California Water/Wastewater Agency Response Network (CalWARN)

Mutual Aid/Assistance Operational Plan

Final Draft

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September 2008
Updated March 2009

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Record of Changes Form

Changes to this document are expected due to lessons learned, changes in protocols, and/or modification to the CalWARN Agreement. Designated authors follow these procedures when making updates/changes to this Operational Plan:

1. Record updates/changes on the log below. (Add new pages as needed.)

2. The CalWARN State Steering Committee electronically advises all Members when approved updates have been made and are available on the CalWARN Web Site at www.calwarn.org.

3. Members replace old pages with current pages and destroy outdated material.

Change Number	Date of Change	Section #, Header and Page #	Brief Description of Change	Initiated by
1				
2				
3				
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Acronym and Terms List

All definitions in the Operational Plan are consistent with the CalWARN Omnibus Mutual Aid/Assistance Agreement. The list is not all inclusive of other emergency response terms.

Activation - Occurs when one Member Utility calls another Member Utility to discuss the sharing or exchange of resources.

Associate Member - Any non utility participant, approved by the State Steering Committee, that provides a support role for the WARN program, for example State Department of Public Health, or associations, who are members of the Regional or State Steering Committees and do not officially sign the WARN agreement.

Authorized Official – An employee or officer of a Member who is authorized to: (1) request assistance; (2) offer assistance; (3) refuse to offer assistance or (4) withdraw assistance under the CalWARN Agreement.

Base Camp- Incident location where resources (personnel, equipment, teams, etc.) may be kept to support incident operations, often these resources may be resting, receiving repair, or not needed in the immediate response period.

CalWARN State Steering Committee - The CalWARN State Steering Committee consists of the CalWARN State Steering Committee Chair, the Vice Chair, Region Chairs, Associate Members, and Subcommittee Chairs as needed.

CalWARN Region Steering Committees - CalWARN regions align with the State Office of Emergency Services mutual aid regions. Member Utilities within each region elect a chair and vice chair. Members Utilities support the Region Steering Committee by volunteering to participate on Subcommittees. The Region Chair represents the Member Utilities of that Region at the State Steering Committee.

Confidential Information – Any document shared with any signatory to this 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 Member.

Emergency – A natural or human caused event or circumstance causing, or imminently threatening to cause impact to the operations of a member utility's system, loss of life, injury to person or

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property, human suffering or financial loss, and includes, but is not limited to, fire, flood, severe weather, earthquake, civil disturbance, riot, explosion, drought, volcanic activity, spills or releases of oil or hazardous material, contamination, utility or transportation emergencies, disease, blight, infestation, intentional acts, sabotage, declaration of war, or other conditions which is, or is likely to be beyond the control of the services, personnel, equipment, and facilities of a Member and requires mutual assistance.

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

Member Utility – Any public or private water or wastewater utility that manifests intent to participate in the Mutual Aid and Assistance Program described in this Operational Plan by executing the California Water/Wastewater Agency Response Network (CalWARN) Agreement.

Mutual Aid – As provided by the State of California Master Mutual Aid Agreement, mutual aid is the sending and receiving of personnel, equipment and resources without the expectation of reimbursement. The CalWARN agreement may be executed under the same understanding if so agreed between both parties in writing prior to sending aid.

Mutual Assistance – While operationally consistent with mutual aid, mutual assistance is the provision of personnel, equipment and resources with the understanding that reimbursement is expected as described in the CalWARN Omnibus Mutual Aid and Assistance Agreement.

National Incident Management System (NIMS) - A 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 the Mutual Aid and Assistance Program.

Period of Assistance – A specified period of time when a Responding Member assists a Requesting Member. The period commences when personnel, equipment, or supplies depart from Responding Member's facility and ends when the resources return to their facility (portal to portal). All protections identified in the Agreement apply during this period. The specified Period of Assistance may occur during response to or recovery from

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an Emergency.

Requesting Member – A Member Utility who requests assistance under the CalWARN Mutual Aid and Assistance Program.

Responding Member – A Member that responds to a request for assistance under the Mutual Aid and Assistance Program.

Standardized Emergency Management System (SEMS) - A standardized approach to field command and jurisdictional management and response set forth by State of California Code of Regulations (§8607) for multi-agency or multi-jurisdictional response to an emergency.

Staging Area - Location at which resources (personnel, equipment, teams, etc.) are kept while awaiting their field assignment. These resources should be ready to deploy.

Tables and Figures List

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INTRODUCTION

Mutual aid and assistance agreements such as the California Water/Wastewater Agency Response Network 2007 Omnibus Mutual Assistance Agreement (CalWARN Agreement), help jurisdictions respond to incidents that require resources beyond the capability of the local utility. The CalWARN Agreement identifies the administration of the program, describes how to request assistance, describes response coordination and cost reimbursement, as well as authorizes the creation of the CalWARN Mutual Aid/Assistance Operational Plan (Operational Plan).

While the CalWARN Agreement is a legal instrument authorizing the exchange of resources between utilities that have signed the agreement (Member Utilities), the Operational Plan describes how to implement the CalWARN Agreement. The Operational Plan outlines the governance and procedures that need to be in place to make the CalWARN Agreement work. The Operational Plan is a working document and additional job aids and procedures may be required to provide further guidance.

The AWWA Resource Typing Manual identifies the types of teams and their associated equipment that may be requested to respond.

All three of these documents are interrelated and support the mission to restore water and wastewater utilities to their pre-emergency condition. As a result, other job aids may be developed to help direct the implementation of the Operational Plan, see **Figure One: CalWARN Response Chart**.

Figure One: CalWARN Response Chart

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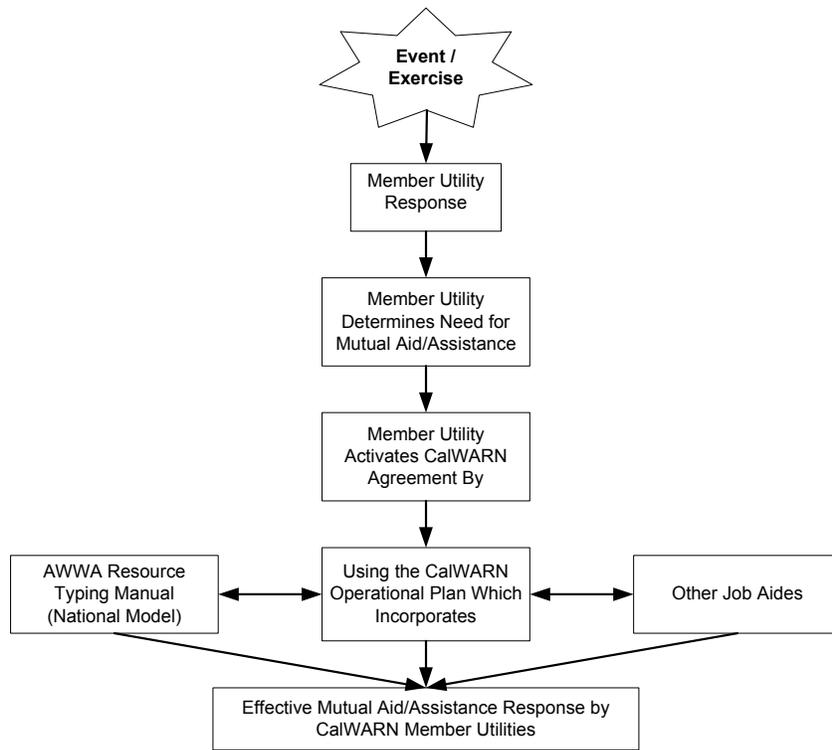
Purpose

The purpose of the Operational Plan is to provide a coordination mechanism for the Member Utilities to utilize prior to, during, and after an incident. The Operational Plan covers the following topics:

- Planning responsibilities
- Documentation and forms
- Communication tools
- Concept of emergency operations
- Procedure for activation of the CalWARN Agreement
- Procedure for mobilization of Member Utilities
- Procedure for CalWARN coordination
- After Action Report and Corrective Action Plan writing
- Training, Exercises, and Updating the Operational Plan

Organization of the Plan

The Operational Plan is divided into nine sections and supporting attachments. The content and use of each are summarized in Table 1. Notably, Sections 4, 5, 6 and 8 (the shaded sections below) provide instructions for Member Utilities during an emergency.

Table One: Operational Plan Content and Purpose by Section

Section	Content	For use by:	When it is used:
1.	Pre-Emergency Activities and Governance	Staff responsible for administrative and preparedness activities	Pre-emergency
2.	Training, Exercises, and Updates	CalWARN Committee Members and Member Utilities	Pre-emergency
3.	Concept of Operations	Member Utilities to understand how CalWARN integrates into response	Pre-emergency
4.	Activation	Members responding to requests	Emergency
5.	Response Considerations	Members requesting assistance and Members responding to requests	Emergency
6.	CalWARN Coordination	Members helping to coordinate the WARN Member's response, and in some instances, recovery, during an emergency	Emergency
7.	After Action Report and Corrective Action Plan	Staff responsible for post-incident activities	Post-emergency
8.	Attachments		Emergency

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Assumptions

Several key assumptions form the basis of this document.

- **Emergency Response Plans are in place.** While utility specific Emergency Response Plans (ERP) are not within the scope of this document, Member Utilities are encouraged to develop or update existing emergency response plans (i.e. Continuity of Operation Plan, IT Operations Plan, etc.). With the development of the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS), updates should include, how the utility uses the Incident Command System (ICS), how the utility integrates with its local emergency management and response agencies, and how the ERP addresses vulnerability assessments, if they also are completed.

- **Employees have received ERP, ICS, SEMS and NIMS training.** In order to effectively respond to all emergencies, Member Utilities must provide their employees with practical training regarding the utility's emergency operations plan, ICS, SEMS and NIMS. Section 2 of this document includes a list of recommended NIMS and ICS training.

- **CalWARN Member Utilities coordinate with local and state authorities.** The relationship between the CalWARN, state and local agencies, and utilities, is defined by the CalWARN Agreement and documented in the Operational Plan. Exercising the CalWARN Agreement and Operational Plan with the Member Utilities and other response agencies increases the likelihood of success when mutual aid is required during an actual emergency.

- **CalWARN Members are familiar with the American Water Works Association (AWWA) Water and Wastewater Mutual Aid and Assistance Resource Typing Manual.** Additional training on how to use the American Water Works Association Water & Wastewater Mutual Aid & Assistance Resource Typing Manual (AWWA Resource Typing Manual) and how to integrate incoming mutual aid/assistance resources ensures the ability to coordinate response with outside agencies.

SECTION ONE: PRE-EMERGENCY ACTIVITIES AND GOVERNANCE

The activities of the CalWARN State Steering Committee and involvement of the Member Utilities to organize activities, plans, and resources ensure the success of the CalWARN Agreement and CalWARN Operational Plan during a disaster response.

Member Utility

A Member Utility may be any public or private water or wastewater utility that signs the CalWARN Agreement. The Member Utility identifies an Authorized Official and designated alternates to manage its participation in CalWARN and response to possible requests. Member Utilities are encouraged to participate in the annual meeting, trainings, and other activities. Member Utilities are eligible to participate in one or more subcommittee activities to support CalWARN.

CalWARN is organized according to the Governor's Office of Emergency Services (OES) six mutual aid regions. Member Utilities vote within their region to elect a Region Chair and Co-Chair to represent them to the CalWARN State Steering Committee. Member Utilities vote on updates to the CalWARN Agreement and other topics related to the operations of the CalWARN Agreement. Each member has one vote. A utility that operates both water and wastewater services has only one vote. A Member Utility with multiple service locations also has one vote.

Member Utility responsibilities prior to an emergency:
- Identify an Authorized Official and designated alternate(s) to be responsible for:
  - Requesting Assistance
  - Offering Assistance
  - Refusing Assistance
  - Withdrawing Assistance
- Provide CalWARN with contact information for their Authorized Official and their designated alternates, including 24-hour contact information.
- Maintain resource information made available by the utility for mutual aid and assistance response, as allowed by utility policy.
- Print a hard copy of the CalWARN 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 annually or as changes occur.
- Identify internal policy and procedures for how or when the Authorized Official (or alternate) may request or send mutual aid/assistance.
- Identify internal policy and procedures for the level of Incident Command System (ICS), Standardized Emergency Management System (SEMS) and National Incident Management System (NIMS) employee training.
- Clarify reporting and coordination procedures with the local emergency management officials.
- Review the CalWARN Operational Plan and incorporate appropriate portions into the utility emergency response plan.

- Develop procedures to ensure costs for resources and personnel are tracked during an emergency, including mutual aid and assistance costs.
- Volunteer to support the pre-emergency organization of the CalWARN, as available.
- Attend CalWARN trainings, exercises and general meetings.

CalWARN State Steering Committee

Under the leadership of the CalWARN State Steering Committee Chair (referred to as the CalWARN Chair), the CalWARN State Steering Committee is responsible for the following actions:

- Organize and coordinate emergency planning and response activities.
- Encourage the active participation of Member Utilities.
- Establish regular meeting schedules to maintain continuity of the CalWARN State Steering Committee.
- Maintain communication with Member Utilities regarding updates, changes, or modifications.
- Maintain the Operational Plan for implementing the CalWARN Agreement.
- Represent the members when engaged in meetings, discussions, and consultations with other associations, and state and local agencies.
- Identify potential available grants that may be obtained to support the CalWARN Mission.
- Manage issues related to website management.
- Determine costs associated with hosting workshops, training, etc.
- Set training and exercise schedules.
- Represent CalWARN as part of a Multi-Agency Coordination Group at the State Operations Center and/or the Regional Emergency Operations Centers located in Sacramento, Oakland and Los Alamitos.

The CalWARN State Steering Committee consists of:

- CalWARN State Steering Committee Chair
- Vice Chair
- Region Chairs and Co-Chairs
- Associate Members
- Subcommittee Chairs as needed

The following figure identifies the relationship of the CalWARN State Steering Committee, its officers, the Member Utilities, subcommittees and state regions (noted by the dashed boxes).
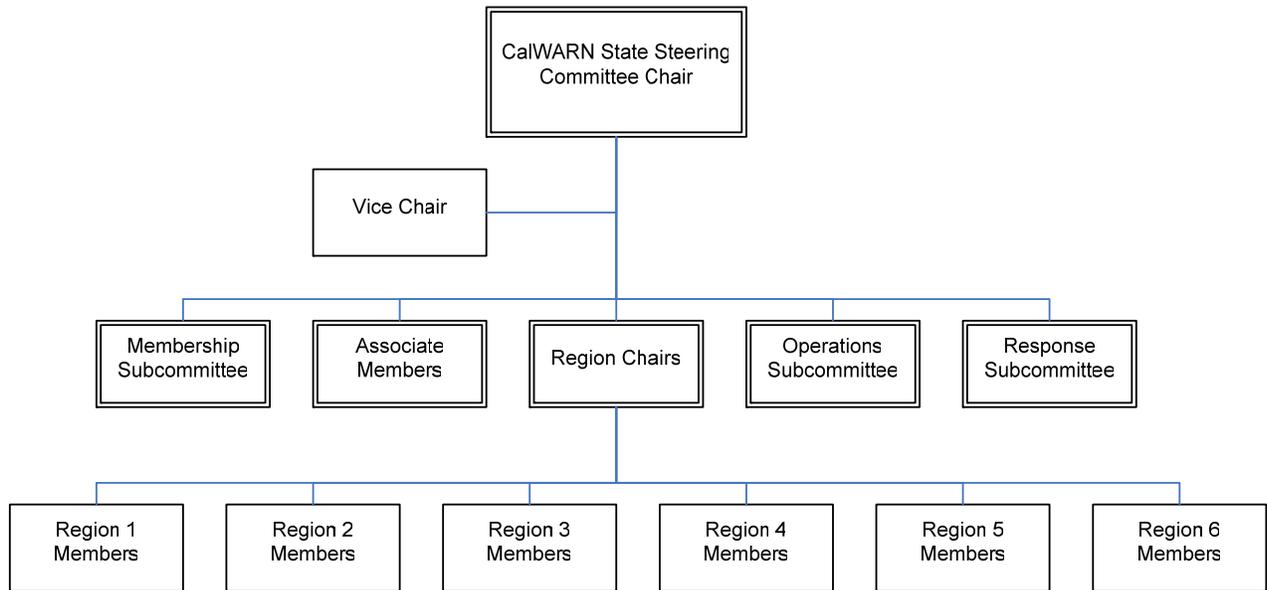
Figure Two: Elements of the CalWARN Governance Structure

CalWARN Chair

A member of the Steering Committee is elected to be the CalWARN Chair by the members of the CalWARN State Steering Committee and is responsible to:

- Represent the Member Utilities for the purpose of integrating CalWARN in emergency planning and response to the Governor's Office of Emergency Services (OES), California Department of Public Health Drinking Water Division, California Department of Water Resources, California Environmental Protection Agency State Water Resources Control Board, and United States Environmental Protection Agency.
- Preside at all duly constituted meetings of the membership.
- Act as the executive of the CalWARN State Steering Committee and an ex-officio member of all standing committees.

CalWARN Vice-Chair

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

CalWARN Regional Steering Committee

CalWARN regions align with the OES mutual aid regions (see chart below). Each CalWARN Regional Steering Committee is comprised of a chair, vice chair and members of the region. The Chair and vice chair are elected by the members of the region. Each CalWARN Regional Steering Committee is responsible to:

- Sponsor an annual meeting for Member Utilities in the region.
- Encourage Member Utilities to maintain the CalWARN database of all water and wastewater utilities contacts and other appropriate information.
- Meet as a committee to address concerns and procedures for requesting mutual aid/assistance in that region.
- Vote on matters pertaining to the operation and management of CalWARN.
- Assist with the preparation of the statewide annual meetings and trainings.

A chair and co-chair will be elected to act as administrators for that region. The Region Chair and Co-Chair are responsible to:

- Represent the Member Utilities of their region to the CalWARN State Steering Committee and participate in the meetings.
- Coordinate regional CalWARN mutual aid activities with Member Utilities, local emergency management agencies and other agencies when deemed necessary.
- Represent region as a Multi-Agency Coordination Group at the Regional EOC.

California Regions

Northern OES Region III

Inland OES Region IV

Coastal OES Region II

Valley OES Region V

Southern OES Region VI

Southern OES Region I

Figure Three: California Office of Emergency Services Mutual Aid Regions

Associate Members

As noted in the CalWARN Agreement, Associate Members sit on the CalWARN State Steering Committee as advisors. An Associate Member is any non-utility CalWARN participant that provides a support role to the CalWARN program on the CalWARN

State Steering Committee, but does not sign the CalWARN Agreement or vote. Associate Members are accepted by vote of the State Steering Committee. Associate Members currently include representatives of the following:

- American Water Works Association (AWWA)
- California Rural Water Association
- California Association of Sanitary Agencies (CASA)
- California Utilities Emergency Association
- State of California Office of Emergency Services (OES)
- California Department of Public Health Drinking Water Division
- California Department of Water Resources
- California Sanitation Risk Management Authority

Additional potential Associate Members:

- Water Environment Federation
- United States Environmental Protection Agency

Subcommittees

Standing subcommittees include:

- Operational Plan
- Response
- Membership

Ad hoc committees are called upon as needed and include:

- Ballot
- Special Projects

Additional subcommittees may be appointed to address such issues as Web content or training and exercises. CalWARN Member Utilities and Associate Members are encouraged to volunteer to serve on one or more subcommittees and should contact the Regional Committee Chair to inform them of an interest to participate. The CalWARN State Steering Committee approves the creation of and membership in the subcommittees.

Operational Plan Subcommittee

To comply with the CalWARN Agreement to create an Operational Plan, the CalWARN State Steering Committee identifies a group of Member Utilities to create and update an Operational Plan to ensure the CalWARN functions during emergencies. This standing subcommittee focuses on procedures and materials designed to manage and improve operations. The Operational Plan Subcommittee is responsible to:

- Maintain the CalWARN Mutual Aid/Assistance Operational Plan.
- Identify a process for how the CalWARN State Steering Committee will approve and authorize the publication of the Operational Plan as well as its distribution through the CalWARN State Steering Committee Chair.

- Maintain contact with local, regional, and state Office of Emergency Services, Department of Public Health, and state wastewater permitting authority representatives to ensure Operational Plan capabilities.
- Lead regular Member Utility training to maintain familiarity with the CalWARN Agreement and Operational Plan.
- Conduct an "after action review" of the CalWARN response and Operational Plan following each emergency and develop a Corrective Action Plan that includes recommendations for improvement.

Response Subcommittee

All emergencies are local and require local agencies to maintain a capability to respond. For most emergencies mutual aid requests can be handled utility to utility. In larger events where multiple utilities are affected and assistance is required to coordinate the number of requests, a CalWARN Response Team consisting of pre-trained Utility Members from unaffected utilities may support the State Operations Center (SOC), Region Emergency Operations Center (REOC), or Operational Area as called upon. An example may be if a major earthquake struck Southern California, trained Utility Members from Northern California may support the SOC or southern REOC, so the utilities affected by the earthquake may continue their response to the needs of their consumers. Members of the Response Team may participate in exercises as appropriate which could be designed by the utility, local government, Operational Area or Governor's Office of Emergency Services. The Response Team may also organize exercise programs as needed to test the Operations Plan with Member Utilities.

The Response Subcommittee trains Member Utility representatives on how to coordinate with the Utility Branch of OES and California Utilities Emergency Association (CUEA).

The subcommittee completes and provides training on the following documents and programs to support this concept:
- CalWARN Mutual Aid/Assistance Operational Plan
- State of California Emergency Plan and operational activities
- Exercise Design
- Emergency Management Mutual Aid (EMMA)
- Emergency Management Assistance Compact (EMAC)
- FEMA Emergency Management Institute Independent Study courses
- National Response Framework
- FEMA Public Assistance Program

See Section 3: Training, Exercises, and Updates for additional information.

Membership Subcommittee

The Membership Subcommittee is responsible to increase membership in CalWARN and:

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- Develop and/or maintain marketing or informational materials for outreach purposes
- Conduct informational outreach at professional association conferences and workshops to ensure understanding of the CalWARN concept.
- Recruit new Member Utilities

Ballot Subcommittee

This ad hoc committee is formed as needed by the CalWARN State Steering Committee. The CalWARN State Steering Committee identifies when elections or ballots are required. This ad-hoc subcommittee may be called upon to distribute and collect ballots in order to:

- Vote on updates to the CalWARN Agreement as needed by changes in regulations, or deemed necessary by the CalWARN State Steering Committee
- Vote on election of Region Chairs
- Vote on changes to the CalWARN governance as described in the Operational Plan
- Vote on other matters as identified by the CalWARN State Steering Committee

Before voting on changes to the CalWARN Agreement, the Member Utility should determine if they need to submit the update to their legal counsel and/or board. Each Member Utility has one vote. Associate Members do not vote. In the absence of an ad hoc Ballot Subcommittee, the CalWARN State Steering Committee Chair may designate a Member Utility to manage the ballot process.

The subcommittee or designated Member Utility is responsible to:

- Prepare and distribute ballots and rules of ballot process to every Member Utility Authorized Official and designee in electronic or written form at least one month in advance of the voting deadline.
- Collect ballots at either an identified meeting or by fax or e-mail.
- Verify ballot is received from Authorized Official or designee and that only one ballot is received per Member Utility.

Special Projects Committee

The CalWARN Steering Committee may convene an ad-hoc committee if a special project is identified outside the responsibilities of the current committees. For example an update to the CalWARN website may be considered a special project.

Section Two: Training, Exercises, and Updates

Training

CalWARN recommends ongoing training to ensure a common knowledge base of how agencies will work together to request or provide resources in an emergency. Each Member Utility is responsible to ensure designated employees:

- Understand the CalWARN Agreement
- Review the CalWARN Mutual Aid/Assistance Operational Plan
- Understand the CalWARN Website, Database, and other communication protocols
- Understand the AWWA Resource Typing Manual
- Review the utility's safety procedures and ERP

Some of the training concerning Incident Command System (ICS) and National Incident Management System (NIMS) is available online through the FEMA Emergency Management Institute, EPA, and American Public Works Association websites. Training on the Standardized Emergency Management System (SEMS) must follow the Approved Course of Instruction and may be found on the Governor's Office of Emergency Services (OES) website at www.oes.ca.gov under the training tab.

Each Member Utility may implement the NIMS and SEMS training requirements according to their internal policy:

- IS-100. Introduction to the Incident Command System for Water Sector Personnel
- IS-200. 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. National Incident Management System, An Introduction
- IS-800.B National Response Framework (NRF), An Introduction
- SEMS Introduction, Emergency Operations Center

Member Utility representatives who are on the Response Subcommittee need to complete:

- IS-701. Multi-agency Coordination Systems
- IS-703. NIMS Resource Management
- IS-706. NIMS Intrastate Mutual Aid - An Introduction

Exercises

The purpose of the CalWARN exercise program is twofold:

- Test the CalWARN Operational Plan and communication protocols
- Train Members to use the CalWARN Operational Plan, forms, checklists, and communication protocols in order to request or provide mutual assistance when needed

For CalWARN exercises, the emphasis focuses on interagency cooperation. CalWARN can also participate in county, regional, or state exercises, either as a utility requesting resources or as a lending utility.

Ideally, the exercises should increase in complexity. **Table Two: Key Training and Exercise Characteristics**, below, is a good resource in determining what level of training your agency is prepared to participate in. Because both the CalWARN Members and the utility staff will change over time, the exercise plan incorporates the need to expose new Members or new utility staff to CalWARN operations. This can be accomplished through a combination of tabletop exercises, possibly with an annual functional exercise. The annual functional exercise could tie in with a multi-jurisdiction exercise or with an exercise that a Member Utility conducts; it does not have to be one that is purely developed by CalWARN.

Similar to a real event, CalWARN might conduct and participate in exercises via teleconferences, e-mail, or web conferencing that enables sharing documents and maps in real time as well as telephone participation. CalWARN Member Utilities can assist each other with their exercises. There is a great deal of benefit to travel and experience other Member Utility's exercises.

Suggested topics for exercises should include communication, reports, requests for assistance, and use of the CalWARN website to find contact information for agencies that might be able to lend resources, and protocols for requesting, lending, and demobilizing resources.

Sources of Information

IS-139, Exercise Design, is an online FEMA course that provides information about the types of exercises, planning an exercise, and setting goals and objectives for exercises. FEMA's Homeland Security Exercise and Evaluation Program (HSEEP) provides a national standard for exercises.
https://hseep.dhs.gov/pages/1001.HSEEP7.asx

The Environmental Protection Agency website offers templates for a range of exercises related to water and wastewater. EPA will mail your utility a CD, or you can download the information from the EPA website listed below. "Emergency Response Tabletop CD-ROM Exercises for Drinking Water and Wastewater Systems"
http://cfpub.epa.gov/safewater/watersecurity/home.cfm?program_id=8

The following table of Key Characteristics (of exercises) is adapted from IS-139, Exercise Design, pages 2-18 and 2-19, March 2003, as shown on the Emergency Management Institute website.
http://www.training.fema.gov/EMIWeb/IS/crslist.asp

Table Two: Key Training and Exercise Characteristics

Comparison of Key Activity Characteristics					
	Orientation	**Drill**	**Tabletop Exercise**	**Functional Exercise**	**Full-Scale Exercise**
Format	Informal discussion in group setting Various presentation methods	Actual field or facility response Actual equipment	Narrative presentation Problem statements or simulated messages Group discussion No time pressures	Interactive, complex Players respond to messages (events/problems) provided by simulators. Realistic but no actual equipment. Conducted in real time; stressful	Realistic event announcement Personnel gather at assigned site Visual narrative (enactment) Actions at scene serve as input to EOC simulation
Leaders	Facilitator	Manager, supervisor, department head, or designer	Facilitator	Controller	Controller(s)
Participants	Single agency/ department, or cross-functional	Personnel for the function being tested May include coordination, operations, response personnel	Anyone with a policy, planning, or response role for the type of situation used	Players (policy, coordination, and operations personnel) Simulators Evaluators	All levels of personnel (policy, coordination, operations, field) Evaluators
Facilities	Conference room	Facility, field, or EOC	Large conference room	EOC or other operating center (multiple rooms)	Realistic setting EOC or other operating center
Time	1–2 hours	½–2 hours	1–4 hours or longer	3–8 hours or longer	2 hours to 1 or more days
Preparation	Simple preparation, 2 weeks	Easy to design, 1 month Participants need orientation	2-4 months preparation Preceded by orientation and 1 or more drills	Complex, 6–18 months preparation Preceded by simpler exercises Significant allocation of resources	Extensive time, effort, resources 1–1½ years development Including drills, tabletops, functional exercises

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Updating CalWARN Documents

The CalWARN Operational Plan Subcommittee oversees any review of the CalWARN Operational Plan for updates after actual events or exercises, but at least once per year in any case. Every exercise or actual event should conclude with all Member Utilities involved in the event working together to write an After Action Report and Corrective Action Plan. The subcommittee notifies members that comments for updates are being accepted.

The Operational Plan Subcommittee accepts comments and consolidates them into the Operational Plan as appropriate. The subcommittee provides the changes to the CalWARN State Steering Committee for review and approval. The CalWARN Operational Plan Subcommittee communicates approved Operational Plan changes to WARN Members and Associate Members and those persons who are assigned roles within the plan.

While the WARN Steering Committee is responsible to inform and train the Member Utilities on the changes to the Operational Plan, it is the utility and Associate Members' responsibility to integrate the updated Operational Plan into their respective emergency response or emergency operations plans.

If during the Operational Plan review or through the After Action process suggested changes are applicable to the Agreement, the State Steering Committee will appoint two legal representatives from Member Utilities to review the suggestion to determine the impact on the Agreement. The State Steering Committee will review the legal representative's comments to the proposed changes. Based on this legal review the State Steering Committee determines if the proposed changes are to be submitted to the members for a vote. If the agreement is to be modified, sufficient time will be provided for Member Utilities to review the changes and take the appropriate internal steps prior to voting. It is up to the Member Utility to determine how to proceed with the adopting the modified agreement, according to internal policy.

Using the Record of Changes Form

To notify members of updates to the CalWARN Operational Plan, the CalWARN Steering Committee distributes announcements of updates by using the "Record of Change" form attached at the beginning of the CalWARN Operational Plan. The CalWARN Steering Committee records any updates or changes to any part of this document.

SECTION THREE: CONCEPT OF OPERATIONS

CalWARN Relationship to SEMS, NIMS, and the Office of Emergency Services

California's emergency response system is built on the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS). The Operational Area concept as defined under SEMS and the Incident Command System (ICS) as defined under NIMS, join together to form the concept of operations under which CalWARN operates in California. Jurisdictions and special districts are required to adopt SEMS and NIMS, while private entities are not required; however, are encouraged to follow the SEMS and NIMS concepts, principles, and procedures. All Member Utilities, public and private, are strongly encouraged to adopt the principals of SEMS and NIMS into their emergency response programs and planning.

In California there are five SEMS response levels: Field, Local Government, Operational Area, Region, and State. Incidents typically begin and end locally and are managed on a daily basis at the lowest possible response level. When managing resources in an incident each level interacts with the one above it to obtain and coordinate resources. In managing mutual aid the concept of Multi-Agency Coordination System (MACS) and the use of Area Command may assist in the requesting and deployment of mutual aid.

There is no requirement for declaring a local or state emergency prior to requesting mutual assistance, however the Member Utility should follow internal policy regarding when and how the Authorized Representative may request mutual aid. The CalWARN Agreement is activated when two or more Member Utilities agree to borrow and lend resources to each other under the terms of the CalWARN Agreement. The CalWARN Agreement can be facilitated at any of the five SEMS response levels.
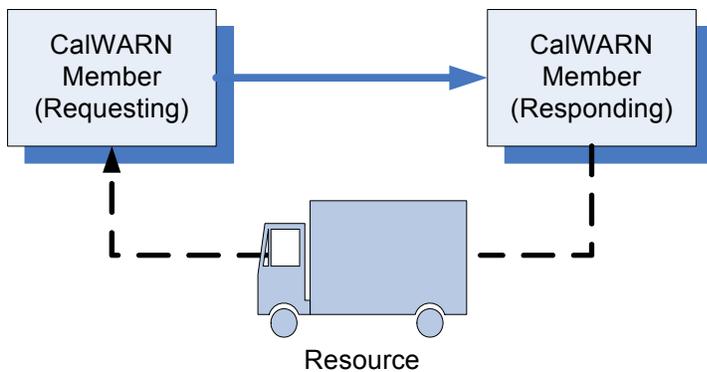
Figure Four: Member Utility Requests

Field Response Level commands emergency response personnel and resources to carry out tactical decisions and activities in direct response to an incident or threat. Utility crews (public or private) may respond as part of a law or fire Incident Command, or Utility personnel may be the Incident Command at utility specific events. Field crews communicate resource needs to the utility management.

Local Utility manages and coordinates the utility emergency response and recovery activities within the service boundary. The utility may be a private utility, a city or county department, or an independent government. If a private utility or independent government utility serves one city, the utility coordinates with the city. If the utility serves multiple cities or the county, it contacts the county. If the local utility determines a need for mutual aid it can facilitate that through its local mutual aid agreements, CalWARN, or the California State Master Mutual Aid Agreement. A notice of activation should be made to the CalWARN State Steering Committee.

Local Government Level includes cities, counties, school districts, tribes, and special districts, including most utilities. The local government level manages and coordinates the overall emergency response and recovery activities within the jurisdictional boundary.

Operational Area Level manages and/or coordinates resource needs and disaster information within the geographical boundaries of the county (including utilities) and serves as the coordination and communication link between the local government level and region level. The Operational Area also coordinates need for mutual aid as requested. If an emergency affects more than one locality, mutual aid requests that include the CalWARN Agreement activation may be coordinated at the local or Operational Area Level. A notice of activation should be made to the CalWARN State Steering Committee.

State Region Level manages and coordinates information among counties and between the counties and the state level. This level, along with state level, coordinates overall state agency support for local emergency response activities. Mutual aid requests may be managed at this level. There are six mutual aid regions that combine into three administrative regions that serve as the State OES Regional Emergency Operation Centers (REOC). Members of the CalWARN Response Team may act as liaisons for CalWARN Members within the REOC Utilities Branch.

State Level manages and coordinates resources across the state in response to the emergency needs of the other levels; manages and coordinates statewide mutual aid and assistance; and serves as the coordination and communication link with the federal disaster response system under the National Response Framework. Members of the CalWARN Response Team may act as liaison for CalWARN Members within the State Operations Center (SOC) Utilities Branch.

Federal Level (not within the SEMS Levels) will activate a Joint Field Office (JFO) in support of the State and Local level response actions. The JFO will coordinate with the Federal Emergency Management Agency (FEMA) utilizing the National Response Framework to anticipate resource needs and determine which Emergency Support Functions will be needed to coordinate federal resources. Interstate CalWARN Mutual Aid legal agreements and operational procedures are being developed.

Figure Five: CalWARN Concepts of Operations demonstrates the mutual aid general flow of requests for resources when utilizing the CalWARN Agreement in response to incidents that involve all five SEMS levels and the Federal government.

Figure Five: CalWARN Concepts of Operations

FINAL DRAFT
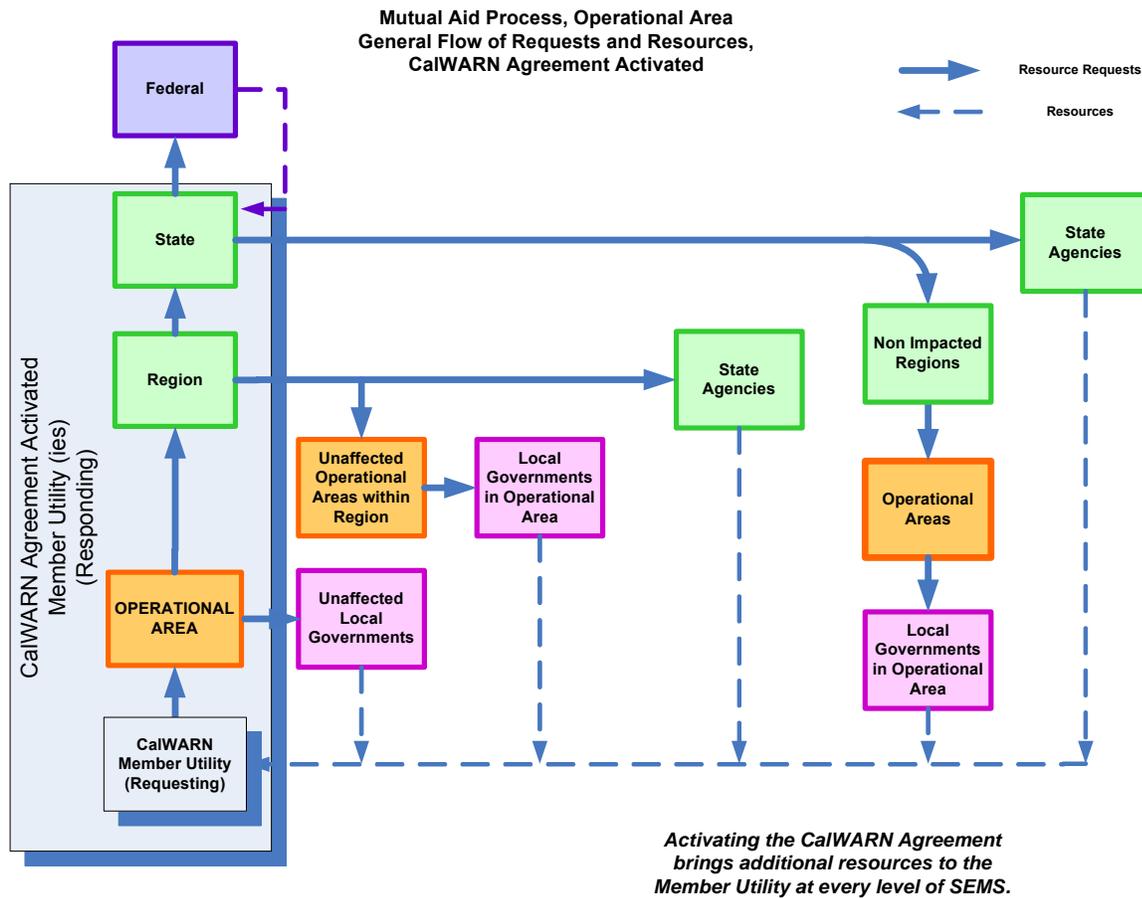
SECTION FOUR: CALWARN ACTIVATION

Activation occurs when one Member Utility calls another Member Utility to discuss the exchange of resources. Following an incident each Member Utility initiates a damage assessment and evaluates their resource needs. When a Member Utility determines that mutual aid/assistance may be needed, the Authorized Official is encouraged to review **Attachment A, Requesting Utility Checklist**.   Once the resource needs are identified the Member Utility should evaluate the options that meet those needs, including local mutual aid agreements, the CalWARN Agreement and the California State Mutual Aid Agreement. If it is determined that the best option is to utilize resources through the CalWARN Agreement the following protocol ensures coordinated response.

Who Activates CalWARN

Any Member Utility to the CalWARN Agreement can determine that they require the assistance of another Member Utility and therefore decide to activate the CalWARN Agreement. (**See Attachment A, Requesting Utility Checklist**.) The CalWARN Agreement can be activated by a utility to utility request, or during large events through the CalWARN Response Team at the Regional EOC, or State Operations Center. When the need of one utility is matched to a utility with resources, the Authorized Officials confer and agree on the terms of deployment.

What is Activated

As needed, a Member Utility activates the CalWARN Agreement, and it is referred to thereafter as the Requesting Utility.   The Agreement provides the terms of reimbursement to the Responding Utility and a release of liability for services provided.   It does not determine the response times, amenities provided to the Responding Utility, or any other operational related needs. In addition, it does not require nor activate the EOC of the Responding Utility.

Activation

Some types of emergencies (e.g. severe storms or hurricanes) can be characterized as "warning" or "notice" events due to a build-up of intensity over time and/or scientific methods of determining an event is imminent. This type of event allows Member Utilities to anticipate damage, expected impacts, and therefore response needs. Activating prior to the disaster opens the lines of communication and coordination among Member Utilities which helps to ensure a timely and proactive response. The Requesting Utility can initiate the following activities:

- Notify Member Utilities 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. flooding). Activations during these events do not have the added benefit of pre-event planning.

Notification

Once a Member Utility has recognized the need to activate the CalWARN Agreement, the Requesting Utility can access the CalWARN Database on the CalWARN Website (or a hardcopy of the database) to determine what Member Utilities may have the required resource. When activating the CalWARN Agreement, the Requesting Utility's Authorized Official calls another Member Utility Authorized Official in the CalWARN Database to make the request. Initial notification can be via telephone, two-way radio, email or fax. When possible all verbal notifications should be confirmed with a written communication (fax or e-mail) using the CalWARN Emergency Notification Form (**Attachment B: CalWARN Emergency Notification Form**).

In all cases in which the CalWARN Agreement is activated, participating Member Utilities must notify the CalWARN Steering Committee.

Response to a Request for Assistance

A Member Utility is not obligated to respond to a request. Once a Member Utility receives a request for assistance, the Authorized Official evaluates whether or not to respond. The Authorized Official should consider:
- Does my Utility have the resource(s) requested? Do the resources meet the operational requirements that the Requesting Utility identified. (Refer to the AWWA Resource Typing Manual)
- Does providing resources negatively impact my utility's 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 Utility, thereafter the Member Utility is referred to as a Responding Utility. The Authorized Official of the Responding Utility shall inform, as soon as possible, the Requesting Member that it is available to respond and the approximate arrival time of such assistance. When possible all verbal agreements should be confirmed with a written communication (fax or e-mail).

At this time the Responding Utility and Requesting Utility should clarify and agree upon the following concepts:
- The Requesting Utility's ability to provide care and shelter (food, sleeping arrangements, first aid, etc.) for personnel and resources.
- Review the reimbursement process to determine whether the responding utility follows the reimbursement article of the CalWARN Agreement.
- Review the request to determine what aid the Responding Utility can provide and confirm approval from the Authorized Representative and the Member Utility's management to provide aid.

- If agreement is reached on the above items, the Responding Utility shall complete and transmit **Attachment C: CalWARN Request and Authorization Form** to the Requesting Utility.

SECTION FIVE: RESPONSE CONSIDERATIONS

Upon agreement of two or more Member Utilities to share their resources both the Requesting Utility and the Responding Utility have responsibility 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 Utility

In general, the Requesting Utility is responsible to:
- Use the CalWARN Database and AWWA Resource Typing Manual to determine how to type the resources required and which Member Utilities can potential meet that need.
- Utilize **Attachment C: CalWARN Request and Authorization Form** to initiate the mutual aid process. Transmit form to potential Responding Utility.
- The Responding Utility will return **Attachment C: CalWARN Request and Authorization Form** back to the Requesting Utility with available resources and estimated costs. The Requesting Utility then reviews and determines whether to accept this mutual aid proposal.
- Assign a Mutual Aid Coordinator to address care, feeding, and other support for incoming mutual aid. (**Attachment E: Mutual Aid Coordination 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. (**Attachment F: Staging Manager Checklist**).
- Identify work assignments for the incoming mutual aid.
- Consider how to integrate incoming mutual aid resources with existing workforce.
- Create a status report on daily activities.
- Develop a demobilization plan that includes protocols on how and when mutual aid resources will be released.

Responding Utility

In general, the Responding Utility is responsible to review **Attachment G: Responding Utility Checklist** which includes:
- Contact the CalWARN Response Team (if convened) to notify them of available resources, based on the resources described in the AWWA Resource Typing Manual.
- If mutual aid is requested via a CalWARN Request and Authorization Form the potential Responding Utility should review and determine whether it can meet this request.

- The potential Responding Utility estimates 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 Utility for consideration.
- Identify supervisors and staff to respond to the Requesting Utility, consider which employees can adapt to the environment of the event, including physical and mental health impacts.
- Determine Communications Plan between supervisor of the responding teams and the Responding Utility.
- Conduct a deployment briefing with all staff on the responding teams. Include the following concepts:
    - ICS refresher courses and command structure of incident if known.
    - Pre-deployment health and safety considerations, including but not limited to immunizations, special tools, weather conditions, or clothing.
    - Environmental conditions onsite.
    - Care and shelter arrangements.
    - Rules of conduct during deployment, including but not limited to activities allowed after work hours.
    - Review documentation procedures.
- Inform Requesting Utility of the responding team's deployment and estimated time of arrival.

Requesting Utility Demobilization

Following standard ICS practices of demobilization write a demobilization plan on how to coordinate the return of resources, including the debriefing of staff and the inspection of equipment and materials.
- Capture personnel evaluations and identify future tactical resource needs. This should be conducted by both the Requesting Utility prior to releasing the personnel, as well as by the Responding Utility once their personnel are back.
- Identify Release priorities and procedures in a demobilization plan. This should include internal resources, mutual aid resources, and any contracted resources.

Responding Utility Demobilization

While preparing to demobilize and prior to leaving, the Responding Utility's team is responsible to:
- Deliver documentation collected during response to the Requesting Utility.
- Return all equipments, radios, maps, unused supplies, etc.
- Return any sensitive or confidential information to the Requesting Utility.
- Collect all information on costs and process it through the Requesting Utility Finance and Administration Function. Keep copy of all cost documentation for Responding Utility. Information includes:
    - Injury reports
    - Timesheets
    - Material purchased
    - Equipment used

- o Travel and per diem costs

The Responding Utility will prepare appropriate invoices according to the CalWARN Agreement.

SECTION SIX: CALWARN RESPONSE COORDINATION

In incidents that affect more than one utility at the same time, mutual aid 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), CalWARN coordination can expand. As the need for coordination increases, the CalWARN Response Team may come from non-affected parts of the state to help the area that is affected during a large emergency, so the impacted utilities can focus on repair and restoration. During an incident that affects multiple counties, coordination at the region and/or state level may be necessary. The following applies when coordination is needed at the operational area, region or state levels.

Once a Member Utility contacts the CalWARN Steering Committee, any initial response effort may be managed by one person and then grow to include a team. If a team is activated the purpose of the CalWARN 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
  - Number of customers affected
  - Resource and information requirements of the affected utilities
- Assist in locating emergency resources, personnel, or material necessary for service restoration
- Advise utilities of restoration assistance and resources available

The CalWARN Response Team is not responsible for verification of costs, financial agreements or contracts.

In order to achieve a 24/7 staffing plan during an incident, the CalWARN Database must have accurate contact data. The CalWARN Response Team will use the database to establish a staffing plan and then communicate that plan to the Member Utilities. The CalWARN Response Team may start activities virtually via e-mails and other communication or may gather within the Utilities Branch at the State SOC, Region EOC, or the Operational Area EOC as requested. When activated the CalWARN Response Team is responsible for the overall coordination of the CalWARN response.

CalWARN Response Team Responsibilities

The CalWARN Response Team is organized to assist as part of a Multi-Agency Coordination (MAC) system when water sector utilities need support. At the Operational Area level the CalWARN Response Team may become part of an Area Command. The general responsibilities include the following:
- Act as a liaison to the Utilities Branch of the Operational Area, region, and/or state level emergency operation centers

- Identify one member of the CalWARN Response Team to represent CalWARN at the incident briefings and meetings.
- Monitor the number of requests
- Identify possible sources of additional support for CalWARN Member Utilities
- Identify gaps in the requests and resources available
- Provide damage assessment data if known

The CalWARN Response Team may coordinate the various activities. The type of incident and extent of damage may determine exactly which activities are required. As the incident expands each CalWARN Response Team Member may be assigned to focus on just one activity:

- Manage Damage Assessment Data

- Receive, Track, and Monitor Requests

- Coordinate Resource Orders

- Coordinate Staging Area Information

Communications Tools

NOTE: Will add a section on how to use the website tool.

NOTE: Add section on how the CalWARN Response Team is assembled. Whose responsible and what is the process for contacting potentially available trained Team members with a call to respond?

SECTION SEVEN: AFTER ACTION REPORT AND IMPROVEMENT PLAN

After Action Report

The CalWARN Response Subcommittee coordinates the development of a CalWARN After Action Report and may initiate a Corrective Action Plan following an exercise or event.   The Subcommittee would involve all Member Utilities and outside emergency coordinating partners who were involved in the response and recovery. It is recommended that impacted agencies conduct an internal after-action review and report, in addition to contributing to the CalWARN process.

The debriefing is an open discussion of the entire event. CalWARN Response Team Members can expect to provide a quick review of actions taken and the decisions they were based on, what went well for them, what did not work well, and opportunities for improvement. The CalWARN State Steering Committee collects responses during this meeting and assembles them into the After Action Report. The After Action Report should include a brief description of the incident and may include the questions identified in **Attachment L: After Action Report Questions**.

Corrective Action Plan

The After Action Report then serves as the basis for the Corrective Action Plan. A Corrective Action Plan includes broad recommendations for improvements, agreed-upon actions, a timeline for making the changes, and an assignment of responsibilities to individuals or organizations.

Below are elements for a Corrective Action 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 Plan.
- In some cases, an individual can be elected to manage a Corrective Action Plan 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 EIGHT: ATTACHMENTS

Attachment A: Requesting Utility Checklist

Purpose: The Authorized Representative of a utility that requires 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 Operational Plan.

Instructions: Review Attachment A, B, C and D together. Complete actions in this checklist. Complete Attachment B and C forms. Make appropriate notes to the checklist questions in the space provided to the right.

NOTES

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

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

☐ 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 a state of emergency?

☐ Has there been a Presidential Declaration?

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

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

☐ Contact neighboring utilities with which your utility has a local mutual aid agreement. Provide them the completed **Attachment B: CalWARN Emergency Notification Form** or your local mutual aid agreement notification form.

☐ Complete **Attachment C: CalWARN Request and Authorization Form**, **Part I,** to inform utilities of needs and expected types of resources. (The Responding Utility estimates costs using **Attachment D, Cost Estimator Worksheet** which

will help determine cost estimates required in **Attachment C, Part II**. Attachment C is returned to you for final approval before accepting the aid.)

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

☐ As needed, identify a person at your utility to coordinate all incoming mutual aid, by **Attachment E: Mutual Aid Coordination Checklist**.

☐ If agreement on the availability and use of equipment or resources is reached, discuss cost estimate for mutual aid with the potential Responding Utility.

☐ If agreement is not reached or resources are not available, contact other CalWARN Member Utilities. If you need assistance in locating aid, coordinate with the CalWARN Response Team.

☐ Once mutual aid is agreed upon, notify the local emergency management authority of the arrangements for incoming resources.

☐ Notify local utility unions of incoming mutual aid.

☐ Identify the process for assigning work between Requesting Utility staff and Responding Utility 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 Representative
  - 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 utility is responsible to:
    - Collect damage and response cost figures
    - Accept bill(s) from responding utilities
    - 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 letter of thanks
    - o Request input for After Action Report
    - o Send copies of After Action Report

Attachment B: CalWARN Emergency Notification Form

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

Instructions: Complete form by checking boxes or circling where appropriate. Provide level of detail if available. Complete Part I of Attachment C and forward both Attachment B and C to city/county, the member utility, and the CalWARN Response Team if activated.

(See form on next page.)

CalWARN Operational Plan

☐This is an exercise ☐This is NOT an exercise	Situation Status Report #_____

Water System Status Report

Date:		Time:		Incident Name:	
Utility Name:			Contact:		
Phone:			E-mail:		
Fax:		Alt. Phone:		Other:	

Overall Status:	☐ **Green** (normal)	☐ **Yellow** (no mutual aid required)	☐ **Red** (some mutual aid required)	☐ **Black** (significant mutual aid required)
Prognosis:		☐ **No Change**	☐ **Improving**	☐ **Worsening**

Utility EOC Activated: ☐ **Yes**   ☐ **No**

Declaration of Local Emergency: ☐ **Yes**   ☐ **No**   ☐ **Unsure**

Critical Issues: (and actions taken):	☐ Pipes_____ ☐ Pump Stations_____ ☐ Tanks/Reservoirs_____ ☐ Wells_____ ☐ Connection(s) Status/Flow change request(s)_____ ☐ Power/Communications_____ ☐ Chemical Supply/Leak_____
Water Quality	Contamination : ☐ **Yes** ☐ **No** ☐ Undetermined_____ Water Quality Order : ☐ Boil Order ☐ Do Not Drink ☐ Do Not Use Order Issued by : _____ Est. Date/Time of Lift:_____

Status Detail	Status	Remarks
Percentage of portable water system inoperable:	%	
Anticipated duration of outage: (hours/days)		
Number of Jurisdictions affected:	#	
Number of people affected:	#	
Mutual aid received in last 24 hours:	☐Yes ☐No	
Mutual aid needed in next 24 hours:	☐Yes ☐No	
Actions taken by Utility:		
Actions taken by Coordinating Partners:		

Send to: _____ _____	Post on Situational Status Boards: _____ _____

☐This is an exercise ☐This is NOT an exercise	Situation Status Report #_____

Waste Water System Status Report

Date:		Time:		Incident Name:	
Utility Name:				**Contact:**	
Phone:				**E-mail:**	
Fax:			**Alt. Phone:**		**Other:**

Overall Status:	☐ **Green** (normal)	☐ **Yellow** (no mutual aid required)	☐ **Red** (some mutual aid required)	☐ **Black** (significant mutual aid required)
Prognosis:		☐ **No Change**	☐ **Improving**	☐ **Worsening**

Utility EOC Activated: ☐ **Yes**   ☐ **No**

Declaration of Local Emergency: ☐ **Yes**   ☐ **No**   ☐ **Unsure**

Critical Issues: (and actions taken):	☐ Pipes_____ ☐ Lift Stations_____ ☐ Outfall_____ ☐ Chemical Supply/Leak_____ ☐ Power/Communications_____ ☐Other_____
Treatment Status:	☐ Operational ☐ Non-Operational ☐ Release of Untreated Wastewater Amount:_____ ☐ Has Untreated Wastewater reached a waterway _____ Comments: _____

Status Detail	Status	Remarks
Percentage of wastewater system inoperable:	%	
Anticipated duration of outage: (hours/days)		
Number of Jurisdictions affected:	#	
Number of people affected:	#	
Mutual aid received in last 24 hours:	☐Yes ☐No	
Mutual aid needed in next 24 hours:	☐Yes ☐No	
Actions taken by Utility:		
Actions taken by Coordinating Partners:		

Send to: _____ _____	Post on Situational Status Boards: _____ _____

FINAL DRAFT

Attachment C: CalWARN Request and Authorization Form

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

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

(See form on next page.)

CalWARN Operational Plan

Part I TO BE COMPLETED BY THE REQUESTING UTILITY

Dated:	Time: hrs	From the County of:	

Contact Person:	Telephone:	Fax:

WARN Member Utility:	Authorized Rep:

Type of Emergency & Impact to Utility:

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

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

Single Resource	Team	Kind	Type	Description

Date & Time Resources Needed:	Staging Area:

Approximate Date/Time Resources To Be Released:

Requesting Authorized Rep:	Req. Authorized Rep's Signature:

Title:	Utility:	Request No:

Part II TO BE COMPLETED BY THE RESPONDING UTILITY

Contact Person:	Telephone:	Fax:

Type of Personnel, 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):

Single Resource	Team	Kind	Type	Description

Date & Time Resources Available From:	To:

Staging Area Location:

Estimated Total Costs To Send Requested Assistance:	$

Trans. Costs from Home Utility to Staging Area: $	Trans. Costs to Return to Home Utility : $

Care, Shelter, Feeding Costs Required For Response:	$

Responding Authorized Rep:	Res. Authorized Rep's Signature:

Title:	Utility:

Dated:	Time: hrs	Request No:

Part III REQUESTING UTILITY CONFIRMATION AND APPROVAL			
Authorized Rep Name:		Location:	
Signature			
Dated:	Time:	hrs	Request No:
Part IV WARN COORDINATION (as needed)			
WARN Rep:		Location:	
Signature			
Dated:	Time:	hrs	Request No:

Additional Information:

MISCELLANEOUS ITEMS / OTHER INFORMATION

Attachment D: Cost Estimator Worksheet

Purpose: The Authorized Official of a Responding Utility 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 created and utilized in Excel.

1. TEAM/PERSONNEL/EQUIPMENT Requested[1]:									
Personnel (insert lines above subtotal as needed)	Position(s)	Reg Salary Hourly Rate	Fringe Benefit Hourly Rate	# of Reg Hours worked per day	Overtime Salary Hourly Rate	Fringe Benefit Overtime Hourly Rate	# of OT Hours Worked per day[2]	# of Days on Mission	Total Daily Cost
							12		$0.00
							12		$0.00
							12		$0.00
							12		$0.00
							12		$0.00
							12		$0.00
							12		$0.00
							12		$0.00
							12		$0.00
							12		$0.00
								Subtotal:	$0

Equipment (insert lines above subtotal as needed)	Item	Hourly Rate[3]	No. of Hours	Total	Notes:
				$0.00	
				$0.00	
				$0.00	
			Subtotal:	$0.00	

Commodities/Materials	Item	Unit Cost	Quantity	Total
(insert lines above				
subtotal as				$0.00
needed)				$0.00
				$0.00
				$0.00
				$0.00
			Subtotal:	**$0.00**
Other Costs[4]	Item	Unit Cost	Quantity	Total
(insert lines above				
subtotal as				$0.00
needed)				$0.00
				$0.00
			Subtotal:	**$0.00**

2. TRAVEL	Units	Description		Total
Lodging	$/person/night			
Food	$/day/person			
Personal Vehicle	# x miles x 0.0488/mile			
Government Vehicle	# x miles x 0.0488/mile			
Rental Vehicle	daily/weekly rate as applicable x duration			
Air Travel	$/person/roundtrip			
Other Travel	as necessary			
			Subtotal:	**$0.00**

3. TOTAL EXPECTED DEPLOYMENT COST:				$0.00

Footnotes:
[1] From requestor, may be more than one and of different kind/type
[2] Assumes a 12-hour work day
[3] Use FEMA rates if unknown
[4] Items to Consider: Fuel for equipment, O&M for equipment

Attachment E: Mutual Aid and Assistance Coordination Checklist

Purpose: Authorized Officials of both the requesting and responding Member Utilities utilize this checklist to coordinate mutual aid/assistance resources.

Instructions: Review this checklist during discussion between Requesting and Responding Utility. As needed jot notes to each questions/statements in the checklist in the available space.

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?

Mechanical/Repair Service

Discuss availability of mechanical/ repair services, noted at right, for each area of response listed below.	Heavy equipment supplies and personnel.	Light equipment supplies and personnel.	Tire repair services	Water for sanitation of equipment	Fuel Services (gasoline, diesel, propane, natural gas)
• Staging Areas					
• Base Camp					
• Utility Corp Yards					
• Field Assignment Work Areas					
• Lodging / Hotel areas					
• Shelter Facilities					
• Commercial Services					
• Responding Utility Needs to Provide					

Transportation Impacts

Discuss transit issues, noted at right, in relation to each area of response listed below.	Which interstates or highways are open?	Does debris hinder access?	Which train or rail systems are operational?	Which airports are operational?
• Staging Areas				
• Base Camp				
• Utility Corp Yards				
• Field Assignment Work Areas				
• Lodging / Hotel areas				
• Shelter Facilities				
• Feeding Operations Sites				
• Restaurants and Stores				

Communications Impacts

Discuss communications issues, noted at right, in relation to each area of response listed below.	Are landline telephone systems operational?	Are cell phone systems operational?	Are satellite phone systems operational?	Are utility radio systems operational?	Is the internet operational?
• Staging Areas					
• Base Camp					
• Utility Corp Yards					
• Field Assignment Work Areas					
• Lodging / Hotel areas					

Discuss communications issues, noted at right, in relation to each area of response listed below.	Are landline telephone systems operational?	Are cell phone systems operational?	Are satellite phone systems operational?	Are utility radio systems operational?	Is the internet operational?
• Shelter Facilities					
• Feeding Operations Sites					
• Restaurants and Stores					

Utility/Energy Impacts

Discuss utility/energy issues, noted at right, in relation to each area of response listed below.	Electrical outages	Natural gas outages	Potable water outages	Fuel services (gasoline, propane and diesel)	Wastewater outages
• Staging Areas					
• Base Camp					
• Utility Corp Yards					
• Field Assignment Work Areas					
• Lodging / Hotel areas					
• Shelter Facilities					
• Feeding Operations Sites					
• Restaurants and Stores					

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:

- o Does requesting utility have satellite phones to provide responding utility?
- o Does Requesting Utility have local portable cell phone systems (temporary, mobile cellular systems)?
- o If operational, how does the utility communication system function?
  - What frequency does the Requesting Utility operate on?
  - Will Requesting Utility 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 Utility staff, are there enough radios to give to the Responding Utility supervisors?
  - If Responding Utility brought radios does the Requesting Utility have the capability/personnel to program radios to local frequencies?
  - Does Requesting Utility use amateur radio equipment for emergencies? If yes, is equipment available for Responding Utility staff?

- ☐ What navigation issues should the responding utility be aware of?
  - o Are street signs in place?
  - o Are utility maps available (hardcopy or electronic)?
  - o Do utility maps include GPS coordinates?
  - o Are GPS units available?
  - o Where are maps and/or GPS units going to be available?

- ☐ What sanitation services are available in the field?
  - o Water for drinking
  - o Water for sanitation
  - o Restroom (e.g. using port-a-potties)

- ☐ What debris clearance equipment is needed?
  - o Are chainsaws required to provide response and repairs?
  - o Are other debris clearance equipment or tools required?

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

Care and Shelter

- ☐ What accommodations are available?
  - o Hotels

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

- ☐ How are arrangements being addressed?:
  - o Who is arranging for rooms? Requesting or Responding Utility
  - o Who is paying for rooms? Requesting or Responding Utility
  - o Where is it located (address):

- ☐ What amenities are available at the identified sites?

	Hotel	Fire Base Camp	County or State Base Camp	Utility Temporary Shelter	Red Cross or other Shelter	Camp-grounds
Distance from staging area						
Distance from work areas						
Feeding operations available on site						
Feeding operations available nearby						
Potable water for drinking						
Functional Showers						
Functional restrooms						
Portable toilets						
Beds or cots						
Bedding supplies						
Functional laundry facility						
Functional laundry facility nearby						
Has or allows portable emergency generator power?						

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	Hotel	Fire Base Camp	County or State Base Camp	Utility Temporary Shelter	Red Cross or other Shelter	Camp-grounds
Water and sewer hook ups at nearby campground						

- ☐ Determine feeding operations.
  - o 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 utility?
    - ▪ What methods of payment are accepted?
  - o Does requesting utility have alternate feeding operations in place?
    - ▪ Mobile canteen
    - ▪ Services from American Red Cross or faith based organization (if so, specify who)
    - ▪ Contract services
  - o 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?
    - ▪ What methods of payment are accepted?
  - o 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

  - o What is the expected temperature and humidity?
    - ▪ Is special weather gear required?
  - o What personal protective equipment is needed beyond basic equipment (hard hat, safety vest, safety shoes, mud boots, work gloves, raingear and eye and ear protection)?
  - o What additional exposures may responders encounter (e.g. significant odors, contamination, etc.)?
  - o What local wildlife may be encountered?
  - o What personal inoculations should be considered?
    - ▪ Tetanus

- Hepatitis A or B
- Flu
- Other _____, _____, _____
  - o Are hospitals functional?
  - o Are paramedic and/or ambulance services functional?
  - o 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 personal animals (cats/dogs)?
  - o Are trained incident stress debriefing teams available?

Documentation

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

Reimbursement Process

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

Name of Person Completing Checklist:

Title of Person Completing Checklist:

Date/Time:

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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.

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.
- Establishes 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 a 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
  • Decision justification and documentation
  • 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 point of considerations for Daily Staff briefings with mutual aid responding teams.

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

☐ 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 or 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.

☐ During demobilization Response Utility Teams should:
- Deliver documentation collected during response to the Requesting Utility.
- Return all equipments, radios, maps, unused supplies, etc.
- Return any sensitive or confidential information to the Requesting Utility.

Attachment H: Responding Utility Checklist

Purpose: The Authorized Representative of a Responding Utility may track actions to deploy mutual aid/assistance.

Instructions: Complete actions in this checklist and make notes in right-hand column.

NOTES

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

- ☐ When a request for aid/assistance arrives, assess request.
  - o Review types of damage and what teams may be expected to deal with (size/type of pipe repairs, etc.). (See **Attachment B**.)
    - ▪ Nature of the emergency
    - ▪ Impact on the utility
    - ▪ Has an emergency been declared by local government?
    - ▪ Estimate length of time aid/assistance is required
    - ▪ Determine method of care and shelter for personnel and resources
      - – Review **Attachment E Mutual Aid Coordination Checklist** with Requesting Utility
    - ▪ Confirm billing rates for use of personnel and equipment

  - o Determine resource type requirements, evaluate the following needs to select the appropriate resource typing team in the AWWA Resource Typing Manual:
    - – Desirable personnel skills and certification
    - – Resource type and capability
    - – Determine appropriate materials to accompany the teams

    - ▪ Identify equipment operation qualification requirements:
      - – Security and storage of service vehicles and equipment
      - – Identify reporting location
      - – Identify Point of Contact at the location
      - – Identify designated supervision methodology
      - – Responsibility for equipment security
      - – Procedures for returning equipment to requesting utility
      - – Equipment transfer, inspection, and contact information
      - – Licensing requirements for transport
      - – Transportation and other equipment's fuel considerations
      - – Managing lost, damaged, destroyed, or stolen equipment

- o How long are teams needed? Is there need for "relief" teams for first set of teams?
- o How does sending teams affect your utility current operations?

☐ Review reimbursement expectations and process.

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

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

☐ Complete pre-deployment personnel activities.
- o Identify an Incident Commander 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 Utility Representative. The deployment team Incident Commander may be reassigned as a unit supervisor within the operations section.)
- o Identify how teams are selected. Identify specialized work rules. Review with any union leadership.
- o Identify a communications plan for teams. How do they communicate with each other, the borrowing agency, and family?
- o Identify teams for travel.
- o Conduct review with teams. Review:
    - Level of disaster and impact on community to prepare teams emotionally
    - Conditions and potential for contamination and personal protective equipment needs
    - Logistics arrangement for care, shelter, feeding, etc.
    - Communication plan
    - Employee work rules
    - Medical considerations and needs for inoculation
    - Incident Command System (ICS)
    - Documentation protocols

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

- o Ensure availability of first aid kits and other emergency supplies.

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

Demobilization

- ☐ Response Utility Teams should:
  - Deliver documentation collected during response to the Requesting Utility.
  - Return all equipments, radios, maps, unused supplies, etc.
  - Return any sensitive or confidential information to the Requesting Utility.

- ☐ Authorized Official:
  - Collect all information on costs and process it through the Requesting Utility Finance and Administration Function.
  - Keep copy of all cost documentation for Responding Utility.
  - Information includes:
    - o Injury reports
    - o Timesheets
    - o Material purchased
    - o Equipment used

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

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

Attachment I: WARN Response Team Member Checklist

Purpose: Trained Utility 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. Team members may be located at the Operational Area as needed, Region Emergency Operations Center, or State Operations Center.

Instructions: Take action to arrange for accommodations. Arrive at designated WARN Response Team location. Complete actions in this checklist.

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

☐ Make lodging arrangements;

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

☐ Follow directions to get to the designated location.

Once you have reached destination, complete the following:

STARTUP ACTIVITIES:

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

☐ Check in with the Utility Branch Leader to receive an initial briefing on the general situation and immediate tasks to be performed. Briefing should include:
- o nature and extent of emergency;
- o identify extent of affected utilities and status;
- o nature of assignment;
- o status report update and criteria; and
- o 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 Unit Log. At a minimum, the Unit Log should record the following for each utility contacted:
- o Date and time;
- o Contact name and number;
- o Communications/coordination received/made; and
- o Follow-up required/completed.

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

GENERAL ACTIVITIES:

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

- If more than one of Response Team Member arrives, identify a "lead" person in the event of briefings.

- Contact and receive calls from utilities in affected areas of the emergency regarding damages to services/infrastructure; determine situation and any assistance that may be required; Identify:
  - o extent and type of customer and infrastructure damage;
  - o general geographic location of utility outages;
  - o expected duration of outages;
  - o numbers of customers affected by county; and
  - o resource requirements and/or information needs.

- Facilitate utility mutual aid/assistance as necessary/requested; assist utilities in procuring resources, personnel, and provisions necessary for restoration of services

- Provide regular updates to the Utility Branch Leader with significant changes in utilities' status; alert the Utility Branch Leader of emerging issues or concerns you perceive as "sensitive";

- Serve as liaison between utilities and emergency management for extraordinary assistance;

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 Utility Branch Leader or required by the follow-up information on the Activity Log;

- A review of the current Utilities Outage and Restoration Status Report; and

- 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; and

- Risks and hazards.

If more multiple WARN Response Team Members are present, you may decide to divide responsibilities among you. Some suggested positions divisions may include the following:

Manage Damage Assessment Data

- Receive damage assessment data from Member Utilities
- Compile the damage data
- Report the damage data to the Utility Branch and the WARN Steering Committee
- As requested, share the damage data (including operational status) with the state drinking water primacy agency, state wastewater permitting authority, and/or emergency management agency.

Receive, Track, and Monitor Requests

- Track incident name/I.D. number
- Track orders/requests
- Date and time of order
- Quantity, kind, and type, including special support needs as appropriate
- Reporting location (specific staging area)
- Requested time of delivery
- Radio frequency to be used
- Person/title placing request
- Callback phone number or radio frequency for clarification or additional information

Coordinate Resource Orders

- Monitor requests for assistance
- Distribute messages to the Response Team Members regarding the requests
- Match requests with offers of resources, including personnel, resources, and material
- Identify gaps between resource requests and resources needed
- Communicate gaps to the Utility Branch and WARN Steering Committee
- Communicate with the WARN Member utilities as needed

Coordinate Staging Area Information

- Expected number, kind, type of resources sent to the staging area
- Communications to be used
- Minimum resource levels to be maintained
- Procedures for obtaining additional resources
- Expected duration for use of the staging area
- Procedures for obtaining logistical support

STAND DOWN ACTIVITIES:

- Under direction of the Utility Branch Leader to "stand down," prepare a situation status report about the utilities you communicated with, including estimated outages, restoration and damages;

- Provide briefing to the Utility Branch Leader;

- Remain available by phone to respond if activation staffing is increased; and

- Sign out.

SHUT DOWN ACTIVITIES:

- Under direction of the Utility Branch 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; and

- 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 utility, assign a number to each request in column 1. Put name of utility requesting aid in column 2. Summarize resource needs in column 3. Put name of responding utility in column 4. Put estimated time of arrival of responding resources in column 5 and the time they left in column 6. Put estimated cost of this deployment in last column.

Date/Time						
Request No.	Requesting Utility	Need Summary	Responding Utility	ETA	Estimated Deployment Time	Estimated Costs

All Times – Local 24 Hour Clock

Appendix K: After Action Report Considerations

- Notification
    - What was the number and frequency of notifications?
    - Who provided notifications? What was the method of notification?
    - Did the notifications provide an accurate operational understanding of the emergency?

- Activation
    - How did activation occur for utilities, WARN, and other stakeholders?
    - How quickly was the Requesting and Responding Utility able to agree on the terms of the aid being provided?
    - How can the activation process be improved or streamlined?
    - Were the different Member Utilities able to activate their plans and processes during this incident?

- Coordination
    - Were the 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?
    - Was equipment interoperable?
    - Were the resources that were requested the same as the ones that were delivered?
    - Was the CalWARN Database and the AWWA Resource Manual used? Were they effective in coordinating resources between Member Utilities?

- 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 actions 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 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

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

Appendix L: AWWA Resource Typing Manual

Insert copy of the AWWA Resource Typing Manual available at: www.nationalwarn.org. This is the official guide for requesting Team of Resources.