Washington Water/Wastewater Agency Response Network (WAWARN)

OPERATIONAL PLAN

Revision 2.0
9/20/2011
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Record of Changes Form

Changes to this document are expected due to lessons learned, updates to protocols, and/or modification to the WA WARN Agreement. The WA WARN will document all changes to the Plan according to the following procedure:

1. Record updates/changes on the log below. (Add new pages as needed.)
2. The WA WARN Statewide Committee approves updates to this WA WARN Operational Plan and electronically advises all Members and Associates when approved updates have been made and are available on the WA WARN Web site.
3. Members replace old pages with current pages and destroy outdated material.

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List of Acronyms

AWWA
American Water Works Association

DOC
Department Operations Center

DOE
Washington State Department of Ecology

DOH
Washington Department of Health

EMAC
Emergency Management Assistance Compact

EOC
Emergency Operations Center

ERP
Emergency Response Plan

ESF
Emergency Support Function

FEMA
Federal Emergency Management Agency

HSPD
Homeland Security Presidential Directive

IC
Incident Commander

ICS
Incident Command System

MACS
Multi-Agency Coordination System

NIMS
National Incident Management System

DHS
U.S. Department of Homeland Security

U.S. EPA
U.S. Environmental Protection Agency

WA WARN
Washington State Water/Wastewater Agency Response Network
List of Definitions for the WA WARN Agreement and the WA WARN Operational Plan

Activation Occurs when one Member calls another Member to discuss the exchange of resources.

Associate Any non-utility participant approved by the Statewide Committee that provides a support role for the WA WARN program. An Associate does not officially sign the WA WARN Agreement.

Authorized Official An employee or officer of a Member agency that is authorized to request assistance; offer assistance; decline to offer assistance; decline to accept offers of assistance; and to withdraw assistance under the WA WARN Agreement.

Confidential Information Any document shared with any signatory to the WA WARN Agreement that is marked confidential, including but not limited to any map, report, notes, papers, opinion, or e-mail which relates to the system vulnerabilities of a Member or Associate.

Emergency A natural or human-caused event or circumstance causing, or imminently threatening to cause, loss of life, injury to person or property, human suffering, significant financial loss, or damage to environment. [Emergencies are incidents] that are, or could reasonably be beyond the capability of the services, personnel, equipment, and facilities of a Member to fully manage and mitigate by itself.

Incident In this document, the term incident is used as a generic description for a planned event, a small incident, or major disaster.

Lead Member The WA WARN member’s representative designated to be responsible for the reviewing after-action activities, including gathering and disseminating lessons-learned, and any developed corrective action plans.

Member Any agency which provides supply, transmission or distribution of water; or collection, conveyance or treatment services of storm water or waste water that executes this Agreement (individually a "Member" and collectively the "Members"). The Members are further classified as Requesting Members and Responding Members

Mutual Aid and Assistance Is the provision of personnel, equipment and resources with the understanding that reimbursement is expected as described in the WA WARN Agreement.

National Incident Management System (NIMS) The national, standardized approach to incident management and response that sets uniform processes and procedures for emergency response operations.

Non-Responding Member A Member that does not provide assistance during a period of assistance under WA WARN.
Period of Assistance
The period of time when a Responding Member assists a Requesting Member in response to a Request for Assistance. The Period of Assistance commences when personnel, equipment, or supplies depart from Responding Member’s facility and ends when all of the resources return to the Responding Member’s facility (i.e., portal to portal).

Requesting Member
A Member who requests aid or assistance under the Agreement.

Responding Member
A Member that responds to a request for aid or assistance under the Agreement.

Strike Team
Specified combinations of the same kind and type of resources, with common communications and a leader; resources may come from the same or different agencies.

Task Force
A group of resources with common communications and a leader that may be pre-established and sent to an incident, or formed at an incident; resources may come from the same or different agencies.

WA WARN Response Team
WA WARN Member volunteers organized by the Response Subcommittee of the WA WARN Statewide Committee (See WA WARN Statewide Committee Charter document). The members of this team can facilitate WA WARN coordination during complex emergencies.

WA WARN Response Team Leader
The selected WA WARN Response Team member to communicate with the appropriate authorities when more than one member of an activated WA WARN Response Team arrives at a reporting site.
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Introduction

Mutual aid and assistance agreements such as Water/Wastewater Agency Response Networks (WARN) help local utilities respond to incidents that call for resources beyond the capability of the affected jurisdiction. The WARN Agreement identifies the administration of the program, describes how to access mutual aid/assistance, specifies reimbursement procedures for the use of resources, and authorizes the creation of a WARN Operational Plan. In Washington State the WARN is known as WA WARN.

While the Mutual Aid and Assistance Agreement for Washington State for Intrastate Water/Wastewater Agency Response Network (WARN) is the legal instrument authorizing the exchange of resources, the WA WARN Operational Plan is the operational extension of the WA WARN Agreement and outlines the procedures that need to be in place to make the WA WARN Agreement work. Other documents, such as the American Water Works Association’s (AWWA) Water & Wastewater Mutual Aid & Assistance Resource Typing Manual, identify the type of teams and associated equipment that utilities may request. All three of these documents (the WA WARN Agreement, WA WARN Operational Plan, and Water & Wastewater Mutual Aid & Assistance Resource Typing Manual) are interrelated and support the mission of WA WARN. Other job aids may be developed to help facilitate the implementation of the WA WARN Operational Plan.

Figure 1 shows how Members activate the WA WARN Agreement by following the WA WARN Operational Plan and illustrates how Resource Typing is integral to requesting mutual aid/assistance. Exercising the WA WARN Operational Plan, and using Resource Typing and other tools or job aids, ensures proper functionality of WA WARN.

Figure 1: Members Follow the WA WARN Operational Plan to Activate the WA WARN Agreement

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1 AWWA developed the AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual to provide guidance to water and wastewater utilities when they request and provide mutual aid/assistance resources during and after an emergency. Resource typing is the categorization and description of response resources that are commonly exchanged in disasters through mutual aid/assistance agreements. For more information on resource typing, visit [http://www.fema.gov/emergency/nims/rm/rt.shtm](http://www.fema.gov/emergency/nims/rm/rt.shtm). The AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual is available at [www.nationalWAWARN.org](http://www.nationalWAWARN.org).
Founding WA WARN Statewide Committee

The founding WA WARN Statewide Committee included Members and Associates. The state drinking water primacy agency, state wastewater permitting authority, emergency management agency, and water sector associations were included in the Statewide Committee as Associates. The WA WARN Statewide Committee enlisted volunteers from Members and Associates to serve on a subcommittee to develop the WA WARN Operational Plan. The WA WARN Operational Plan describes how to implement the WA WARN Agreement. The WA WARN Statewide Committee approved the WA WARN Operational Plan with feedback from a review team and distributed the plan to educate Members and Associates. Upon implementation of the WA WARN Operational Plan, the initial WA WARN Statewide Committee’s work was completed and overall direction of WA WARN was passed on to the Statewide Committee of WA WARN.

It is the Members’ and Associates’ responsibility to integrate the WA WARN Operational Plan into their respective emergency response or emergency operations plans. Descriptions of the WA WARN Operational Plan and suggested training do not replace other regulated trainings, such as those required for hazardous materials response.

Purpose of the WA WARN Operational Plan

The WA WARN Operational Plan is an instructional guide for WA WARN Members and Associates describing the use of the WA WARN 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, it is a coordination tool within the emergency management system and specialized water sector resources. The WA WARN Operational Plan facilitates integration of Members’ actions before, during, and after an incident, including those actions that occur prior to a formal emergency declaration. The WA WARN Operational Plan also describes how to sustain operations throughout the emergency and into recovery. Specifically, the WA WARN Operational Plan:

- Describes pre-emergency responsibilities.
- Describes training, exercises, and procedures to update the WA WARN Operational Plan.
- Provides a general set of procedures for coordinating with Associates and other response partners.
- Provides a general set of procedures for activating the WA WARN Agreement.
- Provides a general set of procedures for mobilization of WA WARN Member resources.
- Provides a general set of procedures for internal WA WARN response coordination.
- Describes documentation and forms for WA WARN standard reporting formats.
- Describes communications tools for WA WARN Members.
- Describes a general set of procedures for writing an After Action Report and Improvement Plan.

The WA WARN Operational Plan also addresses how the WA WARN will utilize other available tools, such as the AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual.

Organization of the WA WARN Operational Plan

Table 1 shows how the WA WARN Operational Plan is organized. Notably, Sections 4, 5, 6, 7, and 9 (the shaded sections in the table) address actions that will be taken by the WA WARN Members during an emergency.
### Assumptions

Several key assumptions form the basis of this document and implementation procedures for the WA WARN:

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

- **Designated personnel are trained according to their ERP, ICS, NIMS, WA WARN Operational Plan, and Resource Typing.** In order to respond to all emergencies, Members can 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 2** of this document includes a list of recommended NIMS and ICS trainings. Additionally, employees can be trained according to WA WARN activities and be familiar with resource typing efforts such as that described in the *AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual*. 

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**Table 1. WA WARN Operational Plan: Content and Purpose by Section**

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<td>WA WARN Communication Tools</td>
<td>Member requesting assistance and Member responding to requests</td>
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<td>8.</td>
<td>After Action Report and Improvement Plan</td>
<td>Staff responsible for post-incident activities</td>
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<td>9.</td>
<td>Attachments</td>
<td>Member requesting assistance and Member responding to requests</td>
<td>During WA WARN activation</td>
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• **Members have signed a single, statewide WA WARN Agreement.** The WA WARN Agreement establishes the foundation of WA WARN 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.

• **The WA WARN Operational Plan is coordinated with local and state authorities.** Coordinated response and access to restricted areas relies on communication between the WA WARN and the following groups or organizations:
  o Utilities
  o Local emergency management agencies
  o State emergency management agency
  o State drinking water primacy agency
  o State wastewater permitting authority
  o Local and state law enforcement authorities

The relationship between the WA WARN, state and local agencies, and utilities, is defined and documented in this WA WARN Operational Plan. Exercising with Members, Associates, and other response agencies facilitates an increased level of preparedness to respond to an actual emergency.
SECTION 1: Pre-emergency Governance Structure

The WA WARN is organized according to the structure shown in Figure 2 and the responsibilities of each organizational element are found immediately after the diagram.

**Figure 2: Elements of the WA WARN Organizational Structure**

**Member**
A Member may be any water or wastewater utility that signs the WA WARN Agreement. The Member identifies an Authorized Official and alternates to manage its participation in the WA WARN and response to possible incidents. Members are eligible to participate in one or more committees to support the WA WARN. Additionally, the WA WARN encourages Members to participate in all meetings, trainings, and other activities.

Pre-emergency responsibilities for Members include:
- Identify an Authorized Official and alternates who are responsible for:
  - Requesting Assistance
  - Offering Assistance
  - Refusing Assistance
  - Withdrawing Assistance
- Provide the WA WARN with contact information for their Authorized Official and alternates.
- 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 Official may request or send mutual aid/assistance.
- Clarify reporting and coordination procedures with the local emergency management officials.
• Review the WA WARN Operational Plan and incorporate appropriate portions into the utility emergency response plan.
• Develop procedures to track costs for personnel, equipment, and other resources during an emergency.
• Volunteer to support the pre-emergency organization of the WA WARN, as available.
• Attend WA WARN trainings and general meetings.
• Maintain WA WARN database information for utilities in accordance with their policy. Print a hard copy of the WA WARN database on a periodic basis (e.g. every six months) to ensure the information is available when a power loss disrupts computer access.
• Update the contact and other database information every six months or as changes occur.

Regional Committees
For the purpose of WA WARN, Washington State is divided into four regions that are geographically consistent with the existing Department of Health Office of Drinking Water regions of the state, with the addition that the eastern region is divided to also create a central region.

Regional Committee Membership
Each Member within a region may appoint one representative to be a member of its Regional Committee. Only those Regional Committee members appointed by Members are entitled to vote on matters before the Regional Committee.

Associate Participation – Regional Committees
Associates may be members of a Regional Committee, but are non-voting members.

Regional Committee Charters
The Regional Committee Charter document describes the mandate of a WA WARN Regional Committee and details of how its role will be fulfilled, its duties defined, outline of staffing and structure, schedule of meetings, and its authorities and reporting requirements.

The Regional Committee is chartered under the general authority of the WA WARN signatories and the “Mutual Aid and Assistance Agreement for Washington State for Intrastate Water/Wastewater Agency Response Network (WARN)” also known as the WA WARN Agreement. The Regional Committee is accountable to the Statewide Committee and the membership of the WA WARN Region.

The WA WARN Regional Committee Charter is a separate WA WARN document which is referenced herein. The current WA WARN Regional Committee Charter document can be downloaded from the WA WARN website.

Statewide Committee
The Statewide Committee members are elected by WA WARN Members. The Statewide Committee is responsible for the following actions:
• Organize and coordinate emergency planning and response activities for the WA WARN.
• Encourage active participation of Member utilities.
• Establish regular Statewide Committee meeting schedules to maintain continuity.
• Maintain communication with Member utilities regarding updates, changes, or modifications to the WA WARN.
• Maintain the WA WARN Operational Plan for implementing the WA WARN Agreement.
• Obtain and manage grants as available.
- Manage issues related to Web site management.
- Determine costs associated with hosting workshops, training, etc.
- Set training and exercise schedules.
- Represent the membership when engaged in meetings, discussions, and consultations with other associations, states, and local agencies regarding the WA WARN.
- Review the WA WARN Agreement. When changes are needed, propose amendments to the membership to vote for adoption.

**Statewide Committee Charter**

The Statewide Committee Charter document describes the mandate of the WA WARN Statewide Committee and details of how its role will be fulfilled, its duties defined, outline of staffing and structure, schedule of meetings, and its authorities and reporting requirements.

The Statewide Committee is chartered under the general authority of the WA WARN signatories and the “Mutual Aid and Assistance Agreement for Washington State for Intrastate Water/Wastewater Agency Response Network (WARN)” also known as the WA WARN Agreement. The Statewide Committee is accountable to the WA WARN signatories as a whole.

The WA WARN Statewide Committee Charter is a separate WA WARN document which is referenced herein. The current WA WARN Statewide Committee Charter document can be downloaded from the WA WARN website.
SECTION 2: Training, Exercises, and Updates

The WA WARN Members are encouraged to develop multi-year Training and Exercise Plans. The WA WARN program may provide trainings or participate in the trainings and exercises at the request of an individual Member or at the request of a local, county, or state government agency. Authorized Officials and their respective utilities, Response Team members, and other relevant stakeholders may participate. The WA WARN Statewide Committee encourages to develop Training and Exercise Plans that include the following components.

Training

The WA WARN Statewide Committee may provide the following training to enhance response with mutual aid/assistance resources and ensure the ability to coordinate response with outside agencies:

- Understanding the WA WARN Agreement.
- Reviewing the WA WARN Operational Plan and how to fill out the appropriate forms.
- Understanding and using the WA WARN Web site, database, and other communication protocols.

Members need to ensure all employees are trained on the utility’s specific safety procedures and emergency response plan. Additionally, each utility implements the NIMS training requirements according to its internal policy. Depending on the person’s role in the incident, some of the training courses may include:

- IS-100.a Introduction to the Incident Command System for Water Sector Personnel
- IS-200.a ICS for Single Resources and Initial Action Incidents
- IS-300 Intermediate ICS, Expanding Incidents (Classroom Instruction Only)
- IS-400 Advanced ICS, Command and General Staff – Complex Incidents (Classroom Instruction Only)
- IS-700.a National Incident Management System, An Introduction
- IS-800.b National Response Framework (NRF), An Introduction

Member representatives who serve on the Response Subcommittee (of the Statewide Committee) should complete additional training, including:

- IS-630 Introduction to the Public Assistance Program
- IS-701a Multi-agency Coordination Systems
- IS-702a NIMS Public Information Systems
- IS-703a NIMS Resource Management
- IS-704 NIMS Communications and Information Management
- IS-706 NIMS Intrastate Mutual Aid - An Introduction
- IS-906 NIMS Workplace Security Awareness
- Training on Exercise Design and Evaluation
- Training on State operational activities
- Training on the Emergency Management Assistance Compact (EMAC)

Exercises

The WA WARN may participate in a Member’s and/or local, county, and state exercise plans. The plan could include a building-block approach in which exercise activities focus on specific capabilities in a cycle of escalating complexity. Of the seven types of exercises described by U.S. Department of
Homeland Security’s (DHS) Homeland Security Exercise and Evaluation Program (HSEEP)\(^2\), the Training and Exercise Plan focuses on the following three.

**Tabletop Exercises**
Tabletop exercises, a type of discussion-based exercise, bring together key personnel to discuss hypothetical scenarios in an informal setting. The WA WARN will organize at least one - annually, or participate in at least one Member utility tabletop exercise annually to assess plans, policies, and procedures, or to evaluate the systems needed to guide the prevention of, response to, and recovery from a defined incident. The WA WARN may also participate in exercise programs designed and run by local or state emergency management authorities as opportunities arise.

**Functional Exercises**
A functional exercise simulates everyday operations in a functional area by presenting complex and realistic problems that warrant rapid and effective responses by trained personnel operating in a highly stressful, time-constrained environment. The WA WARN may participate in a Member’s, local government’s, or state’s functional exercises as opportunities arise.

**Full-Scale Exercises**
Full-scale exercises focus on implementing and analyzing the plans, policies, procedures, and cooperative agreements developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. The WA WARN may participate in a Member’s, local government’s, or state’s full-scale exercises as opportunities arise.

**Updating WA WARN Documents**

*Operational Plan.* Following an incident, exercise, or every five years, (whichever is soonest), the WA WARN Operational Plan Subcommittee will notify the WA WARN Members that comments are being accepted, collect the comments, and will propose revisions to the WA WARN Operational Plan, as appropriate. The WA WARN Statewide Committee reviews the proposed revised plan and approves any changes. The WA WARN Statewide Committee also will communicate WA WARN Operational Plan changes to WA WARN Members and Associates and those persons who are assigned roles within the Plan.

Members and Associates are responsible to integrate the updated WA WARN Operational Plan into their respective emergency response or emergency operations plans.

*WA WARN Agreement.* Any suggested changes that impact the WA WARN Agreement are handled separately from the WA WARN Operational Plan updates. Two appointed legal representatives from Members may review the suggestions to determine the impact on the WA WARN Agreement. Based on review of the impacts, the Statewide Committee determines whether to submit the changes for a vote to the Members. An announcement of the proposed changes is made to each Member that includes a ballot and deadline for a vote. Results of the vote will be shared with the Members. Members not in agreement with the changes may determine whether to continue participating in WA WARN.

*Using the Record of Changes Form.* The Operational Plan Subcommittee reviews the WA WARN Operational Plan and submits it to the WA WARN Statewide Committee for final approval. The WA WARN Statewide Committee determines the process for distributing updates to Members and Associates. The WA WARN Statewide Committee distributes announcements of updates by using the “Record of

\(^2\) For more information on U.S. DHS HSEEP, visit [https://hseep.dhs.gov/](https://hseep.dhs.gov/).
Changes Form” attached at the beginning of the WA WARN Operational Plan. The WA WARN Statewide Committee records any updates or changes to any part of this document.
SECTION 3: Concept of Operations

WA WARN Relation to Local, State, and Federal Response

The relationship between the WA WARN and the local and state emergency response system is critical. According to NIMS, local jurisdictions retain command, control, and other authority over response activities for their jurisdictional areas. Incidents typically begin and end locally and are managed on a daily basis at the lowest possible geographical, organizational, and jurisdictional level. Local jurisdictions have flexibility to adjust the scale and scope of their response to the emergency. Should the local and state jurisdictions become overwhelmed during a response; the state may request federal assistance.

The following is a list of the emergency responsibilities and levels of response that may be part of a mobilization of the WA WARN. The cumulative activities mirror those described in the NIMS Multi-Agency Coordination System (MACS) Group process (for more information on MACS, see the training courses at http://training.fema.gov/). In general, a MACS is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common system with responsibility for coordinating and supporting domestic incident management activities. While direct tactical and operational responsibility for conducting incident management activities rests with the Incident Command, the primary functions of a MACS include the following:

- Support incident management policies and priorities.
- Facilitate logistics support and resource tracking.
- Inform resource allocation decisions using incident management priorities.
- Coordinate incident related information.
- Coordinate interagency and intergovernmental issues regarding incident management policies, priorities, and strategies.

The WA WARN and its various levels of interaction as described below can be considered a MACS.

Depending on the size of the emergency, all levels of response described below may not be needed every time the WA WARN is activated. As all emergencies are local, if resource needs can be addressed by one Member calling another, that may be all that is needed.

Communications with the WA WARN Statewide Committee is requested so that the Statewide Committee is aware that resources were requested. This can be accomplished via e-mail, phone, radio, fax, or other means available. In emergencies that affect more than one locality, coordination at the county level may be necessary. In an emergency that affects multiple counties, coordination at the state level may be necessary.

Role:

 Utility Field Personnel

Description of Activity:

- These are the utility employees in the field responding to an emergency.
- As first responders, utility employees in the field are trained and function within the Incident Command System (ICS).
- Field personnel report to their respective employer utility while coordinating response with local emergency response agencies (e.g. law enforcement, fire and rescue, emergency medical, etc.). This is known as unity of command in ICS.

Role:

Local or Individual Agencies

- Local agencies, including Members, non member water and waste-water, and other individual agencies, may be responding to local or regional emergencies. Their activities will normally be to carry out their primary response and recovery mission with their normal agency footprint/jurisdiction.

- These agencies may be operating at a field-based command level, or operating from a central departmental command center.

Local Government (Cities)

- Depending on the size and complexity of an emergency, local governments may operate EOCs to coordinate resources and manage operations within the jurisdiction.

- Local governments may assist the local utility with the emergency, provided that local resources and supplies are available and that Local Government response resources can be dedicated to this responsibility.

- If necessary, the city may request county and state assistance.

County Government

- Typically led by county management, a county EOC may be activated to coordinate the emergency response actions of all jurisdictions within the boundary of the county.

- Upon request or when response to disruption of local drinking water or wastewater systems becomes a priority for the county, staff may be identified to help coordinate county resources to assist cities, special districts, and local utilities.

- If necessary, the county may request state assistance.

WA WARN

- Designated WA WARN representatives may sit in the county and/or state EOC to facilitate information flow from damaged utilities, identify utility mutual aid/assistance resources, and coordinate response.

- If the WA WARN representatives do not sit in the state EOC, the WA WARN representatives may meet at a designated facility, a Member’s DOC, or at the county and/or city EOC to help coordinate WA WARN Member mutual aid/assistance response.

- Depending on the organizational plan, when in a city, county, or state EOC, the WA WARN representatives could be seated in the Operations Section, Planning Section, Response Coordination group, or another designated reporting location.

State Government

- As needed, the state coordinates state and regional resources to assist the cities and counties.

- Typically led by state management, a state EOC may be activated to coordinate the emergency response actions of all jurisdictions within the state.

- Upon request or when response to disruption of local water distribution becomes a priority, staff from the WA State DOH and the WA State DOE may be identified to help coordinate state resources to assist counties, cities, special districts, and local utilities.

- As needed, the state may request assistance from the National Guard, drinking water primacy agency, wastewater permitting authority, other states (through EMAC), or federal government agencies.

Federal Government

- Upon request, or when local drinking water or wastewater system disruption necessitates federal assistance, the Federal Emergency Management Agency (FEMA) coordinates federal emergency response resources through Emergency Support Function #3 (ESF #3), Public Works and Engineering. As the ESF #3
Role:

**Description of Activity:**
primary agency, the U.S. Army Corps of Engineers (USACE) is responsible for coordinating supplemental assistance to state and local jurisdictions.

- As a support agency to ESF #3, EPA works closely with USACE and FEMA. EPA is the lead federal agency responsible to support the water sector as detailed in HSPD-7.
- Federal emergency response resources may also be coordinated through ESF #10 (Oil and Hazardous Materials Response) where EPA is responsible for decontamination of water infrastructure and ambient water quality.
- ESF #8 (Public Health and Medical Services), in coordination with ESF #3 and ESF #10, may assist in assessing potable water, wastewater, solid waste disposal, and other environmental health issues; conducting field investigations, including collection and laboratory analysis of relevant samples; providing water purification and wastewater/solid waste disposal equipment and supplies; and providing technical assistance and consultation on potable water and wastewater/solid waste disposal issues.

**Response Considerations by Role**

According to NIMS, all emergencies are local and begin with the field response. It is important that WA WARN Members understand how to optimize and work within the Incident Command System (ICS) during a response. As described in Section 2, the appropriate NIMS IS-100a and 200a training courses are available online. The following is a description of how the WA WARN anticipates ICS will be applied.

**Field Response**

Using ICS, designated utility field personnel manage personnel and resources to carry out tactical decisions and activities in direct response to an incident or threat. *Figure 3* demonstrates utility field personnel actions at a remote facility, plant, or main break.

When the incident is a utility-specific event (such as a major water main break; or damage to a treatment plant, water pump, or enclosed clean water reservoir, etc.) the first utility responder to the scene becomes the Incident Commander (IC). The role of command remains at the field scene. The IC characterizes the scene, assesses the impact to the immediate surroundings, manages access to the scene, monitors the conditions, and identifies what resources are needed and where incoming resources report.

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4 “Field” refers to any response remote from the utility headquarters. This could include response to a filter plant, pumping plant, pump station, main break, etc.
Staff responds

Utility Representative:
- Establishes Incident Command or joins other IC
- Assesses impact of emergency
- Determines if resources are sufficient
- Deploys available resources
- Identifies need for mutual aid/assistance
- Contacts Utility Manager to request mutual aid

Figure 3: Utility Field Response

Additionally, the IC communicates with the utility’s management, who directs all available resources of the utility to address the need of the emergency. In this case, the communication from the scene is a direct connection to the utility management. Figure 4 demonstrates this direct communication link to the utility management where the decision to request mutual aid/assistance is made. Command remains in the field with the IC until command is transferred to another person in the field who is more qualified to handle the event, or the designated time for shift change is reached.

Figure 4: Utility IC Reporting to Utility Management

In the event the utility is called to respond to an incident where a law enforcement, fire, or public works Incident Commander (IC) is already identified, the utility responder becomes a part of the established response organization. According to ICS, when a person represents an agency (utility in this case) at the Incident Command Post, they are called an “Agency Representative.” The primary responsibility of the utility Agency Representative is to coordinate response of the utility management with the needs of the emergency and provide support to the Incident Commander (IC).

While working with the Incident Commander (IC), the utility Agency Representative establishes contact with utility management to report conditions and progress. Figure 5 demonstrates how a utility Agency Representative from an independent utility reports to a law enforcement, fire, or public works IC while communicating with his or her utility management about the incident and resource needs. Utility
management policies and response plans determine the exact reporting relationship and responsibilities. As a result, reporting relationships and responsibilities may vary by utility.

Figure 5: Utility Agency Representative Reporting to IC and Independent Utility Management

While command remains in the field with the Incident Commander (IC), for a utility that is part of a city or county government, the utility management may activate a Department Operations Center or Utility Operations Center to rally resources of the department to coordinate its response. The utility department may have to coordinate its response with other portions of the local government. See Figure 6.

Figure 6: Utility Agency Representative Reporting as Part of City/County Government

Area Command

In complex emergencies that expand beyond one scene, NIMS encourages the use of an Area Command which may operate in an Emergency Operations Center (EOC) or Department/Utility Operations Center. While command remains in the field with the Incident Commander at the scene, the utility establishes an Area Command (utility management in this case) in the EOC to direct resources from unaffected portions of the utility to assist in the response. Once the resources arrive at the scene, they follow the local IC in the field.
As other agencies are requested to respond alongside the utility, coordination between multiple entities may result in the use of the Multi-Agency Coordination System (MACS) concept described in NIMS. Implementing a “MACS group” is simply gathering representatives from all the involved responders together to discuss the situation, identifying responsibilities and ensuring each is helping the other. A MACS group can meet in person, over the phone or other communication service, or a combination of both. The intent is to encourage cross communication with fellow responders at the field level, local EOC level and other levels of response.

**Local Government**

City and county governments respond to an emergency as dictated by their local emergency plans. For a city or county to declare an emergency, the jurisdiction needs to know the extent of damage in the local area (including impact on utilities) and the need for mutual aid/assistance. It would be appropriate for a WA WARN Member in need to inform the local emergency management authority of the following information which is captured in the checklists and forms in the attachments to this plan:

- The Member that activated the WA WARN Agreement.
- Requested resources.
- The Member that is supplying the resources.
- When to expect the arrival of resources.
- The safe routes for ingress and access to staging locations.

The city and/or county may designate specific staff to coordinate information and the needs of utilities within the city or county. The city and/or county employee may need to be educated on what the WA WARN program is and how it can assist the city or county in responding to the needs of the utility community. In this case the WA WARN Members are encouraged to communicate with the city or county. This coordination with local government is important, especially if local government establishes access controls limiting people entering a disaster area. As a local government needs assistance, the county may be requesting help and coordinating response with the state government.

**WA WARN**

When an affected Member initiates a web based or phone based request for assistance from another Member or a Regional or Statewide Committee or one of its subcommittees, the WA WARN system is activated. **There is no requirement for declaring a local or state emergency prior to requesting mutual assistance.** Initially, the WA WARN response may be managed remotely using virtual technology (such as teleconference or e-mail communication tools) to manage the information and response. If the demands of the emergency grow, the WA WARN Statewide Committee or Response Subcommittee members may come together to coordinate requests. As the need for coordination increases, trained volunteers from WA WARN Members that are not affected by the emergency may be requested to help with coordination of the WA WARN. These volunteers form the WA WARN Response Team (explanation of if or how these volunteers’ resources are reimbursed is described in *Section 5* of this WA WARN Operational Plan). The key responsibility is to match needs with resources offered by utilities not affected by the emergency. During large events, the WA WARN Response Team Members could be located at the state EOC or an EOC near the incident location. Alternately, the WA WARN Response Team Members could be located at an unaffected utility. In small events, WA WARN Response Team Members could be located at a county or local EOC.

**State Government**

The State Government manages and coordinates state resources in response to the emergency needs of the cities and counties; manages and coordinates statewide mutual aid/assistance; and serves as the coordination and communication link with the federal disaster response system or NIMS. Working with
the state drinking water and wastewater agencies or emergency management authority, a representative of
the WA WARN program, or state employee knowledgeable of WA WARN, may serve as a point of
contact and maintain communication in order to work with government agencies to address issues such as
access to the disaster area and security of resources. Even with State EOC activation, there is still the
expectation that any resources or needs which can be managed locally will be done so. The State EOC
will manage resources when local options are no longer sufficient, or when there are conflicts on
assignment of resources, typically based on priorities of need

Federal Government
According to the National Response Framework (NRF), federal resources are to be “forward leaning” and
available for response as needed. Federal agencies with authority and responsibility may respond
immediately as required by statute. Federal resources located in or adjacent to the impact area or that are
affected by the emergency may respond according to a local agreement. Additional federal resources are
dependent on a presidential declaration of a major disaster for deployment. As the federal response is
organized, EPA supports many Emergency Support Functions, including Emergency Support Function #3
(led by the U.S. Army Corps of Engineers) which is the primary ESF to support water infrastructure
response and recovery. Water infrastructure may also be supported by other ESFs, such as 4, 8, 10, 11,
and 14.
SECTION 4: WA WARN Activation

Following an incident, each Member initiates a damage assessment and evaluates its resource needs. When a Member determines that mutual aid/assistance is warranted, it has three options for receiving mutual aid and assistance: local mutual aid agreements, the WA WARN, or an existing Statewide Master Mutual Aid Agreement.

A utility may have as many as three options for obtaining assistance, including local mutual aid agreements, the WARN Agreement, or any existing Statewide Master Mutual Aid Agreement.

Who Activates WA WARN?

Any Member of the WA WARN Agreement can determine that it needs the assistance of another Member and therefore decide to activate the WA WARN Agreement. (See Attachment A: Requesting Member Checklist.) The WA WARN Agreement can be activated by a Member-to-Member request, or during large events through the WA WARN Response Team at the Regional EOC, or State EOC. Activation occurs when one Member calls another Member to discuss the exchange of resources. A Member activating the WA WARN Agreement is referred to as the Requesting Member. When the resources of a Responding Member fill the need of the Requesting Member, the Authorized Officials confer and agree on the terms of deployment.
What is Activated?
The WA WARN Agreement provides the terms of reimbursement to the Responding Member and a release of liability for services provided. It does not determine the response times, amenities provided to the Responding Member, or any other operations-specific needs. In addition, the WA WARN Agreement does not dictate the activation of the EOC of the Responding Member. These items are determined by dialogue between the Requesting Member and a Responding Member at the time of the emergency.

Pre-Event Activation
Some types of emergencies (e.g. severe storms or hurricanes) can be characterized as “anticipated” or “notice” events due to a build-up of intensity over time and/or scientific methods of predicting an event. This type of event allows Members to anticipate the magnitude of damage and therefore response needs. Activating prior to the disaster opens the lines of communication and coordination among Members which helps to ensure a timely and proactive response. The Requesting Member can initiate the following activities:

- Notify Members of the expected conditions.
- Maintain contact with Members about changing conditions and information.
- Receive requested resources and identify follow-up actions.

Other disasters provide no warning or notice (e.g. earthquakes), or end up impacting a utility in a greater way than anticipated (e.g. flash flooding). Activations during these events do not have the added benefit of pre-event planning.

Notification
Notification occurs when a Requesting Member notifies a Member or WA WARN Response Team (if activated) that they need resources. Initial communication occurs via a phone call, Web database, Web-based discussion board or other methods. Verbal notifications between Requesting and Responding Members will be confirmed as soon as possible via written communication (fax or e-mail) using Attachment B: WA WARN Emergency Notification Form. The Member requesting mutual aid/assistance gathers the following information:

- Type of incident.
- Impact on utility.
- Number of agencies in response.
- Known limitations or restrictions.
- Available communication tools.

In all cases in which the WA WARN Agreement is activated, participating Members notify the WA WARN Response Team or Statewide Committee that the request has been made and met with resources from another member.
Response to a Request for Assistance

A Member is not obligated to respond to a request. Once a Member receives a request for assistance, the Authorized Official evaluates whether or not to respond. The Authorized Official considers these questions:

- Does my utility have the resource requested?
- Do the resources meet the operational requirements that the Requesting Member identified (refer to the AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual)?
- Did this event impact normal operation?
- If we provide resources, can we maintain our ability to respond to unanticipated needs?

If the Authorized Official determines that resources are available to respond to the Requesting Member, thereafter the Member is referred to as a Responding Member. The Authorized Official of the Responding Member communicates, as soon as possible, with the Requesting Member that it is available to respond and provides the approximate arrival time of such assistance. When possible, the Authorized Officials of both the Requesting and Responding Members will confirm all verbal agreements with written documentation (fax or e-mail).

In addition, the Authorizing Officials will clarify and agree upon the following items:

- Requesting Member’s ability to provide logistical support, including
  - care and shelter (food, sleeping arrangements, first aid, etc.) for personnel and resources
  - necessary expendable or durable supplies and equipment
- Reimbursement process to determine whether the Responding Member follows the reimbursement article of the WA WARN Agreement; and
- What aid the Responding Member can provide, the cost, and confirmation of the approval from the Authorized Official and the Member’s management to provide aid.

If agreement is reached on the above items, the Authorized Officials will complete and transmit the appropriate authorization forms described in **Section 5: Response Considerations**.
SECTION 5: Response Considerations

Upon agreement of two or more Members to share their resources, both the Requesting Member and the Responding Member are responsible for ensuring the safe and effective use of their resources. This section provides basic considerations for response based on lessons learned from previous disasters.

Requesting Member

In general, the Requesting Member is responsible to complete the following tasks:

- Use the AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual to determine how to type the resources requested and which Members can potentially meet that need.
  - If the specific resource is not typed, or is unknown, then the task(s) to be accomplished should be described as clearly as possible in order to mutually determine best resources to be provided.
- Use Attachment B: WA WARN Emergency Notification Form to initiate the mutual aid/assistance process and then transmit the form to potential Responding Members(s).
- Discuss resource needs and conditions of use with potential Responding Member(s). Complete and forward Attachment C: Request and Authorization Form to the Responding Member.
- After the Responding Member returns Attachment C: WA WARN Request and Authorization Form back to the Requesting Member with available resources and estimated costs, review and determine whether to accept this mutual aid/assistance proposal.
- Assign a Mutual Aid Coordinator to address care, feeding, and other support for incoming mutual aid personnel. See Attachment E: Mutual Aid/Assistance Coordinator Checklist for a list of what to consider in determining your capability to manage the mutual aid/assistance.
- Notify local emergency management coordinating partners, all law enforcement agencies coordinating check points, and the Operational Area of the incoming mutual aid.
- Identify a Staging Area and assign a Staging Area Manager for incoming mutual aid. See Attachment F: Staging Area Manager Checklist.
- Identify work assignments for the incoming mutual aid.
- Consider how to integrate incoming mutual aid resources with existing workforce.
- Develop a demobilization plan that includes protocols on how and when mutual aid resources will be released.

Responding Member

In general, the Responding Member is responsible to (See Attachment H: Responding Member Checklist for more detail) complete the following tasks:

- Contact the WA WARN Response Team (if convened) to notify them of available resources, based on the resources described in the AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual.
- If mutual aid/assistance is requested via Attachment B: WA WARN Emergency Notification Form or Attachment C: WA WARN Request and Authorization Form, review and determine whether it can meet this request.
- Estimate the cost of response utilizing Attachment D: Cost Estimator Worksheet if needed. These costs will then be indicated on Attachment C and returned to the Requesting Member for consideration.
- Identify supervisors and staff to respond to the Requesting Member, and consider which employees can adapt to the environment of the incident (consider physical and mental health impacts).
• Develop a Communications Plan between supervisors of the responding teams and the Responding Member.
• Conduct a deployment briefing with all staff on the responding teams. Include the following items:
  o ICS refresher courses and command structure of incident, if known.
  o Pre-deployment health and safety considerations, including but not limited to, immunizations, special tools, or clothing.
  o Environmental conditions onsite.
  o Care and shelter arrangements.
  o Rules of conduct during deployment, including but not limited to, activities allowed after work hours.
  o Review of documentation procedures.
• Inform Requesting Member of the Responding Member’s deployment and estimated time of arrival.

Time sensitive verbal alternatives
When needs are critical for immediate response, to protect public health and safety, Requesting and Responding Member Authorized Representatives may verbally arrive at an agreement to exchange resources. The verbal agreement should contain all of the elements of the more formal written process. The appropriate written forms and agreements should be exchanged within 24 hours or less.

Requesting Member Demobilization
Following standard ICS practices of demobilization, the Requesting Member writes a demobilization plan on how to coordinate the return of resources, including the debriefing of staff and the inspection of equipment and materials. The plan should:
• Capture personnel evaluations and identify future tactical resource needs. This would be conducted by both the Requesting Member prior to releasing the personnel, as well as by the Responding Utility once its personnel are back.
• Identify release priorities and procedures. This would include internal resources, mutual aid resources, and any contracted resources.
  • It is normal practice to demobilize resources based on expense, distance, or length of time on the incident; but thus may be varied based on needs and alternatives available.

Responding Member Demobilization
While preparing to demobilize and prior to leaving, the Responding Member’s team is responsible to complete the following tasks:
• Deliver documentation collected during response to the Requesting Member.
• Return any sensitive or confidential information to the Requesting Member.
• Collect all information on costs and process it through the Requesting Member’s Finance and Administration Function. Keep copies of all cost documentation for Responding Member.
  Information includes:
  o Injury reports
  o Timesheets
  o Material purchased
  o Equipment used

The Responding Member will prepare appropriate invoices as described in the WA WARN Agreement.
SECTION 6: WA WARN Coordination

In incidents that affect more than one utility at the same time, mutual aid/assistance coordination at a higher level may be necessary. As the incident response grows or, alternatively, when an emergency starts as a large-scale event (such as a catastrophic earthquake), WA WARN coordination can expand. As the need for coordination increases, trained WA WARN Response Team members may be called upon from non-affected parts of the state to help the area that is affected during a large emergency. This would allow impacted utilities to focus on repair and restoration issues. During an incident that affects multiple counties, coordination at a region and/or state level may be necessary, where the Response Team may respond. When more than one Response Team member arrives at a reporting site, a Response Team leader is selected to communicate with the appropriate authorities. The following applies when coordination is needed at the operational area, region, or state levels.

If activated, the purpose of the WA WARN Response Team 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 of outages.
  - Number of customers affected.
  - Resources and information requirements of the affected utilities.
- Assist in locating emergency equipment, personnel, or material necessary for service restoration.
- Advise Members of restoration assistance and resources available.

In order to achieve 24/7 staffing, the Response Team and the Members must have accurate contact data, and the Response Team must establish a staffing plan and the means to keep it current, and then communicate it to the Members. The Response Team may start activities virtually via e-mail or other communication methods. If the emergency calls for a full “team response,” the Response Team members may gather at the State EOC, a local EOC, or other designated location. When activated, the Response Team members are responsible for the overall management of the WA WARN response. (See Attachment L for details and information about the reporting sites.)

Response Team Member Roles and Responsibilities

The WA WARN Response Team is organized to assist as part of a Multi-Agency Coordination System (MACS) when water or waste-water sector utilities need support. At the county or state level the WA WARN Response Team may become part of an Area Command, or part of a functional group with an EOC. The general responsibilities include the following (See Attachment I: Response Team Member Checklist for more detail):

- Coordinate and compile damage reports from utilities.
- Coordinate damage assessment activities with other agencies (e.g., county emergency management agencies, utility engineers, etc.).
- Log, track, and display damage assessment information.
- Provide damage assessment information to the WA WARN Team Leader or designated resource coordination Response Team member to facilitate incident prioritization.
- Assemble and maintain information concerning critical facilities and special needs facilities associated with each utility included in the WA WARN Operational Plan.
- Transmit Damage Assessment Reports to the other appropriate agencies, as requested.
- Support mutual aid crews in the field interacting with the public to gather more information as the emergency unfolds, and methods to gather damage information.
- Coordinate damage data with the state and FEMA responders to assist in the recovery process.
- Act as a liaison to the Utilities Branch of the county, region, and/or state level emergency operation centers.
- Identify one member of the WA WARN Response Team to represent WA WARN at the incident briefings and meetings.
- Monitor the number of requests.
- Identify possible sources of additional support for WA WARN Members.
- Identify gaps in the requests and resources available.

The WA WARN Response Team may coordinate various activities. The type of incident and extent of damage will determine exactly which activities are needed. As the incident expands each WA WARN Response Team member may be assigned to focus on just one activity (the Attachment 1: WA WARN Response Team Member Checklist is formatted to facilitate this concept):

- Manage damage assessment data.
- Receive, track, and monitor requests.
- Coordinate resource orders.
- Coordinate staging area information.
SECTION 7: WA WARN Communication Tools

The primary communications tools available to the WA WARN Members include the typical systems of landline telephone, cellular phone, utility radio systems, fax, and e-mail. A unique aspect of the WA WARN is use of the WA WARN Web sitewhich includes a list of WA WARN Members and the contact information for each.

Radio Systems

Secondary communication tools are utility-owned radio systems. Radio is secondary to landline telephone and cellular phone due to the lack of interoperability between radios. Interoperability of radio systems would be optimal, but cannot always be achieved, due to expense. It is preferable that WA WARN Members consider alternative plans to achieve the same result.

Caches of supplemental radios may be maintained by Members, or by local city, county or state agencies, which may be available to distribute to incoming mutual aid/assistance supervisors for communications during an emergency. These should be requested through the appropriate EOC.

Additionally, WA WARN Members can consider Amateur (HAM) Radio as an optional backup radio system, which may also be requested through the appropriate EOC.

Web Site

The WA WARN operates a Web site, which allows Members to access relevant and up-to-date information before, during, and after an emergency. The Web site includes a public and Member-only side. The public side allows for promoting and marketing the WA WARN and educating the general public on preparedness efforts of water/wastewater utilities. The Member-only side of the Web site allows access to information such as:

- WA WARN Emergency Notification Form (See Attachment B: WA WARN Emergency Notification Form)
- Resource Requests (See Attachment C: WA WARN Request and Authorization Form and Attachment M: AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual)
- Damage Assessment Reporting

The WA WARN Web site allows a Member to identify resources directly and lists the contact information for Members to contact one another to inquire about the availability of resources and request their use. Every six months Members are encouraged to print out a hard copy of the database, so that when power or Internet is not available during an emergency, the data is still available. The WA WARN Web site instructions are included in this plan on how to access online information.

The Web site includes contact information for the Statewide Committee and the Response Team. Issues or questions during response can be addressed by communicating with Statewide Committee or Response Team contacts. Members are encouraged to print out their contact information sheets and keep them with the hard copy of database resources.
SECTION 8: After Action Report and Improvement Plan

After Action Report

After an exercise or an incident, all WA WARN Members involved with mutual aid/assistance response are encouraged to meet and complete an After Action Report and consider creating an Improvement Plan. After action reviews and reports are typically carried out by WA WARN Members who assisted in the WA WARN Response Team. It is recommended that all key players and groups involved in the response and recovery provide input. Therefore, if the incident is small and only involves a small number of WA WARN Members, the affected utility will be the “lead Member” for the after action activities and may complete the after action report. If the incident is large and involves many agencies and jurisdictions, a “lead Member” will be designated to be responsible for the after action activities. The WA WARN Response Team Members may coordinate the after action review and report process among all the participants. In this case, the WA WARN Response Team Leader can ask to participate in the after action review at the state level.

Typically, the lead Member holds a debriefing to discuss the overall activities, state of affairs, and lessons learned. The debriefing reviews actions and activities from the response and recovery phases. WA WARN Response Team Members can expect to provide a quick review of activities under their function and describe what went well for them, what did not work well, what steps can be taken to improve the situation, or other lessons learned. This meeting allows for open discussion of opportunities for improvement, actions taken and the decisions they were based on, and potential future improvements.

The lead Member collects responses during this meeting and assembles them in an After Action Report that briefly summarizes the actions taken during the response. The After Action Report can include a brief description of the incident, the actions taken, and what needs to change in the future. A copy of the After Action Report is filed with the Statewide Committee and it is available to all Members.

The following list of questions addresses key aspects of response. (The list is not all-inclusive.) In summary, the questions focus on what went well, what did not go well, what needs to be improved, or other lessons learned. The following questions are examples of what may be asked as part of an After Action Report:

- **Notification**
  - What was the number and frequency of notifications?
  - Did the number and frequency provide an accurate operational understanding of the emergency?

- **Activation**
  - How did activation occur for utilities, WA WARN, and other stakeholders?
  - How quickly did “full” activation occur between stakeholders that responded?
  - How can the activation process be improved or streamlined?
  - Were the different departments (or jurisdictions and agencies) able to activate their plans and processes during this incident?

- **Coordination**
  - Were Members well-coordinated and matched to assignments according to skill?
  - What can be done in the future to maximize available resources?
  - What went well? Were the goals met?
  - What went wrong and what was done to correct it?
  - What can be improved?
  - Were resources interoperable?
Were the resources that were requested the same as the ones that were delivered?
Were databases used and are they interoperable across different workgroups and jurisdictions?

- **Mobilization**
  - Was the information gathered from notifications sufficient to accurately organize and prepare for mobilization?
  - How quickly did “full” mobilization occur between stakeholders that responded?

- **Operational Support**
  - What actually occurred at all levels of participation (timeline)?
  - What were the pre-event plans and processes for preparedness, response, recovery, and mitigation?
  - Did the plans and processes meet the need of jurisdictions and agencies responding to this event?
  - How accurately were resource requests anticipated and fulfilled?
  - How can procedures for pre-staging resources, making and fulfilling resource requests, tracking and reporting on resource status, and recovering resources be improved?
  - How accurately were personnel requests anticipated and fulfilled?
  - What were some success stories?
  - What areas need improvement to facilitate response in the future?

- **Demobilization**
  - Was a demobilization plan in place before the event? Was it followed?
  - What worked well?
  - What did not work well and were steps taken to address the situation?
  - What can be improved for the future and what options are available?

- **Miscellaneous**
  - What are some other lessons learned not captured above?

**Improvement Plan**

The After Action Report, with its assessments and recommendations, serves as the basis for the Improvement Plan, which is sometimes referred to as a Corrective Action Plan. An Improvement Plan includes the broad recommendations for improvements, the agreed-upon corrective actions, a timeline for making the changes, and an assignment of responsibilities to individuals or organizations. Below are elements for an Improvement Plan:

- Measurable corrective actions.
- Designated projected start date and completion date.
- Corrective actions assigned to an organization and a point of contact within that organization.
- Corrective actions continually monitored and reviewed as part of an organizational Corrective Action Program.
- An individual can be elected or appointed to manage a Corrective Action Program to resolve corrective actions resulting from exercises, policy discussions and real-world events and support the scheduling and development of subsequent training and exercises.
SECTION 9: Attachments
Attached are supporting documents, checklists, and forms used in response to an emergency.

Attachment A: Requesting Member Checklist
Attachment B: WA WARN Emergency Notification Form
Attachment C: WA WARN Request and Authorization Form
Attachment D: Cost Estimator Worksheet
Attachment E: Mutual Aid/Assistance Coordinator Checklist
Attachment F: Staging Area Manager Checklist
Attachment G: Daily Briefing Considerations
Attachment H: Responding Member Checklist
Attachment I: WA WARN Response Team Member Checklist
Attachment J: WA WARN Request Summary Sheet
Attachment K: Activity Log
Attachment L: State Emergency Operations Center/WA WARN Response Coordination Site
**Attachment A: Requesting Member Checklist**

**Purpose:** The Member that requests mutual aid and assistance is encouraged to use this checklist to track decisions and actions to request mutual aid and assistance. It is used in conjunction with other forms in this WARN Operational Plan.

**Instructions:** Review Attachments A, B, C and D together. Complete actions in this checklist. Complete Attachment B and C forms.

- □ 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 Water & Wastewater Mutual Aid & Assistance Resource Typing Manual, determine resource and personnel needs that cannot be met by your utility that may be available through mutual aid/assistance.
  - o If the specific resource is not typed, or is unknown, then the task(s) to be accomplished should be described as clearly as possible in order to mutually determine best resources to be provided.

- □ 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? Has the Governor declared an emergency? Has the President declared an emergency? *(The WA WARN agreement does not require a declaration of emergency to exchange resources.)*

- □ Are normal electrical and natural gas services, vehicle fuel, and communications available?

- □ Complete **Attachment B: WARN Emergency Notification Form**, to inform utilities of the impact on your utility.

- □ 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 Form**.

- □ If assistance is not available from neighbors, identify other WARN Members to determine if they are also affected by the emergency or can provide the mutual aid/assistance. Continue the process until you locate a utility. If the WARN Response Team is established, contact the team.
If you locate a Member that can send aid, discuss the conditions of the Member, what is needed, and initiate **Attachment C: WARN Request and Authorization Form**. The Responding Member estimates costs using **Attachment D: Cost Estimator Worksheet** which will help determine cost estimates required in Attachment C. Attachments C and D are returned to you for final approval of acceptance of the aid. *When needs are critical for immediate response to protect public health and safety, Requesting and Responding Member Authorized Representatives may verbally arrive at an agreement to exchange resources. The verbal agreement should contain all of the elements of the more formal written process. The appropriate written forms and agreements should be exchanged within 24 hours or less.*

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

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.

As systems return to near normal, begin to determine when to demobilize mutual aid crews.

**Demobilization**

Follow standard ICS practices of demobilization, including:

- On small incidents, the demobilization process may be quite simple, and can be handled by an Authorized Official
- 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.)

While preparing to demobilize the Requesting Member needs to:

- Collect damage and response cost figures
- Accept bill(s) from Responding Member
- Provide payment, according to the WARN Agreement
- As appropriate, submit for FEMA or other reimbursement mechanisms
Post demobilization:
  o Collect names of mutual aid/assistance teams and supervisors
  o Send letters of thanks
  o Request input for After Action Report
  o Send copies of After Action Report
Attachment B: WARN Emergency Notification Form

Purpose: The Authorized Official needs to provide written information regarding emergency, sense of urgency, and conditions.

Instructions: Complete form by checking boxes or circling where appropriate. Provide level of detail available. Complete Section 1 of Attachment C and forward both Attachment B and C to city/county and/or WARN Member.

<table>
<thead>
<tr>
<th>INCIDENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date/Time:</td>
</tr>
<tr>
<td>Utility Name:</td>
</tr>
<tr>
<td>City and County:</td>
</tr>
<tr>
<td>Authorized Official Name:</td>
</tr>
<tr>
<td>E-mail:</td>
</tr>
<tr>
<td>General Location of Emergency:</td>
</tr>
<tr>
<td>Declaration of Local Emergency made by local government: Yes or No</td>
</tr>
<tr>
<td>If Yes, when and by whom:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TYPE OF EMERGENCY (check all that apply)</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Contamination</td>
</tr>
<tr>
<td>☐ Flood</td>
</tr>
<tr>
<td>☐ Tornado</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DAMAGE (check all that apply)</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Storage</td>
</tr>
<tr>
<td>☐ Water Aqueduct System</td>
</tr>
</tbody>
</table>

Describe Damages:

<table>
<thead>
<tr>
<th># of Customers Affected:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational Status:</td>
</tr>
<tr>
<td>Boil Water Notice/Advisory</td>
</tr>
<tr>
<td>Not Operating</td>
</tr>
<tr>
<td>Power Sources:</td>
</tr>
<tr>
<td>Power is operational</td>
</tr>
<tr>
<td>Damage area:</td>
</tr>
<tr>
<td>Accessible</td>
</tr>
<tr>
<td>Communications Operating: Landline</td>
</tr>
</tbody>
</table>

| MUTUAL AID/ASSISTANCE REQUESTED: Yes | No |
|------------------------------------|
| If yes, initiate Attachment C, WARN Request and Authorization Form: |

Form Completed By Authorized Official:

| Name: | Title: |
| Signature: | |
| Phone Number: | Cell Phone: |
## Attachment C: WARN Request and Authorization Form

### Purpose:
Authorized Official of both the Requesting and Responding Member can track approved costs associated with sending/receiving mutual aid and authorizing deployment and reception of the assistance. This form is used with Attachment B when a Responding Member is located and agrees it has resources to send.

### Instructions:
Requesting Member fills out Part I of this form completely. Attaches it to completed Attachment B and forwards it to the Responding Member who completes Part II. The Responding Member can use Attachment D as a worksheet to determine the cost estimates requested on this form. The form is returned to the Requesting Member to authorize acceptance of the aid and negotiated cost identified by the Responding Member. Once the Requesting Member completes Part III, a copy is returned to the Responding Member for record keeping. A copy is also sent to the WARN Response Team for completing their documentation and notation in Part IV.

### Part I TO BE COMPLETED BY THE REQUESTING MEMBER

<table>
<thead>
<tr>
<th>Dated:</th>
<th>Time:</th>
<th>hrs</th>
<th>From the County of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Person:</td>
<td>Telephone:</td>
<td>Fax:</td>
<td></td>
</tr>
<tr>
<td>WARN Member:</td>
<td>Authorized Rep:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Type of Emergency & Impact to Utility:


Preferred Resources Requested (Follow resource types in AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual):

<table>
<thead>
<tr>
<th>Single Resource</th>
<th>Team</th>
<th>Kind</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
</table>

Date & Time Resources Needed: Staging Area:

Approximate Date/Time Resources To Be Released:

Requesting Authorized Official: Req. Authorized Official’s Signature:

Title: Utility: Request No:

### Part II TO BE COMPLETED BY THE RESPONDING MEMBER

<table>
<thead>
<tr>
<th>Contact Person:</th>
<th>Telephone:</th>
<th>Fax:</th>
</tr>
</thead>
</table>

Type of Personnel, Expertise, Equipment & Material Available (Follow terminology in AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual):

Preferred Resources Deployed (Follow resource types in AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual):

<table>
<thead>
<tr>
<th>Single Resource</th>
<th>Team</th>
<th>Kind</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date &amp; Time Resources Available From:</td>
<td>To:</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>--------------------------------------</td>
<td>-----</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staging Area Location:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimated Total Costs To Send Requested Assistance:</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Trans. Costs from Home Utility to Staging Area:</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Trans. Costs to Return to Home Utility:</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Care, Shelter, Feeding Costs Required For Response:</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Responding Authorized Official:</td>
<td>Res. Authorized Official's Signature:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Title:</td>
<td>Utility:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dated:</td>
<td>Time: hrs</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Request No:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Part III REQUESTING UTILITY CONFIRMATION AND APPROVAL**

<table>
<thead>
<tr>
<th>Authorized Official Name:</th>
<th>Location:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td></td>
</tr>
<tr>
<td>Dated:</td>
<td>Time:</td>
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<tr>
<td>hrs Request No:</td>
<td></td>
</tr>
</tbody>
</table>

**Part IV WARN COORDINATION (as needed)**

<table>
<thead>
<tr>
<th>WARN Rep:</th>
<th>Location:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td></td>
</tr>
<tr>
<td>Dated:</td>
<td>Time:</td>
</tr>
<tr>
<td>hrs Request No:</td>
<td></td>
</tr>
</tbody>
</table>

**Additional Information:**

**MISCELLANEOUS ITEMS / OTHER INFORMATION**
### Attachment D: Cost Estimator Worksheet

**Purpose:** The Authorized Official of a Responding Member uses this form to determine costs associated with sending mutual aid/assistance.

**Instructions:** Identify costs associated with deploying assistance. Complete information requested by this form, which can be used in Microsoft Excel.

<table>
<thead>
<tr>
<th>Personnel (insert lines above subtotal as needed)</th>
<th>Position(s)</th>
<th>Reg Salary Hourly Rate</th>
<th>Fringe Benefit Hourly Rate</th>
<th># of Reg Hours Worked per Day</th>
<th>Overtime Fringe Benefit Hourly Rate</th>
<th># of OT Hours Worked per Day</th>
<th># of Days on Mission</th>
<th>Total Daily Cost</th>
<th>Total Mission Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>12</td>
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<td>12</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**Subtotal:** $0.00  $0.00

<table>
<thead>
<tr>
<th>Equipment (insert lines above subtotal as needed)</th>
<th>Item</th>
<th>Hourly Rate3</th>
<th>No. of Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
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<tr>
<td></td>
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<td></td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**Subtotal:** $0.00

<table>
<thead>
<tr>
<th>Commodities/Materials (insert lines above subtotal as needed)</th>
<th>Item</th>
<th>Unit Cost</th>
<th>Quantity</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
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<td></td>
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<td></td>
<td></td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**Notes:**
### Other Costs

<table>
<thead>
<tr>
<th>Item</th>
<th>Unit Cost</th>
<th>Quantity</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td><strong>Subtotal:</strong></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
</tbody>
</table>

### 2._travel

<table>
<thead>
<tr>
<th>Units</th>
<th>Description</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lodging</td>
<td>$/person/night</td>
<td></td>
</tr>
<tr>
<td>Food</td>
<td>$/day/person</td>
<td></td>
</tr>
<tr>
<td># x miles x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal Vehicle</td>
<td>0.0488/mile</td>
<td></td>
</tr>
<tr>
<td># x miles x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Vehicle</td>
<td>0.0488/mile</td>
<td></td>
</tr>
<tr>
<td>daily/weekly rate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>as applicable x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rental Vehicle</td>
<td>duration</td>
<td></td>
</tr>
<tr>
<td>Air Travel</td>
<td>$/person/roundtrip</td>
<td></td>
</tr>
<tr>
<td>Other Travel</td>
<td>as necessary</td>
<td></td>
</tr>
<tr>
<td><strong>Subtotal:</strong></td>
<td></td>
<td>$0.00</td>
</tr>
</tbody>
</table>

### 3. TOTAL EXPECTED DEPLOYMENT COST:

<table>
<thead>
<tr>
<th>Footnotes:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. From requestor, may be more than one and of different kind/type</td>
<td></td>
</tr>
<tr>
<td>2. Assumes a 12-hour work day</td>
<td></td>
</tr>
<tr>
<td>3. Use FEMA rates if unknown</td>
<td></td>
</tr>
<tr>
<td>4. Items to Consider: Fuel for equipment, O&amp;M for equipment</td>
<td></td>
</tr>
<tr>
<td>5. Consult the Internal Revenue Service for latest federal government reimbursement rate</td>
<td></td>
</tr>
</tbody>
</table>

**Subtotal:** $0.00
Attachment E: Mutual Aid/Assistance Coordinator Checklist

Purpose: Authorized Official of both Requesting and Responding Member or staff appointed to coordinate incoming mutual aid/assistance resources use this checklist to ensure mutual aid/assistance resources are prepared for deployment.

Instructions: Review this checklist as ongoing discussion between Requesting and Responding Member occurs. Put notes in the right-hand column.

NOTES

Staging Area

☐ Identify a location outside the immediate impact area to serve as a Staging Area.
  o What is the address of the Staging Area?
  o What is the Staging Area Manager’s Name?
  o What is the Staging Area Manager’s Contact Information?
  o What services will be available at the Staging Area?
    ▪ Are supplies and personnel available to repair heavy or light equipment?
    ▪ Does Responding Member need to bring a mechanic, tools, equipment and supplies?
    ▪ Are tire repair services available?
    ▪ If not available, are commercial services available?
    ▪ Are fuel services available (gasoline and diesel)?

Transportation Impacts

☐ From the Requesting Member gather responses to the questions in the top row in each of the following areas.

<table>
<thead>
<tr>
<th>Staging Areas</th>
<th>Which interstates or highways are open nearby each area?</th>
<th>Does debris hinder access near or to each area?</th>
<th>Which train or rail systems are operational nearby each area?</th>
<th>Which airports are operational?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Utility Service Yards</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Work Areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lodging / Hotel Areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Shelter Facilities</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Feeding Operations Sites</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restaurants and Stores</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Communications Impacts

☐ From the Requesting Member gather responses to the questions in each of the following areas.

<table>
<thead>
<tr>
<th></th>
<th>Are landline telephone systems operational?</th>
<th>Are cell phone systems operational?</th>
<th>Are satellite phone systems operational?</th>
<th>Are utility radio systems operational?</th>
<th>Is the Internet operational?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staging Areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Utility Service Yards</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>General Work Areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lodging / Hotel Areas</td>
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<tr>
<td>Shelter Facilities</td>
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<tr>
<td>Feeding Operations Sites</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restaurants and Stores</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

Utility Impacts

☐ From the Requesting Member gather information on how utility outages are affecting each of the following areas.

<table>
<thead>
<tr>
<th></th>
<th>Electrical outages</th>
<th>Natural gas outages</th>
<th>Potable water outages</th>
<th>Wastewater outages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staging Areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Utility Corp Yards</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Work Areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lodging / Hotel Areas</td>
<td></td>
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<tr>
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<td></td>
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<td></td>
</tr>
<tr>
<td>Feeding Operations Sites</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restaurants and Stores</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Field Response Operations

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

☐ Identify additional communications operability:
  - Does Requesting Member have satellite phones to provide Responding Member?
  - Does Requesting Member have local portable cell phone systems (temporary, mobile cellular systems)?
If operational, how does the Members’ communication system function?

- What frequency does the Requesting Member operate on?
- Will Requesting Member provide their radios to Responding Utility?
- If yes, are radios available at the Staging Area?
- If there are not enough radios to give to all Responding Member staff, are there enough radios to give to the Responding Member supervisors?
- Does Requesting Member use amateur radio equipment for emergencies? If yes, is equipment (and operators) available?

What navigation issues should the Responding Member be aware of?

- Are street signs in place?
- Are utility maps available (hardcopy or electronic)?
- Do utility maps include GPS coordinates?
- Are GPS units available?
- Are maps and/or GPS units going to be available at the Staging Area?
- Are interstates and highways open?

What sanitation services are available in the field?

- Water for drinking
- Water for sanitation
- Restroom (e.g. using port-a-potties)

What debris clearance equipment is needed?

- Are chainsaws required to provide response and repairs?
- Is other debris clearance equipment or tools required?

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?

Care and Shelter

What accommodations are available?

- Hotels
- Fire (or similarly organized) Base Camp
- County/State Sponsored Base Camp
- Utility Temporary Shelter
- Outside Agency Housing
  - If yes, what is the name of the agency (e.g. American Red Cross, faith-based organization, etc.)
- None - Responding Member must be self-sufficient.

How are arrangements being addressed?

- Who is arranging for rooms:
- Requesting or Responding Member?
- Other Logistics unit?
  - Who is paying for rooms? Requesting or Responding Member?
  - How far are the arrangements from the staging area?
  - How far are the arrangements from the work area?
  - Where is it located (address):

What amenities are available at the available sites?

<table>
<thead>
<tr>
<th>Hotel</th>
<th>Incident Base Camp</th>
<th>County or State Base Camp</th>
<th>Utility Temporary Shelter</th>
<th>Red Cross or other Shelter</th>
<th>Campgrounds</th>
</tr>
</thead>
<tbody>
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<td></td>
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</tbody>
</table>

- How far from work areas?
- Has feeding operations available on site?
- Has potable water for drinking?
- Has water for bathing?
- Has water for sanitation?
- Has operating restrooms?
- Requires use of portable toilets?
- Has operating showers?
- Has beds or cots?
- Has bedding?
- Has a functional laundry facility?
- Has a functional laundry facility nearby?
- Has or allows portable emergency generator power?
- Fuel (or diesel) is available nearby for generators?
- Nearby campgrounds have power, water and sewer hook ups?

Determine feeding operations.
  - Are 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 Member?
  - Does Requesting Member 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?

**Employee Safety Measures**

- What is the expected temperature and humidity?
  - Is special weather gear required?

- 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)?

- What additional exposures may responders encounter (e.g. significant odors, contamination, etc.)?

- What personal inoculations should be considered?
  - Tetanus
  - Hepatitis A or B
  - Flu
  - Other _____, _____, _____

- Are hospitals functional?

- Are paramedic and/or ambulance services functional?

- How significant is the disaster to the public?
  - Significant damage due to incident (e.g. many homes destroyed, off foundations, etc.)?
  - Significant emotional impact due to loss of life or suffering?
  - What is chance of finding deceased humans?
  - What is chance of finding significant numbers of dead livestock or pets?

- Are trained incident stress debriefing teams available?
**Documentation**

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

**Reimbursement Process**

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

---

**Sign Off:**

Name of Person Completing Checklist: _________________________________
Title of Person Completing Checklist: _________________________________
Date/Time: _________________________________
Contact Info: _________________________________
Attachment F: Staging Area Manager Checklist

Purpose: Personnel assigned to coordinate the arrival of mutual aid/assistance at a remote location near the event needs to track actions to support mutual aid/assistance.

Instructions: Complete actions in this checklist. Complete Attachment H and I as needed.

NOTES

General Duties

☐ Establish Staging Area layout.

☐ Draw a map of the area; consider using spray paint to mark areas.

☐ Establish Check-In function for personnel in coordination with the EOC.

☐ Establish Check-In function for supplies and resources in coordination with the EOC.

☐ Identify resources that may be needed to initiate, sustain, and demobilize the efforts required during an emergency operation.

☐ Dispatch resources at the Operations Section Chief’s request.

☐ Maintain records of all resources entering, deployed to, and demobilized from the staging area.

☐ Coordinate with the Logistics Section for temporary feeding, fueling, and sanitation services as needed to support the Staging Area.

☐ Provide for the mechanical, technical, and maintenance needs of the resources requested or required.

☐ Respond to requests for resource assignments.

☐ Ensure the safety of personnel and equipment in the staging area.

☐ Obtain and issue radios and other supplies as required.

☐ Provide the EOC with status information of personnel, equipment, and supplies in the Staging Area.

☐ Provide for the orderly demobilization of resources as the incident command structure is dissolved.

READ ENTIRE CHECKLIST AT START-UP AND AT BEGINNING OF EACH SHIFT

Checklist Actions
Start-Up Actions

☒ Determine any immediate unmet needs and/or outstanding resource requests for staging.

☒ Proceed to Staging Area.

☒ Post areas for identification and traffic control.

☒ Establish check-in procedure/forms for arriving resources, keep all receipts.

☒ Set up communications between the EOC and the staging area(s).

☒ Staff staging areas with additional personnel to load, unload, stock, deliver, and distribute supplies and keep pertinent records.

☒ Obtain and issue radios and other supplies needed for staging area operations as needed.

☒ Request personnel through the EOC.

☒ Determine any support needs for equipment, feeding, sanitation, and security. Request maintenance service for equipment at Staging Area as appropriate.

☒ Keep a log of items requested and check to see that they have been ordered, sent, received, and distributed to the requesting individual. (This MUST be done continually to ensure that requests are filled as expeditiously as possible).

☒ Respond to request for resource assignments.

☒ Dispatch resources as requested.

☒ Notify the individual that requested the item of the status of the resource request:
  - Date and time of delivery of goods and material.
  - Delivery site.
  - Type and quantity of goods and material to be delivered as well as any items that are not available.

☒ Obtain and issue receipts for radio equipment and other supplies distributed and received at Staging Area.

☒ Frequently determine required resource levels from the Operations Section Chief.

☒ Advise the Operations Section Chief when reserve levels reach minimums.

☒ Maintain and provide status to Resource Unit of all resources in Staging Area.

☒ Maintain Staging Area in safe and orderly condition.

☒ Ensure all personnel time and costs are tracked for reimbursement.

☒ Document:
  - Messages received
  - Action taken
o Decision justification and documentation
o Requests filled

**Deactivation**

- Deactivate Staging Area Manager and staging area(s) when no longer required.
- Provide for the orderly demobilization of resources as the incident command structure is dissolved.
- Ensure any unfinished business is completed before leaving or passed on to Logistics.
- Ensure any required forms or reports are completed prior to your release and departure.
- Be prepared to provide input to the After-Action Report.
- Deactivate your section and close out logs when authorized by Logistics.
- Demobilize Staging Area in accordance with Incident Demobilization Plan.
- As necessary, give the EOC Manager a forwarding phone number where you can be reached.
Attachment G: Daily Briefing Considerations

Purpose: Field Supervisors utilize this list as a starting list of considerations for Daily Staff briefings with mutual aid/assistance responding teams.

Instructions: Complete actions in this checklist.

☐ Provide schedule of briefings for daily work assignments.

☐ Provide a status report on current conditions, status of systems and repairs, as well as any other event-specific updates.

☐ Provide information or resources to establish communication between the supervisor of incoming teams and supervisor of your utility.

☐ Provide system maps and work assignments.

☐ Explain current field conditions and safety requirements.

☐ Review key standards your utility uses for pipe repairs, fittings, and distribution methods.

☐ Identify critical equipment that may need to be used to complete the repairs.

☐ Identify locations and purchasing procedures for fuel, supplies, and parts.

☐ Where are contaminated soil(s) to be placed or relocated?

☐ Provide necessary forms required for documentation.
  o Work Hours/Overtime
  o Materials/Resources Expensed
  o Worksite Repair Information

☐ Review work hours, breaks, and respite facilities available in the field.

☐ Review where emergency medical attention can be received and reporting procedures for injuries.

NOTES
Attachment H: Responding Member Checklist

Purpose: The Authorized Official of a Responding Member may track actions to deploy mutual aid/assistance.
Instructions: Complete actions in this checklist and make notes in right-hand column.

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

- When a request for aid/assistance arrives, assess request.
  - Review types of damage and what teams may be expected to deal with (size/type of pipe repairs, etc.). (See Attachment B.)
    - 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 Water & Wastewater Mutual Aid & Assistance 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 E: Mutual Aid/Assistance Coordinator Checklist with Requesting Member
- Confirm billing rates for use of personnel and equipment
  
  - 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 Member
      - Equipment transfer, inspection, and contact information
      - Licensing requirements for transport
      - Transportation and other equipment's fuel considerations
      - Managing lost, damaged, destroyed, or stolen equipment
  
  - How long are teams needed? Is there need for "relief" teams for first set of teams?
  
  - 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 Member. (See Attachment D.)
  
  - Be clear on how teams would be sheltered and fed. Identify any risk associated with shelter or feeding.
  
  - Notify elected officials.
Review request to determine what aid/assistance the Responding Member can provide. Confirm approval from utility management to provide aid/assistance.

Complete pre-deployment personnel activities.

- Identify an Incident Commander in charge of the deployment team. Appoint General Staff (Operations, Planning, Logistics and Finance) to manage the deployment of the team. (Upon arrival at the destination utility, report to the Staging Area as the Member Representative. The deployment team will be integrated into the incident’s ICS structure; this typically will be as a Task Force or Strike Team to maintain the team as a functional unit. The deployment team Incident Commander will typically be reassigned as a unit/functional supervisor within the incident’s ICS structure.)

- Identify how teams are selected. Identify specialized work rules. Review with any union leadership.

- Identify a communications plan for teams. How do they communicate with each other, the borrowing agency, and family?

- Identify teams for travel.

- 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:

- Inspect vehicles for travel and equipment use.
- Inventory and standardize stock of equipment and supplies on vehicles.
- Send a mechanic with teams and equipment.
- Ensure emergency food and water is present on all vehicles.
While teams are away:

- Check daily with supervisor.
- Review costs associated with assistance.
- Review the number of hours each team is working. How long will work last?
- Identify problems with lodging or feeding.
- Provide daily summary of events to the General Manager.
- Ensure that responding staff can maintain contact with family

While preparing to demobilize, the Responding Member is responsible to:

- Deliver documentation collected during response to the Requesting Member
- Return all resources to the Requesting Utility that the Responding Member may have in their possession
- Return any sensitive or confidential information to the Requesting Member
- Collect all information on expenses and process it through the Requesting Member finance and administration staff. Information includes:
  - Injury reports (if applicable)
  - Timesheets
  - Material purchases
  - Resource usage
- Submit bills for services as appropriate, according to the WARN Agreement

Upon return:

- Hold debriefing with the supervisors within seven days.
- 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.
  - Provide feedback to requesting agency.
  - Review ideas to improve own readiness.

Within 60 days:
Washington Water & Waste-Water Assistance Response Network

- Prepare a report of events to present to the General Manager.
- Submit bill for personnel and other costs for mutual aid/assistance response.
Attachment I: WARN Response Team Member Checklist

Purpose: Trained WA WARN Members staff who will act as part of the WARN Response Team use this checklist to track actions and operate as a WARN Response Team.

Instructions: Complete actions in this checklist. Arrive at WARN Response Team location.

Definition: The term “WARN Leader” is used as a generic reference for the WA WARN individual who is the point of contact (POC) between the Response Team and the incident ICS structure, or at the appropriate EOC. This role will typically be assigned a formal ICS or EOC title, which will depend on the structure in-place.

☐ Once notified of need to activate the WARN Response Team, make travel arrangements to the designated utility coordination site;

☐ Make lodging arrangements (see Appendix N for nearby locations);

☐ Bring all necessary personal items with you for the period of time requested; and

☐ Follow directions to get to the designated location provided in Appendix N.

Once you have reached the utility coordination center, complete the following:

Startup activities

☐ Sign in and identify self at security point check in;

☐ Check in with the WARN Leader to receive an initial briefing on the general situation and immediate tasks to be performed. Briefing should:
  - Detail nature and extent of emergency;
  - Identify extent of affected utilities and status;
  - Describe nature of assignment;
  - Provide status report update and criteria; and
  - Identify contact person to receive the information.

☐ Review any posted information and Incident Briefing forms IS 200, 201 and 202 for critical contact information;

☐ Review or open and maintain an Activity Log (see Attachment K). At a minimum, the Activity Log should record the following for each utility contacted:
  - Date and time;
  - Contact name and number;
  - Communications/coordination received/made; and
Follow-up required/completed.

Communications recorded should include conversations in which decisions were reached, instructions given or received, and vital information exchanged.

- Contact utilities in affected areas to determine situation and any assistance that may be required;
- Alert the WARN Leader of emerging issues or concerns you perceive as “sensitive”;
- Keep all related status boards up-to-date;
- Coordinate with the WARN Leader regarding your shift commitment and assist in identifying Utility Representatives to relieve you at the end of your shift;
- Provide comprehensive shift turnover briefing; and
- As questions arise, contact the WARN Leader for direction.

**General activities**

Support the WARN Leader by providing specific utility knowledge and sector representation by doing the following activities:

- Provide regular updates to the WARN Leader with significant changes in utilities’ status;
- Contact and receive calls from utilities in affected areas of the emergency regarding damages to services/infrastructure;
- Determine utility-specific resource and/or information needs;
- Maintain logs, Status Boards, and prepare Status Reports;
- Identify:
  - extent and type of customer and infrastructure damage
  - general geographic location of utility outages
  - expected duration of outages
- numbers of customers affected by county
- resource requirements and/or information needs

☐ Assist utilities in procuring resources, personnel, and provisions necessary for restoration of services.

☐ Communicate utility damage information and restoration priorities between government agencies and utilities, as necessary.

☐ Ensure regular updates to the WARN Leader on restoration concerns.

☐ Assist with inter-utility response coordination.

☐ Facilitate utility mutual aid/assistance as necessary/requested.

☐ Serve as liaison between utilities and emergency management for extraordinary assistance.

☐ Through the WARN Leader, provide utility Status Reports and special needs requests as indicated.

☐ Perform additional duties to support the utility sector as requested by the WARN Leader.

**Shift briefings should occur between the outgoing and incoming representatives and at a minimum include the following:**

☐ Alerts to any safety related issues that could impact utility personnel.

☐ A review of the Activity Log with particular emphasis given to the follow-up columns.

☐ Immediate tasks to be performed that have either been assigned by the WARN Leader or required by the follow-up information on the Activity Log.


☐ A review of special key contact names and numbers outside of the Emergency Directory developed during event communications.
Mutual Aid / Assistance Request
If mutual aid/assistance is needed, record the following:

- Name and contact information of utility representative
- Utility name and type
- Specific resource personnel/resources need
- Specify required certification or specification
- Date/time needed
- Impact if delayed
- Delivery point of resource
- Logistical arrangements for any incoming personnel
- Access routes into the affected area(s)
- Estimated duration of operations
- Risks and hazards

Stand Down Activities
- Under direction of the WARN Leader to “stand down,” prepare a situation status report about the utilities you represent, including estimated outages, restoration and damages.
- Provide briefing to the WARN Leader.
- Remain available by phone to respond if activation staffing is increased.
- Sign out

Shut Down Activities
- Under direction of the WARN Leader to “shutdown,” return all non-expendable items and identify items that need to be replaced.
- Complete reports. Provide briefing on completed items and identify follow up items.
- Assist in returning all equipment to storage location.
- Sign out.
- Be available to participate in After Action Report Reviews.
**Attachment J: WARN Request Summary Sheet**

**Purpose:** WARN Response Team Members if activated use this form to track requests for mutual aid/assistance.

**Instructions:** After receiving a copy of Attachment C from the Requesting Member, assign a number to each request in each utility requesting aid in column 2. Summarize resource needs in column 3. Put name of Responding Member in column 4, estimated time of arrival of responding resources in column 5 and the time they left in column 6. Put estimated deployment in last column.

<table>
<thead>
<tr>
<th>Request No.</th>
<th>Requesting Member</th>
<th>Need Summary</th>
<th>Responding Member</th>
<th>ETA</th>
<th>Estimated Deployment Time</th>
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</thead>
<tbody>
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All Times – Local 24 Hour Clock
Attachment K: Activity Log/ICS-214

**Purpose:** WARN Response Team members use this form to track actions during activation. All Members are encouraged to do the same.

**Instructions:** After reviewing the appropriate checklist for the task you are completing, complete boxes 1 – 3 with requested information. Put your response title in box 4. In box 5, note who you report to. In box 6, note what response time you are operating in. In box 7, note the personnel that are assigned to you, the position they fill and the utility from which they come (if different from yours). In box 8, track major activity you complete according to time of day using 24 hour clock. Put your name and title in box 9, once form is complete.

<table>
<thead>
<tr>
<th>WARN Coordination Activity Log</th>
<th>1. Incident Name</th>
<th>2. Date Prepared</th>
<th>3. Time Prepared</th>
</tr>
</thead>
<tbody>
<tr>
<td>4. Unit Name/Designators</td>
<td>5. Unit Leader (Name and Position)</td>
<td>6. Operational Period</td>
<td></td>
</tr>
<tr>
<td>7. Personnel Roster Assigned</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>Response Team Position</td>
<td>Home Utility</td>
<td></td>
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<tr>
<td>8. Activity Log</td>
<td></td>
<td>Major Activity</td>
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<tr>
<td>Time</td>
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</table>

9. Prepared by (Name and Position)

All Times – Local 24 Hour Clock
### Attachment L: State Emergency Operations Center/WARN Response Coordination Site

**Purpose:** WARN Response Team Members if activated, need to know where to report at the county, state region, or state operations center. The following sample can be modified by each WARN.

**Instructions:** Use the following information to locate housing and feeding locations during your re-location to the pre-designated site as part of the WARN Response Team if activated.

<table>
<thead>
<tr>
<th>Pre-designated site</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of site:</td>
</tr>
<tr>
<td>Closest Airport:</td>
</tr>
<tr>
<td>Address:</td>
</tr>
<tr>
<td>Phone Number:</td>
</tr>
<tr>
<td>Fax:</td>
</tr>
<tr>
<td>Driving directions:</td>
</tr>
</tbody>
</table>

| Map: |

<table>
<thead>
<tr>
<th>Local Hotels Addresses and Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
</tr>
<tr>
<td>Phone Number:</td>
</tr>
<tr>
<td>Address:</td>
</tr>
<tr>
<td>Name:</td>
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<td>Phone Number:</td>
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<td>Name:</td>
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<td>Phone Number:</td>
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<td>Address:</td>
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<table>
<thead>
<tr>
<th>Local Restaurants and Eateries:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
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<tr>
<td>Address:</td>
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**Additional Information:**

**MISCELLANEOUS ITEMS / OTHER INFORMATION**


Alternately, go to www.nationalwarn.org, you will be redirected to the AWWA WARN website. Select WARN Resources. The Resource Typing Manual may be found under the section “Operational Plans/Job Aids”.

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