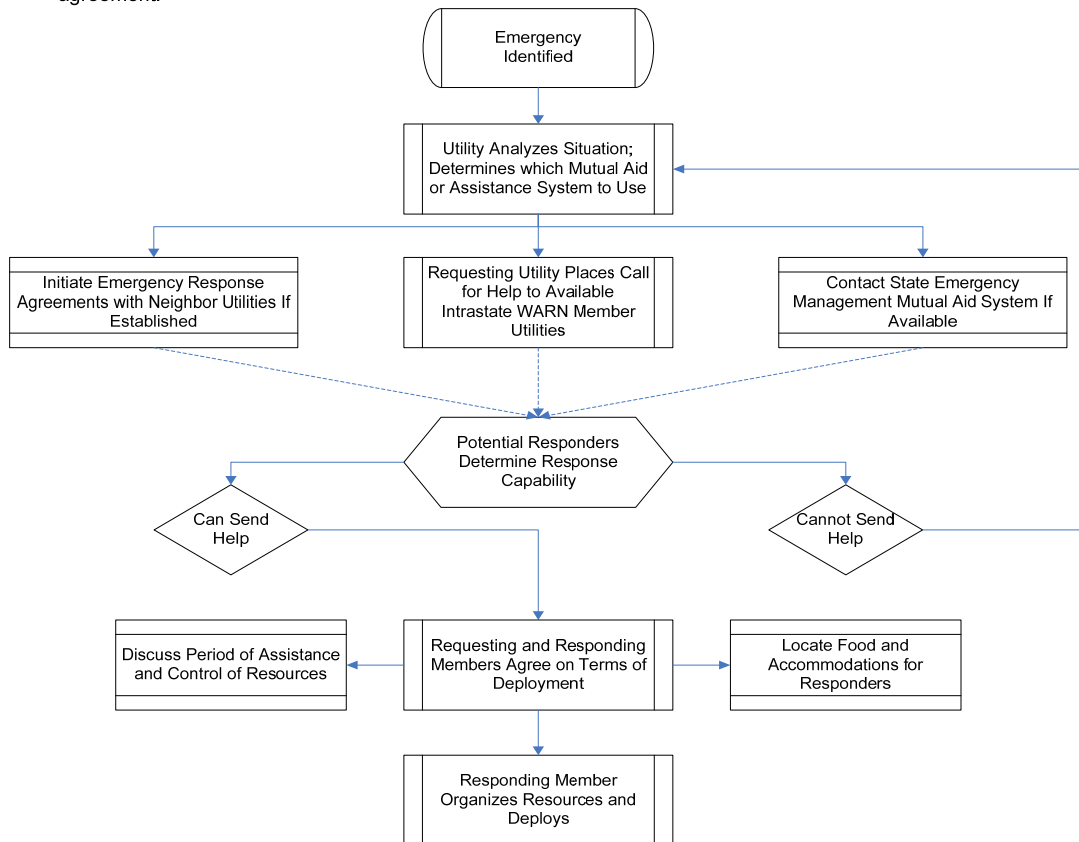
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                    ┌─────────────────┐
                    │   Emergency     │
                    │   Identified    │
                    └─────────────────┘
                            │
                    ┌─────────────────┐
                    │ Utility Analyzes │
                    │ Situation;       │
                    │ Determines which │
                    │ Mutual Aid or    │
                    │ Assistance       │
                    │ System to Use    │
                    └─────────────────┘
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Figure 2: Utility Activation of WARN: Mutual Aid/Assistance Process Flow Diagram

Emergencies with Warnings

InWARN coordination may begin in order to maintain communication during a "warning" event such as an impending severe storm or blizzard warning. E-mail systems may provide the best means to provide the appropriate warning. The purpose of this activation is to ensure preparedness and timely, proactive response. In these cases, the InWARN Steering Committee can initiate the following activities:
- Notify Member utilities of the expected conditions
- Maintain contact with Member utilities about changing conditions and information
- Receive requests for aid/assistance and follow-up actions

Requesting Utility Authorized Representative

The Authorized Representative of a utility can request mutual aid/assistance. In general, the Authorized Representative is responsible to:

- Analyze the situation and determine the best alternatives to address the emergency. (Use the Requesting Utility Authorized Representative Checklist – Attachment A)
- Using the AWWA Resource Typing Manual, determine resources and personnel needs that cannot be met by the utility, yet could be available from mutual aid/assistance.
- Identify a Mutual Aid/Assistance Coordinator to address care, feeding, and other support for incoming mutual aid/assistance.
- Notify local emergency management agency of your need for mutual aid/assistance.
- Contact neighboring utilities with whom the utility has a local mutual aid/assistance agreement or who may be a Member utility of InWARN to determine if they are also affected by the emergency or can provide the mutual aid/assistance.
- If neighboring utilities are affected by the emergency and unable to provide the mutual aid/assistance needed, contact your Regional Emergency Operations Coordinator (REOC) request mutual aid/assistance through the InWARN Network.
  - o Complete and transmit if possible to the REOC the Emergency Notification From (Attachment B)
  - o Discuss the following items to confirm capability to manage the mutual aid/assistance:
    - Type of incident
    - Location, size, expected duration
    - Impact on the utility
    - Resource needs
      - – Personnel skills and certification
      - – Resources type and capability
      - – Materials
    - Estimated length of time aid is required
    - Reporting location (Staging Area)
    - Point of Contact at the Staging Area
    - Number of emergency response agencies in response
    - Communication capabilities
- Once mutual aid/assistance is deployed, notify the local emergency management authority of the arrangements for incoming resources.
- Identify a Staging Area for incoming mutual aid/assistance and provide appropriate staffing for reporting.

Notification

Notification of an actual emergency may come directly from a utility in need to a utility with available resources, or through InWARN. The utility requesting mutual aid/assistance gathers the following information and contacts Member utilities or the InWARN Regional Emergency Response Coordinator (details are in Attachment B):

- Type of incident
- Impact on utility
- Resource requirements

- Location, size, expected duration
- Number of agencies in response
- Known limitations or restrictions
- Available communication tools

Notification of the Drinking Water Primacy Agency is needed during any InWARN activation. During an emergency the following IDEM personnel will be the contacts and interface with the State Emergency Operations Center, EOC. The Indiana Department of Environmental Management is designated as the response agency under Emergency Support Function (ESF) #3, Public Works and Engineering, of the National Incident Management System and standard operating procedures of the Indiana EOC.

Pat Carroll, Chief, IDEM Drinking Water Branch
317 308-3281 work
317 821-8597 home
317 698-4623 cell during event only

Liz Melvin, Chief, Drinking Water Branch, Inspection Section
317 308-3366 work
317 905-3107 pager

Always back up verbal notifications with a written communication (fax or e-mail) between requesting and responding utilities. It is encouraged that this information be shared with the InWARN REOC for coordination purposes especially when it is a wide-area incident affecting multiple utilities.

Mutual Aid Incident Commander

Utilities requesting assistance will identify an Incident Commander and a Command Post to coordinate the needs of incoming mutual aid/assistance resources. The requesting utility must contact the responding utility to determine who is responsible to coordinate these responsibilities, which are detailed in Attachment C, and in general include:
- Identification of the Staging Area
- Communications operability
- Navigation considerations
- Financial services availability
- Care and shelter of personnel and resources
- Feeding operations
- Safety measures
- Methods of documentation
- Reimbursement process

Staging Area Manager

The Mutual Aid Incident Commander will work very closely with a Staging Area Manager. The utility requesting aid is encouraged to identify staging areas where staff can organize and prepare

incoming mutual aid/assistance for deployment into the field. Key responsibilities, which are detailed in Attachment D, include:
- Managing field deployment of mutual aid/assistance resources
- Vehicle maintenance and fueling
- Coordinating daily briefings and assignments
- Support for team assignments and tracking documentation

Responding Utility Authorized Representative

In general, the responding utility's Authorized Representative is responsible to (See Attachment E for more detail):
- Upon notice of the emergency, determine ability to meet own needs and identify available resources
- Contact the InWARN REOC to notify them of available resources, based on the resources described in the AWWA Resource Typing Manual
- Upon contact from a utility in need, discuss key items and the requesting utility's ability to provide care for personnel and resources
    - Identify resources operation qualification requirements
    - Confirm shelter and sleeping arrangements
    - Review reimbursement process to determine whether the responding utility will be following the reimbursement article of the Agreement
- Review request to determine what aid/assistance the responding utility can provide and confirm approval from utility management to provide aid/assistance
- If agreement is reached on the above items, complete and transmit the appropriate Cost Estimate form, Attachment F.
- Prepare teams:
    - Identify supervisors and teams
    - Identify Communications Plan between supervisor of deploying team and home utility
    - Conduct orientation and deployment briefing with teams

If agreement is not reached or resources are not available, contact the InWARN REOC to inform them of the inability to execute aid/assistance.

SECTION 3: InWARN Member Utility Mobilization – Response – Demobilization
This section describes how InWARN Member utilities mobilize and respond to a request for aid/assistance. Elements of InWARN mobilization include pre-deployment activities, deployment of the responding utility, integration of responding utility with requesting utility, daily activity briefings, demobilization, and coordination of reimbursement information.

Pre-Event Planning
- NIMS/ISC training
- Emergency response plan review
- Emergency contacts review and revision
- Periodic InWARN system test alerts
- InWARN table top exercises
- Spare parts inventory

- Family preparedness

Pre-Event Alert

In many instances advance information is available about approaching storms, floods, and other potential natural disasters. In the event such information is available it will be posted on the InWARN web site and notice sent to all members. Upon receipt of notice of a possible InWARN mobilization event, members should insure they have given consideration to the elements listed in the Pre-Event Planning section.

Pre-Deployment Activities

Prior to deployment, responding utilities are responsible to ensure employees are ready to manage the situation (details are provided in Attachment E):
- Review conditions of the emergency with employees
- Ensure appropriate medical precautions are taken (e.g. immunizations)
- Review documentation procedure to ensure staff provide information needed for reimbursement
- Establish daily communications plan between deployed resources and home utility

Deployment of Responding Utility

When deploying resources leave the utility:
- Communicate with Requesting Utility
  - Inform them of deployment
  - Confirm reporting contact
  - Confirm logistical support
  - Confirm condition of the care and shelter facilities
- Contact responding resources with any updates

Daily Activity Briefing

Daily Incident Action Plans (IAP) are created each day by the Requesting Utility and Responding Utility Supervisors—using the standard ICS forms and process. See Attachment G (Incident Briefing) and Attachment H (Incident Objectives). In summary, the steps include:
- List the incident objectives and work plan for the next operational period
- Provide an organizational list or chart that depicts how all response personnel are to be organized
- List the work assignments and responsibilities for the next operational period, including site-specific safety plans
- Provide the communications plan and messages, including radio and telephone communications, methods, and numbers for all incident personnel
- Define the resources needed to accomplish the work order
- Specify an Environmental, Health and Safety plan to follow in case of a responder emergency
- Identify resources at risk
  - Review minimum safety requirements to be employed by requesting utility
- Request utility maintenance and daily resources checks

Make enough copies of the IAP for all InWARN Response Team Members. Preserve the original IAP for record-keeping purposes.

When doing a write-up, do it in MicroSoft Word. Experience with Emergency Operations Centers has shown that information transmitted to the EOC in a spreadsheet format is difficult to digest and requires reformatting to put into a narrative-based communications universe. Word documents can be simply cut/pasted into flowing timeline narratives used in the State EOC.

Demobilization

Follow standard ICS practices of demobilization, including:
- On small incidents, the demobilization process may be quite simple, and can be handled by a InWARN Response Team Member
- On larger incidents, a Response Team Member can be designated to develop a Demobilization Plan
- Capture personnel evaluations and identify future tactical resource needs

If a formal Demobilization Plan is indicated, ensure that it includes the following five sections:
- General Information
- Responsibilities
- Release Priorities
- Release Procedures
- Directory (maps, phone listings, etc.)

Responding Utility Demobilization Activities

While preparing to demobilize, the responding utility is responsible to:
- Deliver documentation collected during response to the requesting utility
- Return all resources to the requesting utility that the responding utility may have in their possession
- Return any sensitive or confidential information to the requesting utility
- Collect all information on cost and process it through the requesting utility finance and administration staff. Information includes:
  - Injury reports
  - Timesheets
  - Material purchases
  - Resource use
- Submit bills for services as appropriate, according to the InWARN Mutual Aid Agreement

Requesting Utility Demobilization Activities

While preparing to demobilize the requesting utility is responsible to:
- Collect damage and response cost figures
- Accept bill(s) from responding utilities
- Provide payment, according to the InWARN Agreement
- As appropriate, submit for FEMA or other reimbursement mechanisms

SECTION 4: InWARN Coordination

Depending on the size of the emergency, this coordination role may not be necessary. The following applies when coordination is needed at the county or state levels. When InWARN is activated and more than two or three utilities are requesting aid, or in the event of a large-scale event such as a catastrophic earthquake, the REOC coordinating the response will request that the Steering Committee assist in the coordination. As the need for coordination increases, volunteers from InWARN Member utilities that are not affected by the emergency may be asked to serve on a Response Team to help with the InWARN coordination. The purpose of the InWARN coordination is to:
- Provide a point of contact and liaison for utility-related matters during an emergency
- Collect information regarding:
  - Extent and type of customer and infrastructure damages
  - General geographic location(s) of outages
  - Expected duration
  - Number of customers affected
  - Resource and information requirements of the affected utilities
- Assist in locating emergency resources, personnel, or material necessary for service restoration
- Advise utilities of restoration assistance and resources available

This "Response Team" may start activities virtually via e-mails and other communication. If the emergency requires a full "team response," the Response Team Members may gather at the State EOC, a local EOC, or other designated location.

InWARN Response Team Member Roles and Responsibilities

IDEM's InWARN Steering Committee Representative or designated alternate will act as the InWARN Response Team Leader in a State EOC, a local EOC, or other designated location. The InWARN Response Team Leader is responsible for:
- Activating the InWARN Response Team
- Liaise with the state operations activities
- Act as a liaison with the state drinking water primacy agency, state wastewater permitting authority, and emergency management agency

InWARN Response Team Members serve as volunteers and assist the InWARN Response Team Leader in managing the InWARN response. The volunteers will come from non-affected parts of the state. The support offered by volunteers allows the utility management from the requesting utility to focus on managing its own response and field personnel. Response Team Members will organize themselves, as needed, to address the emergency. Response Team Members will:
- Assisting the REOC coordinating the response
- Identifying additional sources of support for InWARN Member utilities
- Monitor the number of requests
- Identifying gaps in the requests and resources available
- Provide damage assessment data to the state agencies
- Coordinate response and resolve issues with neighboring WARNs
- Participate in after action reviews
- Assist in the preparation of after action reports

SECTION 5: After Action Reviews, Reports, and Improvement Plan

Within two (2) weeks of the conclusion of each event in which InWARN was activated After-Action Reviews should be completed by the requesting and responding utilities. The After Action Reviews should summarize what went well, what didn't go well, and may include suggested changes to the InWARN operational plan. These After-Action Reviews are to be sent to the InWARN Steering Committee Chair.

The InWARN Steering Committee should produce an After Action Report following each event in which InWARN was activated. The After Action Report will summarize the events and actions taken in advance and during the response to the event. The results of the After Action Reviews will be incorporated into the After Action Report.

Within four (4) weeks of the conclusion of each event the InWARN Steering, Operations and Response Committees should meet to discuss the response and formulate revisions to the InWARN Operational Plan based on the results of the After Action Reviews. Following the after action meeting the Operational Plan, if revised, will be posted on the InWARN web site and a notice will be sent to all Member utilities informing them as to the changes made.

Attachment A: Requesting Utility Authorized Representative Checklist

<div align="right">**NOTES**</div>

☐ Analyze the situation and determine the best alternatives to address the emergency.
  - o Ensure a real need exists. Mutual aid/assistance is designed to augment resources already effectively committed.

☐ Using the resource types in the AWWA Resource Typing Manual, determine resource and personnel needs that cannot be met by your utility that may be available through mutual aid/assistance.

☐ What non-utility agencies are responding to the emergency: law, fire, public works, state environmental, public health, emergency management, American Red Cross, etc.?

☐ Determine how significant the emergency is; does it include city, county, state, or federal resources?

☐ Has a local emergency been declared by the local government?

☐ Are normal power, natural gas, vehicle fuel, and communications available?

☐ Complete Attachment B, WARN Emergency Notification, to inform utilities of needs and expected types of resources.

☐ As needed, identify a person at your utility to manage all incoming mutual aid/assistance. The Mutual Aid/Assistance Manager can use Attachment C, Mutual Aid/Assistance Manager Checklist.

☐ Notify the local emergency management agency of your need for mutual aid/assistance.

☐ Contact neighboring utilities with which your utility has a local mutual aid/assistance agreement. Provide them the completed Attachment B, WARN Emergency Notification.

☐ If assistance is not available from neighbors, identify other WARN Member utilities to determine if they are also affected by the emergency or can provide the mutual aid/assistance.

☐ If agreement on the availability and use of equipment or resources is reached, request cost estimate for mutual aid/assistance. Notify the Mutual Aid/Assistance Manager to prepare for the incoming aid.

☐ If agreement is not reached or resources are not available, contact other WARN Response Team Members.

☐ Once mutual aid/assistance is deployed, notify the local emergency management authority of the arrangements for incoming resources.

- Notify local utility unions of incoming mutual aid/assistance and identify the process for assigning work between utility staff and mutual aid/assistance teams.

- During demobilization:
    - Collect names of mutual aid/assistance teams and supervisors
    - Send letter of thanks
    - Send copies of After Action Report

Attachment B: WARN Emergency Notification

Fill out as much information as possible and fax to potential responding utilities and WARN Response Team.

Incident
Date/Time:
Utility Name: Type: Water or Wastewater Utility
City and County: General Phone Number:
Authorized Representative Name: Title:
E-mail: Cell Number:
General Location of Emergency: Agencies Responding: Law Enforcement / Fire / Public Works
Declaration of Local Emergency made by local government: Yes or No
If Yes, when and by whom:

Type of Emergency (check all that apply)		
☐ Contamination	☐ Earthquake	☐ Fire
☐ Flood	☐ Hurricane	☐ Ice Storm
☐ Tornado	☐ Other	

Damage (check all that apply)		
☐ Storage	☐ Treatment	☐ Waste Collection
☐ Water Aqueduct System	☐ Water Supply	☐ Water Distribution System

Describe Damage Detail:
# of Customers Affected:
Operational Status: Boil Water Notice/Advisory Do Not Use Notice/Advisory Do Not Drink/Advisory   Not Operating   Status Unknown
Power Sources: Power is operational Power is out   Generator power
Damage area: Accessible   Under water   Inaccessible due to debris
Communications Operating: Landline   Cell   Satellite   Radio (what band)

Resources Needed for Repair (Follow resource types in AWWA Resource Typing Manual):
Materials
Resources
Labor
Estimated Time Teams are Needed for Repairs:

Preferred Resources Requested (Follow resource types in AWWA Resource Typing Manual):				
Single Resource	Team	Kind	Type	Description

Staging Area Reporting Location (address):				
Contact at Reporting Site Staging Area				
Name:		Title:		
Cell Phone:		Other Communications:		
Form Completed By				
Name:	Title:			
Phone Number:		Cell Phone:		

Attachment C: Requesting Utility Mutual Aid/Assistance Manager Checklist

☐ Identify staging area and staging area manager for incoming utilities to report to.
  o Identify location outside the immediate impact area.
  o What is the address of the Staging Area?
  o Staging Area Manager Name:
  o Staging Area Manager Contact Information:
  o What access routes are open to the Staging Area?
    ▪ Interstate or other highway open?
    ▪ Rail access?
    ▪ Airport nearby?
    ▪ Does structural or nonstructural debris block roadways or access?
  o What utilities are operating at the Staging Area?
  o What communication links are operating at the Staging Area (landline, pay phone, amateur radio, normal utility radio, etc.)?
  o What vehicle repair services are available for heavy or light equipment?
    ▪ Does responding utility need to bring a mechanic, tools, equipment and supplies?
    ▪ Are tire repair services available?
    ▪ If not available at staging area, are commercial services available?
  o Are fuel services available (gasoline and diesel)?

☐ Identify communications operability:
  o What phone systems are operational?
    ▪ Landline   Cell Phone   Satellite Phone
    ▪ Does requesting utility have satellite phones to provide responding utility?
    ▪ Does requesting utility have local portable cell phone systems (temporary, mobile cellular systems)?
  o What radio systems are available?
    ▪ What frequency does the requesting utility operate on?
    ▪ Is requesting utility providing their radios to responding utility?
    ▪ If yes, are they going to be available at the Staging Area?
    ▪ If there are not enough radios to give to all responding utility staff, are there enough radios to give to the responding utility supervisors?
    ▪ Does utility use amateur radio equipment for emergencies?

☐ What navigation issues should the responding utility be aware of?
  o Are street signs in place?
  o Are utility maps available (hardcopy or electronic)?
  o Do utility maps include GPS coordinates?
  o Are GPS units available?
  o Are maps and/or GPS units going to be available at the Staging Area?
  o Are interstates and highways open?

☐ Identify financial services capabilities:

- Are ATMs functional?
- Are credit cards being accepted locally?
- Are banks open?
- Is cash the only source of payment? If yes, what is recommended amount of cash to bring?
- Are coins needed for laundry or other services?

☐ Identify Care and Shelter arrangements:
- Is water available for:
  - Drinking
  - Bathing
  - Sanitation
- If no, is bottled water available, or do responders need to bring?
- What restroom or sanitation services are available near the worksite (and how far away)?
  - Are portable toilets in use at worksites?
- What utility outages are affecting local hotels/restaurants?
  - Power   Natural Gas   Landline   Cell Phone   Utility Radio
  - None – all operational
- Are normal hotel/motel accommodations available? Yes/No
  - If yes:
    - Who is arranging for rooms? Requesting or Responding Utility
    - Who is paying for rooms? Requesting or Responding Utility
    - How far are the arrangements from the staging area?
    - How far are the arrangements from the work area?
  - If no:
    - Are fire base camps nearby?
      - If yes, can utility staff use them?
      - If no, are contract services available through the county or state? (These services typically come with complete self-sustained operations.)
      - If no, should responding utility staff be self-sufficient and bring own items?
    - Has the requesting utility established temporary shelter operations on utility grounds?
      - If yes, can responding utility co-locate?
    - Is temporary shelter provided by another agency?
      - If yes, what is the name of the agency (e.g. American Red Cross, faith based organization, etc.)
      - Where is it located (address):
      - Are the following services available at the temporary shelter:
        - Restrooms:
        - Portable toilets:
        - Showers:
        - Beds or cots:

- Bedding:
- Laundry facilities:
  - If no are they nearby?
  - Are they coin operated?
- If temporary shelter is not available does the responding utility need to bring own shelter (e.g. tents, campers, etc.)?
  - What area is available to camp?
  - How far is it from the staging area and work areas?
  - If yes, are the following items available and fully functional?
    - Water Hook Up:
    - Power Hook Up:
    - Sewer Hook Up: If no, is a refuse dump nearby?
    - Restrooms:
    - Portable toilets:
    - Showers:
    - Laundry facilities:
      - If no are they nearby?
      - Are they coin operated?
  - Are generators allowed at the campsite?
  - Is fuel available?
  - Is diesel available?

☐ Identify feeding operations:
  - Are normal restaurants available in or around the work area or lodging area?
    - How far do the responders need to travel?
    - Who is paying for the meals when ordered? Responding or requesting utility?
  - If restaurants are not available:
    - Does requesting utility have alternate feeding operations in place?
      - Mobile canteen
      - Services from American Red Cross or faith based organization (if so, specify who)
      - Contract services
    - Are grocery stores open?
      - If yes, how far are grocery stores from work site or lodging?
      - Is rationing in place?
      - Are grocery stores limited in stock?
    - If grocery stores are available, what support services are available?
      - Cooking facilities with functional utilities?
      - Refrigeration systems local to work site, staging area, or lodging?
      - Ice deliveries in operation or available?

☐ Have curfews or other conditions been enforced by local government that might affect movement to and from worksites, feeding locations, and lodging?

☐ Identify employee safety measures:

- o What is the expected temperature and humidity?
    - ▪ Is special weather gear required?
- o What personal protective equipment is needed beyond basic equipment (hard hat, safety vest, safety shoes, mud boots, work gloves, raingear and eye and ear protection)?
- o What additional exposures may responders encounter (e.g. significant odors, contamination, etc.)?
- o What personal inoculations should be considered?
    - ▪ Tetanus
    - ▪ Hepatitis A or B
    - ▪ Flu
    - ▪ Other
- o Are hospitals functional?
- o Are paramedic and/or ambulance services functional?
- o What is your injury claim process?
- o Are chainsaws required to provide response and repairs?
- o Are other debris clearance equipment or tools required?
- o How significant is the disaster to the public?
    - ▪ Routine damage due to storm, flood, fire, or earthquake?
    - ▪ Significant damage due to storm, flood, fire, or earthquake (e.g. many homes destroyed, off foundations, etc.)?
    - ▪ Significant emotional impact due to loss of life or suffering?
    - ▪ What is chance of finding corpses?
- o Are counseling services available to manage Incident Stress?

☐ Identify methods of documentation:
- o Requesting utility has electronic or hard copy means of tracking employee hours, materials used, and other documentation?
- o Requesting utility has means to accept digital photography for documentation?
- o Requesting utility optimizes use of ICS forms and documentation?
- o Requesting utility has method to track costs for FEMA reimbursement?

☐ Identify Reimbursement process:
- o Request Cost Estimate of responding resources prior to approving their deployment. (See Attachment F for details.)
- o Approve or disapprove costs prior to requesting deployment.
- o Identify means for managing injury claims.

Name of Person Completing Checklist:
Title of Person Completing Checklist:
Date/Time:

Attachment E: Responding Utility Authorized Representative Checklist

☐ If notified of emergency prior to a request for assistance, contact the WARN Response Team to inform them of availability.

☐ When a request for aid/assistance arrives, assess request.
   o Review types of damage and what teams may be expected to deal with (size/type of pipe repairs, etc.). (See Attachment A.)
      ▪ Nature of the emergency
      ▪ Impact on the utility
      ▪ Has an emergency been declared by local government?
      ▪ Have curfews or other conditions been enforced by local government that might affect movement to and from worksites, feeding locations, and lodging?
      ▪ Determine resource type requirements, evaluate the following needs to select the appropriate resource typing team in the AWWA Resource Typing Manual:
         – Desirable personnel skills and certification
         – Resource type and capability
         – Determine appropriate materials to accompany the teams

      ▪ Estimate length of time aid/assistance is required
      ▪ Determine method of care and shelter for personnel and resources
         – Review Attachment C (Mutual Aid/Assistance Manager Checklist) with Requesting Utility
      ▪ Confirm billing rates for use of personnel and equipment

   o Review types of resources needed, materials needed, number of teams needed, and skills required.
      ▪ Identify equipment operation qualification requirements:
         – Security and storage of service vehicles and equipment
         – Identify reporting location
         – Identify Point of Contact at the location
         – Identify designated supervision methodology
         – Responsibility for equipment security
         – Procedures for returning equipment to requesting utility
         – Equipment transfer, inspection, and contact information
         – Licensing requirements for transport
         – Transportation and other equipment's fuel considerations
         – Managing lost, damaged, destroyed, or stolen equipment
   o How long are teams needed? Is there need for "relief" teams for first set of teams?
   o How does sending teams affect your utility current operations?

☐ Review reimbursement expectations and process.

☐ Prepare documentation on the costs associated with sending the assistance, and submit it to the requesting utility. (See Attachment F.)
   o Be clear on how teams would be sheltered and fed. Identify any risk associated with shelter or feeding.
   o Notify elected officials.

☐ Review request to determine what aid/assistance the responding utility can provide. Confirm approval from utility management to provide aid/assistance.

☐ Complete pre-deployment personnel activities.
   o Identify an Incident Commander of the teams. Appoint General Staff (Operations,

Planning, Logistics and Finance).
- o Identify how teams are selected. Identify specialized work rules. Review with any union leadership.
- o Identify a communications plan for teams. How do they communicate with each other, the borrowing agency, and family?
- o Identify teams for travel.
- o Conduct review with teams. Review:
    - Level of disaster and impact on community to prepare teams emotionally
    - Conditions and potential for contamination and personal protective equipment needs
    - Logistics arrangement for care, shelter, feeding, etc.
    - Communication plan
    - Employee work rules
    - Medical considerations and needs for inoculation
    - Incident Command System (ICS)
    - Documentation protocols

- ☐ Prepare resources for deployment:
    - o Inspect vehicles for travel and equipment use.
    - o Inventory and standardize stock of equipment and supplies on vehicles.
    - o Send a mechanic with teams and equipment.
    - o Ensure emergency food and water are present on all vehicles.
    - o Ensure availability of first aid kits and other emergency supplies.

- ☐ While teams are away:
    - o Check daily with supervisor.
    - o Review costs associated with assistance.
    - o Review the number of hours each team is working. How long will work last?
    - o Identify problems with lodging or feeding.
    - o Provide daily summary of events to the General Manager.

- ☐ Upon return:
    - o Hold debriefing with the supervisors within seven days.
    - o Hold debriefing with all teams within 14 days. Include General Manager or other appropriate staff.
        - Identify lessons learned.
        - Identify problems and successes.
        - Review hours worked and efforts made.
        - Review ideas to improve own readiness.

- ☐ Within 60 days:
    - o Prepare a report of events to present to the General Manager.
    - o Submit bill for personnel and other costs for mutual aid/assistance response.

Attachment F: Summary of Estimated Costs Form

Requesting utility completes and signs Part I and faxes to potential responding utilities and WARN Response Team. Responding utilities complete Part II including cost, and fax to requesting utility and WARN Response Team. WARN Response Team tracks information and makes notation on *Attachment J: WARN Request Summary Sheet*.

Part I TO BE COMPLETED BY THE REQUESTING UTILITY				
Dated:	Time:	hrs	From the County of:	
Contact Person:			Telephone:	Fax:
To WARN Member Utility:			Authorized Rep:	
Type of Emergency & Impact to Utility:				
Personnel, Equipment & Material Needed (follow AWWA Resource Typing Manual Terminology):				
Date & Time Resources Needed:			Staging Area:	
Approximate Date/Time Resources To Be Released:				
Requesting Authorized Rep:			Req. Authorized Rep's Signature:	
Title:	Utility:			Request No:

Part II TO BE COMPLETED BY THE RESPONDING UTILITY				
Contact Person:			Telephone:	Fax:
Type of Personnel, Equipment & Material Available (follow Resource Typing Terminology)				
Date & Time Resources Available From:			To:	
Staging Area Location:				
Estimated Total Costs To Send Requested Assistance:	$			
Trans. Costs from Home Utility to Staging Area:	$		Trans. Costs to Return to Home Utility :	$
Care, Shelter, Feeding Costs Required For Response:	$			
Responding Authorized Rep:			Res. Authorized Rep's Signature:	
Title:			Utility:	
Dated:	Time:	hrs		Request No:

Part III WARN COORDINATION			
WARN Rep:		Location:	
Signature			
Dated:	Time: hrs		Request No:

Additional Information:

MISCELLANEOUS ITEMS / OTHER INFORMATION

Attachment G: Incident Briefing

Follow instructions from IS-300 course.

INCIDENT BRIEFING	1. Incident Name	2. Date	3. Time

4. Map / Sketch

5. Current Organization

Incident Commander

Safety Officer:
Liaison Officer or Agency Rep:
Information Officer:

Planning   Operations   Logistics   Finance

Div. _____

Div. _____

Div. _____

Div. _____

Air
- Air Operations _____
- Air Support_____ .
- Air Attack _____
- Air Tanker Coord _____
- Helicopter Coord _____

Page _ of _	6. Prepared by (Name and Position)

6. Resources Summary				
Resources Ordered	Resource Identification	ETA	On Scene	Location/Assignment

7. Summary of Current Actions

Page _ of _

Attachment H: Incident Objectives

Follow instructions from IS-300 course.

INCIDENT OBJECTIVES	1. Incident Name	2. Date	3. Time
4. Operational Period			
5. General Control Objectives for the Incident (include alternatives)			
6. Weather Forecast for Period			
7. General Safety Message			

8.	Attachments (mark if attached)	
☐ Organization List - ICS 203	☐ Medical Plan - ICS 206	☐ (Other)
☐ Div. Assignment Lists - ICS 204	☐ Incident Map	☐
☐ Communications Plan - ICS 205	☐ Traffic Plan	☐

9. Prepared by (Planning Section Chief)	10. Approved by (Incident Commander)