Illinois
Water/Wastewater Agency
Response Network (ILWARN)

Mutual Aid/Assistance
Operational Plan

March 9, 2009
ILWARN
Mutual Aid/Assistance Operational Plan

Version Control # 1.0

Date: March 9, 2009
Prepared by: ILWARN Committee
Record of Changes Form

Changes to this document are expected due to lessons learned, changes in protocols, and/or modification to the ILWARN 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 ILWARN Steering Committee approves updates to this Operational Plan and electronically advises all Member utilities and Associate Members when approved updates have been made and are available on the ILWARN Web Site at www. ILWARN.org.

3. Member utilities replace old pages with current pages and destroy outdated material.

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List of Acronyms

AWWA = American Water Works Association

DOC = Department Operations Center

EMAC = Emergency Management Assistance Compact

EOC = Emergency Operations Center

ERP = Emergency Response Plan

ESF = Emergency Support Function

FEMA = Federal Emergency Management Agency

HSEEP = Homeland Security Exercise and Evaluation Program

HSPD = Homeland Security Presidential Directive

IAP = Incident Action Plan

IC = Incident Commander

ICS = Incident Command System

IEMA = Illinois Emergency Management Agency

IEPA = Illinois Environmental Protection Agency

IEPA-BOW = Illinois Environmental Protection Agency Bureau of Water

ISAWWA = Illinois Section AWWA

ILWARN = Illinois Water/Wastewater Agency Response Network

MAAOP = Mutual Aid/Assistance Operational Plan

NIMS = National Incident Management System

NRF = National Response Framework

PA Program = Public Assistance Program

U.S. DHS = U.S. Department of Homeland Security

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

USACE = U.S. Army Corps of Engineers
List of Definitions from the Mutual Aid/Assistance Agreement

A. Activation – Occurs when one Member utility calls another Member utility to discuss the exchange of resources, or one Member enters a request for assistance on the ILWARN site or via the 888-ILWARN1 call system.

B. Associate Members – Any non-utility participant, approved by the ILWARN Steering Committee, that provides a support role for the ILWARN program, for example; Illinois Environmental Protection Agency, Illinois Emergency Management Agency, Illinois Department of Public Health, or associations, that do not sign the ILWARN Agreement.

C. Authorized Official – An employee or officer of a Member utility that is authorized to:
   a. Request assistance;
   b. Offer assistance;
   c. Refuse to offer assistance or
   d. Withdraw assistance under this Agreement.

D. Confidential Information - Any document shared with any signatory of 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.

E. Emergency – A natural or human caused event or circumstance causing, or imminently threatening to cause, loss of life, injury to person or property, human suffering or financial loss, and includes, but is not limited to, fire, explosion, flood, severe weather, drought, earthquake, volcanic activity, spills or releases of oil or hazardous material, contamination, utility or transportation emergencies, disease, blight, infestation, civil disturbance, riot, intentional acts, sabotage and war that is, or could reasonably be beyond the capability of the services, personnel, equipment, and facilities of an ILWARN Member to fully manage and mitigate internally.

F. Incident – A generic description for a planned event, a small emergency or a major disaster.

G. Member – Any public or private Water or Wastewater Utility that manifests its intent to participate in the Mutual Aid and Assistance Program by executing the Agreement.
   a) Requesting Member – A Member who requests aid or assistance under the Illinois Water and Wastewater Agency Response Network (ILWARN).
   b) Responding Member – A Member that responds to a request for aid or assistance under the Illinois Water and Wastewater Agency Response Network (ILWARN).
   c) Non-Responding Member - A Member or Associate Member that does not provide aid or assistance during a Period of Assistance under the Illinois Water and Wastewater Agency Response Network (ILWARN).

H. Mutual Aid – Mutual aid is the sending and receiving of personnel, equipment, and resources without the expectation of reimbursement. Also see Mutual Assistance.
I. **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 this ILWARN Mutual Aid Agreement. Also see Mutual Aid.

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

K. **Period of Assistance** – A specified period of time when a Responding Member assists a Requesting Member. The period commences when personnel, equipment, materials, services, 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 an emergency, as previously defined.

L. **Steering Committee** – Statewide committee that shall plan and coordinate emergency planning and response activities for the Illinois Water and Wastewater Agency Response Network (ILWARN).
Introduction
The Operational Plan is laid out in three sections: pre-emergency, emergency response, and post-emergency. The pre-emergency information provides educational information to help less involved Members understand the process of ILWARN. The emergency response materials include action-oriented how-to materials, supported by the checklists in the appendices. The post-emergency materials are provided to help improve the Operational Plan over time.

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

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

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1 The AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual has been adopted by the National Incident Management System Integration Center to provide guidance to water and wastewater utilities when they request and provide mutual aid/assistance resources during and after an emergency. Resource typing is the categorization and description of response resources that are commonly exchanged in disasters through mutual aid/assistance agreements. For more information on resource typing, visit http://www.fema.gov/emergency/nims/rm/rt.shtm. The Resource Typing Manual is available at www.nationalWARN.org and ILWARN.org
The ILWARN Operational Plan also describes how mutual aid/assistance for the water sector may evolve. The ILWARN Steering Committee may include utility Members and associate (non-utility) Members. IEPA and IEMA, water and wastewater sector associations, and local utilities may be included in the Steering Committee. The ILWARN Steering Committee is responsible to share with and educate utility and associate Members how to use the current or updated Operational Plan. It is the utility and associate Member’s responsibility to integrate this Operational Plan into their respective emergency response or emergency operations plans. Descriptions of this Operational Plan and current and recommended training do not replace other regulated trainings, such as that required for hazardous materials response.

**What is the Purpose of an ILWARN Mutual Aid/Assistance Operational Plan?**

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

- Describes non-emergency responsibilities
- Provides a concept of emergency operations
- Provides a general set of procedures for activation of the ILWARN
- Provides a general set of procedures for mobilization of ILWARN Member utilities
- Provides a general set of procedures for ILWARN coordination
- Describes documentation and forms for the ILWARN standard reporting formats
- Describes communications tools for ILWARN Member utilities
- Describes a general set of procedures for writing an after action report and improvement plan
- Describes training, exercises, and update procedures for the Operational Plan

The ILWARN Operational Plan also addresses how ILWARN will utilize other available tools, such as the AWWA Water & Wastewater Mutual Aid & Assistance Resource Typing Manual.
How is the ILWARN Operational Plan Organized?
The ILWARN Operational Plan is divided into 9 sections and supporting attachments. The content and use of each are summarized in Table 1. Notably, Sections 3, 4, 5, 6 and 7 (the shaded sections below) provide instructions for the ILWARN Member utilities during an emergency.

Table 1. Operational Plan: Content and Purpose by Section

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<td>8.</td>
<td>After Action Report and Improvement Plan</td>
<td>Staff responsible for post-incident activities</td>
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<tr>
<td>9.</td>
<td>Training, Exercise, and Updates</td>
<td>Staff responsible for preparedness activities</td>
<td>Non-emergency</td>
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Assumptions
Several key assumptions form the basis of this document and implementation procedures for ILWARN activities:

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

- **Employees should be trained according to ERP, ICS, NIMS, ILWARN and AWWA Resource Typing Manual.** In order to respond to all emergencies, Member utilities provide practical employee training regarding the utility ERP, ICS, and NIMS. Additional training on how to use mutual aid/assistance resources ensures the ability to coordinate response with outside agencies. Section 9 of this document includes a list of recommended NIMS and ICS training.
Additionally, employees can be trained to know how to conduct ILWARN activities and become familiar with the AWWA Resource Typing Manual.

- **Utilities have signed a single, statewide omnibus ILWARN Agreement.** The ILWARN Agreement establishes the foundation of ILWARN and serves as the legal instrument authorizing the request for mutual aid/assistance, provides a mechanism for reimbursement, identifies the legal protection and immunities for employees and for use of resources, and establishes eligibility for possible federal reimbursement of expenditures associated with mutual aid/assistance.

- **ILWARN is coordinated with local and state authorities.** Coordinated response and access to restricted areas relies on communication between the ILWARN and the following groups or organizations:
  - Utilities
  - Local emergency management agencies
  - IEMA
  - IEPA
  - Local and State law enforcement authorities

The relationship between ILWARN, state and local agencies, and utilities, is defined by the agreement and documented in the Operational Plan. Exercising ILWARN with the Member utilities and other response agencies will help facilitate a successful response with ILWARN.
SECTION 1: Non-Emergency Responsibilities

ILWARN Member utilities plan and prepare for a real incident prior to responding. Likewise, the Steering Committee relies on membership involvement to help organize the activities, plans, and resources to ensure operability of ILWARN. The following diagram identifies the relationship of the steering committee, its officers, the Member utilities, subcommittees and intrastate regions (noted by the dashed boxes).

Figure 2: Elements of the ILWARN Organizational Structure

Member Utility
A Member utility may be any public or private water or wastewater utility that signs the ILWARN Agreement. ILWARN encourages Member utilities to participate in the annual meeting, trainings, and other activities. Member utilities are eligible to participate in committee activities to support ILWARN. Member utilities can participate in more than one committee activity. The Member utility identifies an Authorized Representative and alternates to manage its participation in ILWARN and response to possible incidents.

Member utilities vote on updates to the Agreement and other topics related to the operations of the Agreement. Each Mutual Aid Signatory or designee(s) has one vote. Member utilities within a Region may also vote to elect Region Chairs at such time that the Regional structures shall be organized. A utility that operates both water and wastewater services has one vote.

Pre-emergency responsibilities for Member utilities include:
- Identify an Authorized Representative and alternates who are responsible for:
  - Requesting Assistance
  - Offering Assistance
  - Refusing Assistance
  - Withdrawing Assistance

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• Provide ILWARN with contact information for their Authorized Representative and alternates.
• Update the contact and other database information every six months or as changes occur.
• Ensure employees are trained according to the current NIMS guidance and complete relevant training requirements as appropriate.
• Identify procedures for how or when the Authorized Representative may request or send mutual aid/assistance.
• Clarify reporting and coordination procedures with the local emergency management officials.
• Volunteer to support the pre-emergency organization of the ILWARN system, as available.
• Attend ILWARN trainings and general meetings.
• Review the ILWARN Operational Plan and incorporate appropriate portions into the utility emergency response plan.
• Develop procedures to track costs for personnel, equipment, and other resources during an emergency.

Steering Committee
The Steering Committee members may be elected by ILWARN Member utilities. Under the leadership of the Steering Committee Chair (referred to as the ILWARN Chair), the Steering Committee is responsible for the following actions:

• Organize and coordinate emergency planning and response activities for ILWARN
• Encourage the active participation of Member utilities
• Establish regular meeting schedules to maintain continuity
• Maintain communication with Member utilities regarding updates, changes, or modifications to the ILWARN system
• Review, maintain and update the operational capability of the ILWARN Agreement
• Obtain and manage grants as available.
• Manage issues related to website management.
• Determine costs associated with hosting workshops, training, etc.
• Set training and exercise schedule
• Represent the membership when engaged in meetings, discussions, and consultations with other associations, states, and local agencies regarding ILWARN

The Steering Committee consists of:
• Steering Committee Chair
• Vice Chair
• Secretary
• Region Chairs (as these regions become organized)
• Advisors
• Subcommittee Chairs (optional)

Steering Committee Chair
The Steering Committee Chair is elected by the members of the ILWARN Steering Committee. The Region Chairs are elected by the local Member utilities and the Sub-Committee Chairs are appointed by the Steering Committee Chair. The Steering Committee Chair is responsible to:

• Represent the ILWARN Member utilities in communications to IEMA and IEPA in emergency planning matters
• Preside at all duly constituted meetings of the membership
• Act as the Executive of the Steering Committee and an ex officio member of all standing committees
**Vice Chair**
The Vice Chair is elected by the members of the ILWARN Steering Committee. The Vice Chair performs duties as assigned by the Chair. During a temporary absence of the Steering Committee Chair, the Vice Chair provides direction to the ILWARN Steering Committee. In case the ILWARN Steering Committee Chair retires, resigns, or experiences a long-term absence, the Vice Chair acts in place of the Chair until the ILWARN Steering Committee elects a new Chair.

**Secretary**
The Chair appoints the Secretary, who is responsible to record proceedings at all meetings of the Steering Committee, and:
- Edit and publish any official administrative publications for the Steering Committee
- Receive and maintain a file of notes and records for the Steering Committee and subcommittees
- Send official messages approved by the Chair to Member utilities — either directly or through the Region Chairs (as they become established)
- Perform other administrative duties as assigned

**Region Chairs**
ILWARN state regions align with IEMA regions. Member utilities within a region nominate and elect a Region Chair from the same state region who are responsible to:
- Represent Member utilities of the identified region on the Steering Committee
- Attend ILWARN Steering Committee meetings
- Vote on matters pertaining to the operation and management of ILWARN
- Coordinate regional activity with the state and county emergency management agencies and other agencies
- Assist with the preparation of the annual meetings and trainings

**Associate Members**
Associate Members sit on the ILWARN Steering Committee as advisors. An Associate Member is any non-utility ILWARN participant that provides a support role to the ILWARN program on the Steering Committee, but does not sign the Agreement. Associate Members may include the following:
- Professional water sector association representative(s) (ISAWWA, Illinois Rural Water Association, Illinois Water Environment Association, etc.).
- Illinois Environmental Protection Agency
- Illinois Dept. of Public Health
- Illinois Emergency Management Agency,
- U.S. Environmental Protection Agency
Associate Members may attend ILWARN Steering Committee meetings and participate in ILWARN activities. As advisors, these Associate Members do not vote on ILWARN actions, but do provide input.

**Typical Subcommittees**

Subcommittees include:

- Operations (standing)
- Response (standing)
- Membership (ad-hoc, as needed)
- Ballot (ad-hoc, as needed)

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

**Operations Subcommittee**

To comply with the ILWARN Agreement to develop operational and planning procedures the ILWARN Steering Committee will establish an Operations Subcommittee to review and update the Operational Plan to ensure ILWARN is ready to respond. This “standing subcommittee” focuses on procedures and materials designed to manage and improve the operations of ILWARN. The committee is responsible to:

- Maintain the ILWARN Mutual Aid/Assistance Operational Plan
- Identify a process for how the Steering Committee will approve and authorize the publication of the Operational Plan as well as its distribution.
- Maintain contact with local, regional, and state emergency management agencies, and IEPA representatives
- Provide recommendations on how to manage Member utility contact data and resource lists
- Lead regular Member utility training to maintain familiarity with the operations of the Agreement
- Conduct an “after action review” of the ILWARN system operations following each emergency and make recommendations for improvement

**Response Subcommittee**

All emergencies are local and require local capability to respond. For most emergencies mutual aid/assistance requests will be handled utility to utility. In larger events where extensive damage occurs or where multiple utilities are affected and assistance is required to coordinate the number of requests, a ILWARN Response Subcommittee also known as “Response Team” consisting of pre-trained Utility Members from unaffected utilities may activate at the State or County as called upon. An example may be if a major earthquake struck southern Illinois, trained Utility Members from northern Illinois may staff the State Emergency Operations Center, Unified Area Command, or county Emergency Operations Center, so the utilities affected by the earthquake may continue their response to the needs of their consumers. In general, trained members of this subcommittee take what the Operations Subcommittee has prepared and ensure ILWARN coordination.

The subcommittee personnel complete training on the following documents and programs:

- ILWARN Mutual Aid/Assistance Operational Plan
- FEMA Emergency Management Institute Independent Study courses (recommended series of NIMS and ICS training can be found in Section 9)
- State operational activities
- Emergency Management Assistance Compact (EMAC)
- National Response Framework (NRF)
- FEMA Public Assistance Program
This list of training may be useful and applicable to all ILWARN Members.

**Membership Subcommittee**

ILWARN may decide to create a Membership Subcommittee which would be responsible for:
- Develop and/or maintain marketing or informational materials for outreach purposes
- Conduct informational outreach at professional association conferences and workshops to ensure presentation of the ILWARN concept
- Market and recruit new Member utilities
- Maintain contact with Member utilities to ensure utility information is regularly updated

**Agreement/Elections/Balloting Subcommittee**

There are generally two reasons for an election or a vote: first, when Region or Steering Committee members are elected to their positions; and second, when updates to the Agreement require a vote. The Steering Committee identifies when elections or ballots are required. This optional subcommittee may be called upon to distribute and collect ballots in order to:
- Vote on updates to the ILWARN Agreement
- Vote on election of Region Chairs, Steering Committee members, ILWARN Chair and ILWARN Vice Chair

Each Member utility has one vote. (Associate Members do not vote.) Notice of a ballot and rules of the ballot process are sent to the Authorized Representatives of Member utilities no less than one month in advance of the voting deadline. Ballots may be in electronic or written form, and collected at either an identified meeting or by fax or e-mail, as determined by the Steering Committee. In the absence of an ad-hoc Elections/Ballot Subcommittee, the Steering Committee Chair may designate a Member utility to manage the election/ballot process.

Following an event, or every five years, (whichever is soonest) the subcommittee may accept comments on the agreement from Member utilities. Two appointed legal representatives from Member utilities may review the suggestions to determine the impact on the agreement. Based on review of the impacts, the Steering Committee will determine whether or not to submit the changes for a vote to the Member utilities. An announcement of the proposed changes will be made to the Member utilities and will be submitted along with a ballot and deadline for a vote. Results of the vote will be shared with the Member utilities. Member utilities not in agreement with the changes may determine whether or not to continue with the ILWARN program.
SECTION 2: Concept of Emergency Operations

ILWARN Relation to Local and State Response

The relationship between ILWARN and the local and state emergency response system is critical. This Operational Plan and other NIMS concepts enable local jurisdictional authorities to benefit from standard practices and frameworks. According to NIMS, local jurisdictions retain command, control, and authority over response activities for their jurisdictional areas. Incidents typically begin and end locally and are managed on a daily basis at the lowest possible geographical, organizational, and jurisdictional level. Local jurisdictions also have flexibility to adjust the scale and scope of their response to the emergency.

The following is a list of the emergency responsibilities and levels of response that may be part of an ILWARN mobilization. The cumulative activities mirror those described in the NIMS Multi-Agency Coordination System (MACS) Group process (for more information on MACS, see Section 9: Training, Exercise, and Updates). Linkage to the MACS and local emergency response groups is presented in the following subsection, “Response Consideration by Role”. Emergency management agencies may modify the process described below as agencies recognize the need to change and adapt incident management and emergency response for an incident, due to changes in scope and/or scale over time.

Depending on the size of the emergency, all levels of response described below may not be needed every time ILWARN is activated. All emergencies are local. If the resource needs can be addressed by one utility calling another, that may be all that is needed. Communication with the ILWARN Steering Committee is suggested in those cases where the full email network of ILWARN members is not active, so that the Steering Committee is aware that resources were requested. In the case of full ILWARN activation, the Steering Committee will get the same warning messages as the Members. This can be accomplished via e-mail if available or contact with one designated person from the Response Committee. In emergencies that affect more than one locality, coordination at the county and state level may be necessary.

<table>
<thead>
<tr>
<th>Role: Utility Field Personnel</th>
<th>Description of Activity:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>● These are the utility employees in the field responding to an emergency.</td>
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<tr>
<td></td>
<td>● As first responders, utility employees in the field should be trained and function within the Incident Command System (ICS).</td>
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<tr>
<td></td>
<td>● Field personnel report to their respective employer utility while coordinating response with local emergency response agencies (e.g. law, fire and rescue, emergency medical, etc.). This is known as unity of command in ICS.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Role: Utility (Private or Public)</th>
<th>Description of Activity:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>● Public utilities can either be part of a city or county agency, or they can be an independently governed special district, not affiliated with a city or county. Public utilities should comply with specific requirements, including the use of NIMS, to be eligible for federal preparedness grants.</td>
</tr>
<tr>
<td></td>
<td>● Private utilities are generally investor owned and operated. While private utilities are not required to comply with NIMS, most choose to follow NIMS protocols as a best practice approach.</td>
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<tr>
<td></td>
<td>● If the local utility is a city or county department or work unit, the utility may establish a department operations center (DOC) and/or report directly to the</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Role:</th>
<th>Description of Activity:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Government</td>
<td>The role of Local Government (Cities) is to operate EOCs to coordinate resources and manage operations within the jurisdiction. Depending on the size and complexity of an emergency, local governments may operate EOCs to coordinate resources and manage operations within the jurisdiction. Local Governments may assist the local utility with the emergency, provided that local resources and supplies are available and can be dedicated to this responsibility. If necessary, the city may request County and State assistance.</td>
</tr>
<tr>
<td>County Government</td>
<td>Typically led by County management, a County EOC may be activated to coordinate the emergency response actions of all jurisdictions within the boundary of the County. Upon request or when response to disruption of local drinking water or wastewater systems becomes a priority for the County, staff from the County may be identified to help coordinate County resources to assist cities, special districts, and local utilities. If necessary, the County may request State assistance.</td>
</tr>
<tr>
<td>ILWARN</td>
<td>For large disasters, designated ILWARN representatives may sit in the County and/or State EOC to facilitate information flow from damaged utilities, identify utility mutual aid/assistance resources, and coordinate response. If the ILWARN representatives do not sit in the State EOC, the ILWARN representatives may meet at a designated facility, a Member utility’s DOC, or at the County and/or city EOC to help coordinate ILWARN Member utility mutual aid/assistance response. Depending on the organizational plan, when in a city, County, or state EOC, the ILWARN representatives could be seated in the Operations Section, Planning Section, Response Coordination group, or another designated reporting location.</td>
</tr>
<tr>
<td>State Government</td>
<td>As needed, IEMA coordinates state and regional resources to assist Cities and Counties. Led by IEMA, the State EOC may be activated to coordinate the emergency response actions of all jurisdictions within the State. Upon request or when response to disruption of local water distribution or wastewater facilities becomes a priority, staff from IEPA may be identified to help coordinate State resources to assist counties, cities, special districts, and local utilities. As needed, IEMA may request assistance from the National Guard, IEPA, other states (through EMAC), or federal government agencies.</td>
</tr>
</tbody>
</table>
| Federal Government       | Upon request, or when local drinking water or wastewater system disruption necessitates federal assistance, Federal Emergency Management Agency (FEMA) coordinates federal emergency response resources through Emergency Support Function #3 (ESF #3), Public Works and Engineering. As the ESF #3 primary agency, the U.S. Army Corps of Engineers (USACE) is responsible for
Role:  

**Description of Activity:**

coordinating supplemental assistance to state and local jurisdictions via the State.

- As a support agency to (Emergency Support Function) ESF #3, the U.S. EPA works closely with USACE and FEMA. U.S. EPA is the lead federal agency responsible to support the water sector as detailed in National Response Framework under HSPD-7.

- Federal emergency response resources may also be coordinated through ESF #10 (Oil and Hazardous Materials Response) where U.S. EPA or IEPA is responsible for decontamination of water infrastructure and ambient water quality.

- ESF #8 (Public Health and Medical Services), in coordination with ESF #3 and ESF #10, may assist in assessing potable water, wastewater, solid waste disposal, and other environmental health issues; conducting field investigations, including collection and laboratory analysis of relevant samples; providing water purification and wastewater/solid waste disposal equipment and supplies; and providing technical assistance and consultation on potable water and wastewater/solid waste disposal issues.
Response Considerations by Role

All emergencies are local and begin with the field\(^3\) response. It is important for a utility to understand how to optimize the Incident Command System (ICS) principles and activities identified in the National Incident Management System (NIMS), ICS 100 and 200 training courses. Rather than duplicate the available on-line training, this document reviews the linkages between the field responders, the management of a medium- to-large-sized utility, and other response organizations beyond the local response. It also reviews the field personnel role in requesting and engaging mutual aid/assistance resources.

Field Response

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

When the incident is a utility-specific event (such as a major water main break, damage to a treatment plant, water pump, enclosed clean water reservoir, etc.) the first utility responder to the scene becomes the Incident Commander (IC). The role of command remains at the field scene. The IC characterizes the scene, assesses the impact to the immediate surroundings, manages access to the scene, monitors the conditions and can best identify the resources required and where incoming resources specifically report. Additionally, the IC communicates with the utility’s management, who directs all available resources of the utility to address the need of the emergency. In this case, the communication from the scene is a direct connection to the utility management. **Figure 4** demonstrates this direct communication link to the utility management where the decision to request mutual aid/assistance is made. Command remains in the field with the IC until command is transferred to another person in the field who is more qualified to handle the event, or the designated time for shift change is completed.

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

While working with the Incident Commander (IC), the utility Agency Representative establishes contact with utility

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\(^3\) “Field” refers to any response remote from the utility headquarters. This could include response to a filter plant, pumping plant, pump station, main break, etc.
management to report conditions and progress. Figure 5 demonstrates how a utility Agency Representative from an independent utility reports to a law enforcement, fire, or public works IC while communicating with his or her utility management about the incident and resource needs. Utility management policies and response plans determine the exact reporting relationship and responsibilities. As a result, reporting relationships and responsibilities may vary by utility.

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

**Area Command**

The introduction to the National Incident Management System (NIMS) describes how Area Command is established when the emergency grows or requires support beyond the field. With this concept in mind, the utility can activate an Area Command in what is known as an Emergency Operations Center or Department/Utility Operations Center. The Area Command is especially helpful when there is more than one incident occurring at the same time, which would be the case for a hurricane, earthquake, wildland firestorm, tornado, etc. While command of each site remains with the Incident Commander at the scene, the Area Command (utility management in this case) can direct resources from other unaffected units of the utility to assist in the response. Once the resources arrive at the scene, they follow the local IC.

The Utility Area Commander (sometimes referred to as Emergency Operations Director) manages and coordinates the utility’s 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/service provider. If a private utility or independent government utility serves one city, the utility coordinates response with the city. If the utility serves multiple cities or the county, utility management coordinates response with the county. Figure 7 shows this communication/coordination link (note the dotted line).

While the ILWARN Agreement does not require the declaration of a local emergency to be activated, when requesting or sending mutual aid/assistance, the local utility will follow internal policy regarding when and how the Authorized Representative may request mutual aid/assistance. A utility that is part of a city or county may have to obtain high-level approvals within the government agency and involve the emergency management authority to request assistance. Figure 8 shows this authorization chain.

The independent utility may require internal approval at an operations or management level prior to requesting aid. Coordination with the local emergency management agency is encouraged in order to enhance communication. This may involve a simple phone call or formal
communication to the local emergency management authority.

The ILWARN concept of operation is that a Member utility in need may contact another utility Member or contact the ILWARN Steering Committee or “Response Team” via telephone, e-mail, or other pre-defined process. Unless other local utilities are affected by the emergency, for resource support a utility contacts local neighboring utilities first, before requesting aid from far away.

**Local Government**

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

- The Member utility who activated the ILWARN Agreement
- Resources on their way
- The Member utility that is supplying the resources
- When to expect the arrival of resources
- The safe routes for ingress and staging locations

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

**ILWARN**

Once the affected Utility initiates a web based or phone based request for assistance, the ILWARN system is activated. Alternatively, a Steering Committee (or Response Subcommittee) member may be contacted. Initially, ILWARN may be managed remotely using virtual technology (such as teleconference or e-mail communication tools) to manage the information and response. If the demands of the emergency grow, the ILWARN Steering Committee or Response Subcommittee members may come together to coordinate requests. As the need for coordination increases, and as the ILWARN program matures over time, trained volunteers from ILWARN Member utilities that are not affected by the emergency may be requested to help with coordination of ILWARN. These volunteers would form the ILWARN Response Team. The key responsibility would be to match needs with resources offered by utilities not affected by the emergency. During large events, the ILWARN Response Team Members could be located at the State EOC or an EOC near the incident location. Alternately, the ILWARN Response Team Members could be located at an unaffected utility. In small events, ILWARN Response Team Members could be located at a county or local EOC.

**State Government**

IEMA manages and coordinates state resources in response to the emergency needs of the cities and counties; manages and coordinates statewide mutual aid/assistance; and serves as the coordination and communication link with the federal disaster response system or NIMS. Working with IEPA or IEMA, ILWARN response team members may serve as a point of contact and maintain communication to work with government agencies to address issues such as access to the disaster area and security of resources.

**Federal Government**
According to the National Response Framework (NRF), federal resources are to be “forward leaning” and available for response as needed. Federal agencies with authority and responsibility may respond immediately as required by regulation. Federal resources located contiguous to the impact area (e.g. a military installation near a city) or affected by the emergency may respond according to a local agreement. Additional resources require a presidential declaration of an emergency for deployment. As the federal response is organized, the U.S. EPA supports Emergency Support Function #3 (led by the U.S. Army Corps of Engineers) to support infrastructure response and recovery.
SECTION 3: ILWARN Activation

For all types of emergencies, a utility analyzes the situation and determines the best alternatives to address its needs. This could include three possible mutual aid/assistance response scenarios, identified in Figure 9. First, the utility may call upon neighboring utilities with which they have established local agreements. Second, the utility can access ILWARN. The ILWARN Operational Plan focuses on accessing ILWARN. This section describes how Member utilities activate ILWARN. Elements of ILWARN activation include ILWARN activities and notification, as well as a description of responsibilities for requesting and responding utility authorized representatives, mutual aid/assistance coordinators, and staging area managers.

A utility may have as many as three options for obtaining assistance via local one to one agreements, access through a statewide mutual aid program for public agency responders, and the intrastate WARN utilities agreement.

Figure 9: Utility Activation of ILWARN: Mutual Aid/Assistance Process Flow Diagram

The ILWARN Agreement can be activated under two conditions. Activation may occur prior to a declared local emergency or, alternately, during a declared emergency. Some types of emergencies, such as severe storms, can be characterized as an “ILWARN” event. Based on forecast or other information, it may be possible to pre-stage ILWARN Response Teams and prepare Member utilities for possible deployment. In contrast, other types of emergencies provide no notice.
Emergencies with ILWARN Notice

ILWARN coordination may begin prior to an event in order to maintain communication during an ILWARN event such as with an impending severe thunderstorm or winter storm. E-mail systems may provide the best means to provide the appropriate ILWARN notice. The purpose of this activation is to ensure preparedness and timely, proactive response. In these cases, the ILWARN advance notice can initiate the following activities:

- Notify Member utilities of the expected conditions
- Maintain contact with Member utilities about changing conditions and information
- Receive requests for aid/assistance and follow-up actions

Requesting Utility Authorized Representative

The Authorized Representative of a utility can request mutual aid/assistance. (See Attachments A, B, and C.) In general, the Authorized Representative is responsible to:

- Analyze the situation and determine the best alternatives to address the emergency
- Using the AWWA Resource Typing Manual, determine resources and personnel needs that cannot be met by the utility, yet could be available from mutual aid/assistance
- Identify a Mutual Aid/Assistance Coordinator to address care, feeding, and other support for incoming mutual aid/assistance
- Notify local emergency management agency of your need for mutual aid/assistance
- Contact neighboring utilities with whom the utility has a local mutual aid/assistance agreement or who may be a Member utility of ILWARN to determine if they are also affected by the emergency or can provide the mutual aid/assistance
  - Discuss the following items to confirm capability to manage the mutual aid/assistance:
    - Type of incident
    - Location, size, expected duration
    - Impact on the utility
    - Resource needs
      - Personnel expertise and certification
      - Resources type and capability
      - Materials
    - Estimated length of time aid is required
    - Reporting location (Staging Area)
    - Point of Contact at the Staging Area
    - Number of emergency response agencies in response
    - Communication capabilities
  - Identify a Staging Area for incoming mutual aid/assistance and provide appropriate staffing for reporting

Notification

Notification of an actual emergency may come directly from a utility in need to a utility with available resources, or through ILWARN. The utility requesting mutual aid/assistance gathers the following information and activates ILWARN via telephone request or website posting and includes the following details in the request for assistance.

- Type of incident
- Impact on utility
- Resource requirements
- Location, size, expected duration
- Number of agencies in response
Known limitations or restrictions
Available communication tools

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

Mutual Aid/Assistance Coordinator
Utilities requesting assistance are encouraged to identify a person to coordinate the needs of incoming mutual aid/assistance resources. While this is not a specifically designated NIMS/ICS position, a person can be identified in the operations or logistics section of an activated EOC. The requesting utility must contact the responding utility to determine who is responsible to coordinate these responsibilities, which are detailed in Attachment D, and in general include:
- Identification of the Staging Area
- Communications operability
- Navigation considerations
- Financial services availability
- Care and shelter of personnel and resources
- Feeding operations
- Safety measures
- Methods of documentation
- Reimbursement process

Staging Area Manager
The Mutual Aid/Assistance Coordinator would work very closely with a Staging Area Manager. The utility requesting aid is encouraged to identify staging areas where staff can organize and prepare incoming mutual aid/assistance for deployment into the field. Key responsibilities, which are detailed in Attachment G, include:
- Managing field deployment of mutual aid/assistance resources
- Vehicle maintenance and fueling
- Coordinating daily briefings and assignments
- Support for team assignments and tracking documentation

Responding Utility Authorized Representative
In general, the responding utility’s Authorized Representative is responsible to (See Attachment E for more detail):
- Upon notice of the emergency, determine ability to meet own needs and identify available resources
- Post on the ILWARN website the available resources, based on the resources described in the AWWA Resource Typing Manual
- Upon contact from a utility in need, discuss key items and the requesting utility’s ability to provide care for personnel and resources
  - Identify resources operation qualification requirements
  - Confirm shelter and sleeping arrangements
  - Review reimbursement process to determine whether the responding utility follows the reimbursement article of the Agreement
- Review request to determine what aid/assistance the responding utility can provide and confirm approval from utility management to provide aid/assistance
• If agreement is reached on the above items, complete and transmit the appropriate Cost Estimate form (Attachment C) to Requesting Utility
• Prepare teams:
  ▪ Identify supervisors and teams
  ▪ Identify Communications Plan between supervisor of deploying team and home utility
  ▪ Conduct orientation and deployment briefing with teams
SECTION 4: ILWARN Member Utility Mobilization – Response – Demobilization

This section describes how ILWARN Member utilities mobilize and respond to a request for aid/assistance. Elements of ILWARN mobilization include pre-deployment activities, deployment of the responding utility, integration of responding utility with requesting utility, daily activity briefings, demobilization, and coordination of reimbursement information.

Pre-Deployment Activities

Prior to deployment, responding utilities are responsible to ensure employees are ready to manage the situation (details are provided in Attachment E):

- Conduct ICS refresher as needed
- Review conditions of the emergency with employees
- Ensure appropriate medical precautions are taken (e.g. immunizations)
- Provide documentation of authorization to respond to field responders
- Review documentation procedure to ensure staff provide information needed for reimbursement
- Establish daily communications plan between deployed resources and home utility

Deployment of Responding Utility

When deploying resources leave the utility:

- Communicate with Requesting Utility
  - Inform them of deployment
  - Confirm reporting contact
  - Confirm logistical support
  - Confirm condition of the care and shelter facilities

Daily Activity Briefing

Daily Incident Action Plans (IAP) are created each day by the Requesting Utility and Responding Utility Supervisors—using the standard ICS forms and process. See Attachment H (Incident Briefing) and Attachment I (Incident Objectives). In summary, the steps include:

- List the incident objectives and work plan for the next operational period
- Provide an organizational list or chart that depicts how all response personnel are to be organized
- List the work assignments and responsibilities for the next operational period, including site-specific safety plans
- Provide the communications plan and messages, including radio and telephone communications, methods, and numbers for all incident personnel
- Define the resources needed to accomplish the work order
- Specify an Environmental, Health and Safety plan to follow in case of a responder emergency
- Identify resources at risk
  - Review minimum safety requirements to be employed by requesting utility
- Request utility maintenance and daily resources checks

Preserve the original IAP for record-keeping purposes.
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.)

Responding Utility Demobilization Activities

While preparing to demobilize, the responding utility is responsible to:

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

Requesting Utility Demobilization Activities

While preparing to demobilize the requesting utility is responsible to:

- Collect damage and response cost figures
- Accept bill(s) from responding utilities
- Provide payment, according to the ILWARN Agreement
- As appropriate, submit for FEMA or other reimbursement mechanisms

Coordinate Reimbursement Information

Upon completing the assigned work and reaching the end of the period of assistance, the utilities stop tracking and administering financial expenditures related to the emergency.

Should the affected utility need assistance in assessing damage, a responding ILWARN Member can support utilities’ efforts to obtain reimbursement from the federal government. If the emergency is designated as a presidential-declared disaster, the requesting utility may obtain federal reimbursement as identified in the Stafford Act. ILWARN Members can help utilities:

- Gather information about where the state and federal government establish Post Disaster Applicant Briefings. (State Emergency management announces locations following a declared federal disaster.)
• Disseminate information to the ILWARN Member utilities affected by the emergency.
• Coordinate information necessary to complete the application procedures of the FEMA Public Assistance (PA) Program\(^4\). Through the PA Program, FEMA provides supplemental Federal disaster grant assistance for repair, replacement, or restoration of disaster-damaged, publicly owned facilities and facilities of certain Private Non-Profit organizations. The assistance is available to state, tribal and local government, and certain types of Private Non-Profit organizations so that communities can quickly respond to and recover from major disasters or emergencies declared by the President.

\(^4\) For more information on the FEMA Public Assistance (PA) Program, visit http://www.fema.gov/government/grant/pa/index.shtm
SECTION 5: ILWARN Coordination

Depending on the size of the emergency, this coordination role may not be necessary. All emergencies are local. If the resource needs can be addressed by one utility calling another, that may be all that is needed. In this case, communication to the ILWARN Website is suggested so that the Members are aware that resources were requested. In emergencies that affect more than one locality, coordination at the county and state level may be necessary. In an emergency that affects multiple counties, coordination at the state level may be necessary. The following applies when coordination is needed at the county or state levels.

Once a utility posts a request for assistance on the ILWARN website or contacts a Steering Committee Member to post a request, ILWARN is activated. As emergency response grows or, alternatively, when an emergency starts as a large-scale event (such as a catastrophic earthquake), the ILWARN coordination can expand. As the need for coordination increases, trained volunteers from ILWARN Member utilities from the Response Subcommittee that are not affected by the emergency may be requested to help with the coordination of ILWARN. This coordination may include working at the Emergency Operations Center to assist with the coordination of response to the affected utility if requested by the Illinois Emergency Management Agency. The purpose of the ILWARN coordination is to:

- Provide a point of contact and liaison for utility-related matters during an emergency
- Collect information regarding:
  - Extent and type of customer and infrastructure damages
  - General geographic location(s) of outages
  - Expected duration
  - Number of customers affected
  - Resource and information requirements of the affected utilities
- Assist in locating emergency resources, personnel, or material necessary for service restoration
- Advise utilities of restoration assistance and resources available

Response Team Member Roles and Responsibilities

Should the State EOC request an ILWARN representative at the EOC, the ILWARN Response Subcommittee shall designate a person or persons to act as the ILWARN Leader in a State EOC, a local EOC, or other designated location. The ILWARN Leader is responsible to:

- Manage the ILWARN system
- Liaise with the state operations activities
- Identify possible sources of additional support for ILWARN Member utilities
- Monitor the number of requests
- Identify gaps in the requests and resources available
- Act as a liaison with the IEPA and IEMA
- Provide damage assessment data to the state agencies
- Coordinate response and resolve issues with neighboring WARNs

Team Member Response

The ILWARN Steering Committee must work with IEMA to determine where the ILWARN Response Subcommittee designated representative(s) can report within the State EOC or other designated location. The ILWARN Response Subcommittee is organized to assist as part of a Multi-Agency Coordination.
(MAC) team when water sector utilities need support. At a county level ILWARN may become part of an Area Command. The ILWARN Response Subcommittee representative could be responsible to (see Attachment J for more detail):

- Identify themselves at the security post and sign in
- Review the latest information
- Review ILWARN communications for critical contact information
- Open and maintain an Activity log. (See Attachment L.) At a minimum, for each utility, record the following in the activity log:
  - Date and time
  - Contact name and number
  - Communications received/made (record conversations in which decisions were reached, instructions given or received, information exchanged)
  - Coordination received/made
  - Follow-up required/completed
  - Contact utility Authorized Representative in the affected area to obtain situation reports and determine whether assistance is required
- Keep all related status boards up to date
- Coordinate with the ILWARN Response Subcommittee regarding shift assignments and assist in identifying ILWARN Response Subcommittee Members for relief at the end of shift
- Provide comprehensive shift turnover briefing

The ILWARN Response Subcommittee Members 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. The Response Subcommittee Members may organize themselves, as needed, to address the emergency, by reporting to an EOC, managing damage assessment data, and tracking and coordinating resource orders and staging area information as part of a MAC group.

As a “team,” the ILWARN Response Subcommittee may help manage the various activities. The type of emergency and extent of damage may determine exactly which activities are required. As the emergency expands each Response Subcommittee Member may be assigned to focus on just one activity:

**Manage Damage Assessment Data**

- Receive damage assessment data from Member utilities
- Compile the damage data
- Report the damage data to the ILWARN Leader
- As requested, share the damage data (including operational status) with IEPA and IEMA.
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 Subcommittee 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 ILWARN Response Subcommittee
- Communicate with the ILWARN 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

As stated at the beginning of this section, depending on the size of the emergency, all of these coordination roles may not be necessary. All emergencies are local. If the resource needs can be addressed by one utility calling another, that may be all that is needed. Similarly, if the resource needs can be addressed by one coordination role, that may be all that is needed. Adjustments may be made based on the situation at hand.
SECTION 6: ILWARN Documentation

Damage Assessment
Should the affected utility need assistance in assessing damage, the ILWARN Response Subcommittee may be requested to assist with damage assessment. Although IEMA has the final approval of the damage assessment reports, having a knowledgeable utility person assist with assessing the damages initially may assist in the recovery process. Should the Response Subcommittee be requested to assist with damage assessment, the responsibility for the Response Subcommittee would be to collect and coordinate utility damage assessment information from field response units, compile the information into a uniform reporting format (see Attachment B), and communicate the information to the Requesting Utility and the ICS effort. This damage assessment is valuable for State and local agencies.

Remind Requesting and Responding Utilities to Track Expenses
A requesting utility tracks and reports to management the financial expenses as the emergency progresses. This allows the utility management to forecast the need for additional funds before response activities are affected negatively. This is particularly important if many utility resources are under contract from the responding utilities. Close coordination with response activities is essential so that operational records can be reconciled with financial documents.

Utilities should:
- Use their existing procedures for tracking and administering financial expenditures to ensure consistency and accountability
- Use existing utility accounting forms and documents to track expenditures
- Use the Summary of Estimated Cost form (Attachment C) to exchange cost estimates

All Member utilities develop and implement a procedure for handling injury compensation to ensure that all forms required by workers’ compensation programs and local agencies are completed in an effective and efficient manner consistent with local norms and regulations. Additionally, all Member utilities can:
- Develop procedures for ensuring that resources and personnel for which payment is required are properly identified
- Obtain and record cost data
- Analyze and prepare estimates of costs of emergency according to FEMA guidelines
SECTION 7: ILWARN Communication Tools

The primary communications tools available to the ILWARN Member utilities include the typical systems of landline telephone, cellular phone, fax, and e-mail. A unique aspect of the ILWARN program is use of the Web site, which brings all of these systems together. The Web site includes a list of ILWARN Member utilities and the contact information for each Member utility. The Web site also provides the ability to send text notices of the event, updates about the conditions, mutual aid/assistance requests, response, and demobilization.

Radio Systems

Secondary communication tools are utility-owned radio systems. Radio is secondary due to the lack of interoperability between radios. Interoperability of radio systems would be optimal, but cannot always be achieved, due to expense. It is preferable that ILWARN Member utilities consider alternative communication plans to achieve the same result. ILWARN Member utilities can maintain a cache of additional radios to distribute to incoming mutual aid/assistance supervisors for communications during an emergency. Additionally, ILWARN Member utilities can consider HAM radio as an optional backup radio system. Member utilities should also be aware of the Illinois Transportable Emergency Communications System (ITECS) radios available upon request from IEMA through the county emergency response coordinators.

Web Site

ILWARN operates a Web site (www.ILWARN.org) allowing Member utilities to access information before, during, and after an emergency. The Web site includes a public and Member-only side. The public side allows for promoting and marketing ILWARN and educating the general public on preparedness efforts of water/wastewater utilities. The Member-only side of the Web site allows access to information such as:

- ILWARN Emergency Notification (See Attachment B)
- Resource Requests (See Attachment B and Attachment O – AWWA Resource Typing Manual)
- Resource Matching (See Attachment L and Attachment M)
- Damage Assessment Reporting

As exercises and response actions modify the Operational Plan, the responsible ILWARN Steering Committee member updates Web site materials and procedures.

The ILWARN Web site allows a Member utility to list the contact information for Member utilities to contact one another to inquire about the availability of resources and request its use. Every six months Member utilities are encouraged to print out a hard copy of the database, so that when power or Internet is not available during an emergency, the data is still available. To access this information online:

- Use Internet browser to locate www.ILWARN.org. Click on ILWARN Members (left button).
- Enter username and password (if these are not readily available, click on “send message”)
- Click on “Emergency Assistance” to initiate an email request for resources.
- An email or text message will be sent out and responses can be tracked on the website

Questions during response can be addressed by calling Steering Committee or Response Team contacts. Print out their contact information sheets from the Web site and keep them with the hard copy of database resources.
SECTION 8: After Action Report and Improvement Plan

After Action Report

After an exercise or as an event is nearing the end, all departments, agencies, or jurisdictions meet to allow for discussion of the events and actions taken. The ILWARN Response Subcommittee will coordinate an After Action Report and may initiate an Improvement Plan. After action reviews and reports are typically carried out by ILWARN Member utilities that assisted in the ILWARN Response. The reviews and reports require input from all key players and groups involved in the response and recovery. Therefore, if the incident is small and only involves a small number of ILWARN Member utilities, it may fall to the affected utility to carry out this step of the process. If the incident is large and involves many agencies and jurisdictions, the ILWARN Response Subcommittee Members may coordinate the after action review and report process among all the participants. In this case, an ILWARN Response Subcommittee member may ask to participate in the after action review at the state level.

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

The designated Member utility collects responses during this meeting and assembles them in an After Action Report that briefly summarizes the actions taken during the response. The After Action Report can include a brief description of the incident, the actions taken, and what needs to change in the future.

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

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

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

- Coordination
  - Were Member utilities 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?
Where resources interoperable?
- Were the resources that were requested the same as the ones that were delivered?
- Were databases used and are they interoperable across different workgroups and jurisdictions?

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

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

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

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

**Improvement Plan**

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

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

Training
ILWARN will use a multi-year training plan to prepare Member utilities, Authorized Representatives, Response Subcommittee Members and other relevant stakeholders. The training plan includes common training to enhance response with mutual aid/assistance resources and ensure the ability to coordinate response with outside agencies.

Each utility may implement the NIMS training requirements according to their internal policy. Currently NIMS requirements include:

- IS-100. (ICS 100) Introduction to the Incident Command System, for Public Works Personnel, via EPA
- IS-200.(ICS 200) ICS for Single Resources and Initial Action Incidents
- IS-700.National Incident Management System (NIMS), An Introduction
- IS-800.B National Response Framework (NRF), An Introduction
  (formerly IS-800.A, National Response Plan, An Introduction)

Utility staff who may be trained to be a member of the Response Subcommittee need to complete:

- IS-630.Introduction to the Public Assistance Program
- IS-701.Multiagency Coordination Systems
- IS-703. NIMS Resource Management
- IS-706.NIMS Intrastate Mutual Aid - An Introduction

The training plan can include courses or instructions on how to complete the ILWARN Operational Plan documentation, including:

- Damage assessment
- Tracking and documenting expenses using existing utility accounting forms
- Reimbursement following local and state emergency agencies’ processes and procedures

The training plan can also include a review of key concepts to ensure the personal preparedness of responders from the requesting and responding utility. Each utility is responsible to ensure designated employees:

- Understand the ILWARN Agreement and its limitations
- Review the ILWARN Mutual Aid/Assistance Operational Plan
- Review the utility’s safety procedures and ERP

Exercises
ILWARN will periodically exercise its Operational Plan to validate the ability to execute and evaluate the plan. ILWARN may use a multi-year exercise plan to initiate a building-block approach in which training and exercise activities focus on specific capabilities in a cycle of escalating complexity. According to the U.S. Department of Homeland Security’s (DHS) Homeland Security Exercise and Evaluation Program (HSEEP), there are seven distinct types of exercises. This document discusses three types below.

5 For more information on U.S. DHS HSEEP, visit https://hseep.dhs.gov/
Tabletop Exercises
Tabletop Exercises, a type of discussion-based exercise, bring together key personnel to discuss hypothetical scenarios in an informal setting. ILWARN Member utilities can use this type of exercise to assess plans, policies, and procedures or to evaluate the systems needed to guide the prevention of, response to, and recovery from a defined incident. Tabletops typically aim at facilitating understanding of concepts, identifying strengths and shortcomings, and achieving changes in the approach to a particular situation. An exercise facilitator encourages participants to discuss issues in depth and develop decisions through slow-paced problem solving, rather than the rapid, spontaneous decision making that occurs under actual or simulated emergency conditions. The effectiveness of a tabletop is derived from the energetic involvement of participants and their consideration of recommended revisions to current policies, procedures, and plans. ILWARN may participate in independent, State, or local tabletop exercises.

Functional Exercises
A Functional Exercise is designed to evaluate and validate individual capabilities, multiple functions, activities within a function, or interdependent groups of functions. Functional exercises center on an exercise scenario with dynamic events that drive activity at the management level. A functional exercise simulates everyday operations in a functional area by presenting complex and realistic problems that require rapid and effective responses by trained personnel operating in a highly stressful, time-constrained environment. ILWARN may participate in independent, State, or local functional exercises.

Full-Scale Exercises
Full-Scale Exercises are multi-agency, multi-jurisdictional, multi-organizational exercises that validate many facets of preparedness. They include many players operating under cooperative systems such as an Incident Command System (ICS) to effectively and efficiently prevent, respond to, or initiate recovery from an incident. Full-scale exercises focus on implementing and analyzing the plans, policies, procedures, and cooperative agreements developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. In full-scale exercises, a highly realistic depiction of operations in multiple functional areas presents complex and realistic problems that require critical thinking, rapid problem solving, and effective responses by trained personnel. During full-scale exercises, facilitators’ project events through a scripted exercise scenario with built-in flexibility to allow updates that drive activity. The exercises play out in real time, creating a stressful, time-constrained environment that closely mirrors real-life events.

At a minimum, ILWARN plans for at least one tabletop exercise annually. Functional and full-scale exercises may occur periodically. In planning and conducting any type of exercise, ILWARN can engage IEMA and IEPA. Additionally, ILWARN may participate in independent, State, or local full-scale exercises.

Updates to the ILWARN Operational Plan
The ILWARN Steering Committee includes utility Members and Associate (non-utility) Members. IEMA, IEPA, water and wastewater sector associations, and local utilities may be included in the Steering Committee. The Steering Committee identifies representatives to serve on the Operations Subcommittee which is responsible to maintain this Operational Plan, including updates.

Following exercises and real events, an after action review is conducted. ILWARN Member utilities will be notified. Feedback will be collected by the Operations Subcommittee and consolidated into the Operational Plan as appropriate.
The ILWARN Steering Committee will approve appropriate changes to the MAA and the Operational Plan. The ILWARN Steering Committee is responsible to share with and educate utility and Associate Members on how to use the current or updated Operational Plan.

It is the utility and Associate Members’ responsibility to integrate this Operational Plan into their respective emergency response or emergency operations plans, and to make sure that the plan is integrated with other associated plans and operations. The ILWARN Steering Committee reviews and may revise the ILWARN Operational Plan after an event, after any changes in operations or resources, or after an exercise. The ILWARN Steering Committee communicates approved Operational Plan changes to ILWARN utility and Associate Members and those persons who are assigned roles within the plan.

**Using the Record of Changes Form**

The Operations Subcommittee reviews proposed changes to the Operational Plan and submits appropriate changes to the ILWARN Steering Committee for final approval. The ILWARN Steering Committee determines the process for distributing updates to utility and Associate Members. To notify Members of updates to the Operational Plan, the ILWARN Steering Committee distributes announcements of updates by using the “Record of Change” form attached at the beginning of the ILWARN Operational Plan. The ILWARN Steering Committee records any updates or changes to any part of this document.
SECTION 10: Attachments
Attached are supporting documents, checklists, and forms used in response to an emergency.
Attachment A: Requesting Utility Authorized Representative Checklist

Purpose: Track actions to request mutual aid and assistance.
Used By: Authorized Representative of a Utility that needs mutual aid/assistance.
Add’l Tools: Use with Attachment B, C, D, H, I and L.

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

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

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

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

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

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

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

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

☐ Contact neighboring utilities with which your utility has a local mutual aid/assistance agreement.

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

☐ As needed, identify a person at your utility to manage all incoming mutual aid/assistance. The Mutual Aid/Assistance Manager can use Attachment D, Mutual Aid/Assistance Checklist. Forward to city/county, neighboring utility or ILWARN Utility Member.

☐ If agreement on the availability and use of equipment or resources is reached, discuss cost estimate for mutual aid/assistance.

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

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

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

☐ During demobilization:
  - Collect names of mutual aid/assistance teams and supervisors
  - Send letter of thanks
  - Request input for After Action Report
  - Send copies of After Action Report
**Attachment B: ILWARN Emergency Notification**

**Purpose:** Provide written information regarding emergency, sense of urgency, and conditions.

**Used By:** Authorized Representative of a Utility that needs mutual aid/assistance.

**Add’l Tools:** Use with Attachment A, C and D.

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

<table>
<thead>
<tr>
<th>Incident</th>
</tr>
</thead>
<tbody>
<tr>
<td>Incident Date/Time:</td>
</tr>
<tr>
<td>Utility Name:</td>
</tr>
<tr>
<td>City and County:</td>
</tr>
<tr>
<td>Authorized Rep Name:</td>
</tr>
<tr>
<td>E-mail:</td>
</tr>
<tr>
<td>General Location:</td>
</tr>
</tbody>
</table>

**Declaration of Local Emergency made by local government: Yes or No**

If Yes, when and by whom:

**Type of Emergency (check all that apply)**

- [ ] Contamination
- [ ] Earthquake
- [ ] Fire
- [ ] Flood
- [ ] Explosion
- [ ] Ice Storm
- [ ] Tornado
- [ ] Other

**Damage (check all that apply)**

- [ ] Storage
- [ ] Treatment
- [ ] Waste Collection
- [ ] Other
- [ ] Water Supply
- [ ] Water Distribution System

**Describe Damage:**

**# of Customers Affected:**

**Operational Status:**

- [ ] Boil Water Notice/Advisory
- [ ] Do Not Use Notice/Advisory
- [ ] Do Not Drink/Advisory
- [ ] Not Operating
- [ ] Status Unknown

**Power Sources:**

- [ ] Power is operational
- [ ] Power is out
- [ ] Generator power

**Damage area:**

- [ ] Accessible
- [ ] Under water
- [ ] Inaccessible due to debris

**Communications Operating:**

- [ ] Landline
- [ ] Cell
- [ ] Satellite
- [ ] Radio (what band)

**Resources Needed for Repair:**

- [ ] Labor
- [ ] Mechanic
- [ ] Electrician
- [ ] Treatment
- [ ] Utility Management

**Materials**

**Resources**

**Preferred Resources Requested (Follow resource types in AWWA Resource Typing Manual):**

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

**Estimated Time Teams are Needed for Repairs:**

---

*Draft for Official Use Only – Do Not Cite, Circulate, or Copy*
<table>
<thead>
<tr>
<th>Approximate Date/Time Resources to Be Released:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staging Area Reporting Location (address):</td>
</tr>
<tr>
<td>Contact at Reporting Site Staging Area</td>
</tr>
<tr>
<td>Name:</td>
</tr>
<tr>
<td>Title:</td>
</tr>
<tr>
<td>Cell Phone:</td>
</tr>
<tr>
<td>Other Communications:</td>
</tr>
<tr>
<td>Form Completed By Authorized Rep:</td>
</tr>
<tr>
<td>Name:</td>
</tr>
<tr>
<td>Title:</td>
</tr>
<tr>
<td>Signature:</td>
</tr>
<tr>
<td>Phone Number:</td>
</tr>
<tr>
<td>Cell Phone:</td>
</tr>
</tbody>
</table>
Attachment C: Mutual Aid/Assistance Checklist

Purpose: Ensure review of relevant considerations for mutual aid/assistance resources and be prepared for deployment.

Used By: Authorized Representative of both requesting or responding Member Utility or staff appointed to coordinate incoming mutual aid/assistance resources.

Add’tl Tools: Use with Attachment A, B, H, I and L.

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

☐ Identify staging area and staging area manager for incoming utilities to report to.
  ○ Identify location outside the immediate impact area.
  ○ What is the address of the Staging Area?
  ○ Staging Area Manager Name:
  ○ Staging Area Manager Contact Information:
  ○ What access routes are open to the Staging Area?
    ▪ Interstate or other highway open? Yes____ No____
    ▪ Rail access? Yes____ No____
    ▪ Airport nearby? Yes____ No____
    ▪ Does structural or nonstructural debris block roadways or access? Yes____ No____
  ○ What utilities are operating at the Staging Area?
  ○ What communication links are operating at the Staging Area:
    ▪ Landline Yes____ No____
    ▪ Pay phone Yes____ No____
    ▪ Amateur radio Yes____ No____
    ▪ Normal utility radio Yes____ No____
    ▪ Other
o What vehicle repair services are available for heavy or light equipment?

- Does responding utility need to bring a mechanic, tools, equipment and supplies?    Yes____ No____

- Are tire repair services available?    Yes____ No____

- If not available at staging area, are commercial services available?    Yes____ No____

o Are fuel services available (gasoline and diesel)?    Yes____ No____

☑ Identify communications operability:

 o What phone systems are operational?
   - Landline    Yes____ No____
   - Cell Phone    Yes____ No____
   - Satellite Phone    Yes____ No____

- Does requesting utility have satellite phones to provide responding utility?    Yes____ No____

- Does requesting utility have local portable cell phone systems (temporary, mobile cellular systems)?    Yes____ No____

 o What radio systems are available?
   - What frequency does the requesting utility operate on?
     - Is requesting utility providing their radios to responding utility?    Yes____ No____

- If yes, are they going to be available at the Staging Area?

- If there are not enough radios to give to all responding utility staff, are there enough radios to give to the responding utility supervisors?    Yes____ No____
Does utility use amateur radio equipment for emergencies?  
Yes____ No____

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

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

Identify Care and Shelter arrangements:  
- Is water available for:  
  ▪ Drinking  
  Yes____ No____
- Bathing
  - Yes____ No____

- Sanitation
  - Yes____ No____
  - If no, is bottled water available, or do responders need to bring?

- What restroom or sanitation services are available near the worksite (and how far away)?
  - Are portable toilets in use at worksites? Yes____ No____

- What utility outages are affecting local hotels/restaurants?
  - Power  Natural Gas  Landline  Cell Phone  Utility Radio
  - None – all operational

- Are normal hotel/motel accommodations available? Yes____ No____
  - If yes:
    - Who is arranging for rooms? Requesting or Responding Utility
    - Who is paying for rooms? Requesting or Responding Utility
    - How far are the arrangements from the staging area?
    - How far are the arrangements from the work area?
  - If no:
    - Are fire base camps nearby? Yes____ No____
      - If yes, can utility staff use them?
      - If no, are contract services available through the county or state? (These services typically come with complete self-sustained operations.)
      - If no, should responding utility staff be self-sufficient and bring own items?
    - Has the requesting utility established temporary shelter operations on
utility grounds? Yes____ No____
  o If yes, can responding utility co-locate?
  
  • Is temporary shelter provided by another agency? Yes____ No____
    o If yes, what is the name of the agency (e.g. American Red Cross, faith based organization, etc.)
    o Where is it located (address):
      o Are the following services available at the temporary shelter:
        ▪ Restrooms: Yes____ No____
        ▪ Portable toilets: Yes____ No____
        ▪ Showers: Yes____ No____
        ▪ Beds or cots: Yes____ No____
        ▪ Bedding: Yes____ No____
        ▪ Laundry facilities: Yes____ No____
          • If no are they nearby?
          • Are they coin operated? Yes____ No____
  
  • If temporary shelter is not available does the responding utility need to bring own shelter (e.g. tents, campers, etc.)?
    o What area is available to camp?
    o How far is it from the staging area and work areas?
    o If yes, are the following items available and fully functional?
      ▪ Water Hook Up: Yes____ No____
      ▪ Power Hook Up: Yes____ No____
      ▪ Sewer Hook Up: Yes____ No____ If no, is a refuse dump nearby?
- Restrooms: Yes____ No____
- Portable toilets: Yes____ No____
- Showers: Yes____ No____
- Laundry facilities: Yes____ No____
  - If no are they nearby?
  - Are they coin operated? Yes____ No____
    - Are generators allowed at the campsite? Yes____ No____
  - Is fuel available? Yes____ No____
    - Is diesel available? Yes____ No____

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

- If grocery stores are available, what support services are available?
  - Cooking facilities with functional utilities? Yes____ No____
  - Refrigeration systems local to work site, staging area, or lodging? Yes____ No____
  - Ice deliveries in operation or available? Yes____ No____

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

☐ Identify employee safety measures:
  - What is the expected temperature and humidity?
    - Is special weather gear required? Yes____ No____
  - What personal protective equipment is needed beyond basic equipment (hard hat, safety vest, safety shoes, mud boots, work gloves, raingear and eye and ear protection)?
  - What additional exposures may responders encounter (e.g. significant odors, contamination, etc.)?
  - What personal inoculations should be considered?
    - Tetanus
    - Hepatitis A or B
    - Flu
    - Other ______, ______, ______
  - Are hospitals functional? Yes____ No____
o Are paramedic and/or ambulance services functional? Yes____ No____

o What is your injury claim process? Yes____ No____

o Are chainsaws required to provide response and repairs? Yes____ No____

o Are other debris clearance equipment or tools required? Yes____ No____

o How significant is the disaster to the public?
  ▪ Routine damage due to storm, flood, fire, or earthquake?
  ▪ Significant damage due to storm, flood, fire, or earthquake (e.g. many homes destroyed, off foundations, etc.)?
  ▪ Significant emotional impact due to loss of life or suffering?
  ▪ What is chance of finding human corpses?
  ▪ What is chance of finding significant numbers of dead livestock or pets?

o Are trained incident stress debriefing teams available? Yes____ No____

☐ Identify methods of documentation:
  o Requesting utility has electronic or hard copy means of tracking employee hours, materials used, and other documentation? Yes____ No____

  o Requesting utility has means to accept digital photography for documentation? Yes____ No____

  o Requesting utility optimizes use of ICS forms and documentation? Yes____ No____
Requesting utility has method to track costs for FEMA reimbursement?  
Yes____ No____

☐ Identify Reimbursement process:
  o Request Cost Estimate of responding resources prior to approving their deployment. 
    (See Attachment F for details.)

  o Approve or disapprove costs prior to requesting deployment.

  o Identify means for managing injury claims.

Name of Person Completing Checklist: ________________________________
Title of Person Completing Checklist: ________________________________
Date/Time: ________________________________________________________
Attachment D: Responding Utility Authorized Representative Checklist

Purpose: Track actions to deploy mutual aid/assistance.
Used By: Authorized Representative of a Responding Utility.
Add'l Tools: Use with Attachment C, D, F, H, I and L.
Instructions: Complete actions in this checklist and make notes in right-hand column.

☐ If notified of emergency prior to a request for assistance, contact the ILWARN Response Team if activated 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?
  ▪ Have curfews or other conditions been enforced by local government that might affect movement to and from worksites, feeding locations, and lodging?
  ▪ Determine resource type requirements, evaluate the following needs to select the appropriate resource typing team in the AWWA Resource Typing Manual:
    - Desirable personnel skills and certification
    - Resource type and capability
    - Determine appropriate materials to accompany the teams
  ▪ Estimate length of time aid/assistance is required
  ▪ Determine method of care and shelter for personnel and resources
    - Review Attachment D (Mutual Aid/Assistance Checklist) with Requesting Utility
• Confirm billing rates for use of personnel and equipment

  o Review types of resources needed, materials needed, number of teams needed, and skills required.
    • Identify equipment operation qualification requirements:
      – Security and storage of service vehicles and equipment
      – Identify reporting location
      – Identify Point of Contact at the location
      – Identify designated supervision methodology
      – Responsibility for equipment security
      – Procedures for returning equipment to requesting utility
      – Equipment transfer, inspection, and contact information
      – Licensing requirements for transport
      – Transportation and other equipment’s fuel considerations
      – Managing lost, damaged, destroyed, or stolen equipment

  o How long are teams needed? Is there need for "relief" teams for first set of teams?

  o How does sending teams affect your utility current operations?

☐ Review reimbursement expectations and process.

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

  o Notify elected officials.

☐ Review request to determine what aid/assistance the responding utility can provide. Confirm approval from utility management to provide aid/assistance.
Complete pre-deployment personnel activities.

- 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.)

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

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

- Identify teams for travel.

- Conduct review with teams. Review:
  - Level of disaster and impact on community to prepare teams emotionally
  - Conditions and potential for contamination and personal protective equipment needs
  - Logistics arrangement for care, shelter, feeding, etc.
  - Communication plan
  - Employee work rules
  - Medical considerations and needs for inoculation
  - Incident Command System (ICS)
  - Documentation protocols

Prepare resources for deployment:

- Inspect vehicles for travel and equipment use.
- Inventory and standardize stock of equipment and supplies on vehicles.
- Determine the need to send a mechanic with teams and equipment.
- Ensure emergency food and water is present on all vehicles.
- Ensure availability of first aid kits and other emergency supplies.

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

☐ Upon return:
  o Hold debriefing with the supervisors within seven days.
  o Hold debriefing with all teams within 14 days. Include General Manager or other appropriate staff.
    ▪ Identify lessons learned.
    ▪ Identify problems and successes.
    ▪ Review hours worked and efforts made.
    ▪ 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 E: Mutual Assistance Cost Estimate Development Spreadsheet

Purpose: Track costs associated with sending mutual aid/assistance.

Used By: Authorized Representative of a Responding Utility.

Addt’l Tools: Use with Attachment C, D and E.

Instructions: Identify resources costs associated with deploying assistance. Complete information requested by this form. The form is available in an Excel spreadsheet.
<table>
<thead>
<tr>
<th>Personnel (insert lines above subtotal as needed)</th>
<th>Position(s)</th>
<th>Regular Salary Hourly Rate</th>
<th>Fringe Benefit Hourly Rate</th>
<th># of Regular Hours worked per day</th>
<th>Overtime Salary Hourly Rate</th>
<th>Fringe Benefit Overtime Hourly Rate</th>
<th># of Overtime Hours Worked per day</th>
<th>Days on Mission</th>
<th>Total Daily Cost</th>
<th>Mission Cost</th>
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<tbody>
<tr>
<td>12</td>
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<thead>
<tr>
<th>Equipment (insert lines above subtotal as needed)</th>
<th>Item</th>
<th>Hourly Rate</th>
<th>No. of Hours</th>
<th>Total</th>
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<td>Subtotal:</td>
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<thead>
<tr>
<th>Commodities/Materials (insert lines above subtotal as needed)</th>
<th>Item</th>
<th>Unit Cost</th>
<th>Quantity</th>
<th>Total</th>
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<td>Subtotal:</td>
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<thead>
<tr>
<th>Other Costs (insert lines above subtotal as needed)</th>
<th>Item</th>
<th>Unit Cost</th>
<th>Quantity</th>
<th>Total</th>
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<td>Subtotal:</td>
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2. TRAVEL | Units | Description | Total |
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<tbody>
<tr>
<td>Lodging</td>
<td>$/person/night</td>
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<tr>
<td>Food</td>
<td>$/day/person</td>
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<tr>
<td>Personal Vehicle</td>
<td># miles x 0.0498/mile</td>
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</tr>
<tr>
<td>Government Vehicle</td>
<td># miles x 0.0498/mile</td>
<td></td>
</tr>
<tr>
<td>Rental Vehicle</td>
<td>applicable x duration</td>
<td></td>
</tr>
<tr>
<td>Air Travel</td>
<td>$/person/roundtrip</td>
<td></td>
</tr>
<tr>
<td>Other Travel</td>
<td>as necessary</td>
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<tr>
<td>Subtotal:</td>
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</table>

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 F: Staging Area Manager Checklist

Purpose: Track actions to request mutual aid/assistance.

Used By: Personnel assigned to coordinate the arrival of mutual aid/assistance at a remote location near the event.

Add’tl Tools: Use with Attachment B, C, D, H and I.

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

☐ Establish Staging Area:
  o Review this checklist to be sure you can address each item.
  o Identify communications ability.
  o Notify utility Emergency Operations Center (EOC) of site location and access.

☐ From the utility EOC, gather work assignments for incoming mutual aid/assistance.

☐ Collect map resources for work assignment areas:
  o Obtain GPS or other devices to help mutual aid/assistance resources locate repair locations if street signs are gone.

☐ Upon team arrival:
  o Notify EOC of team arrival.
  o Identify supervisor of incoming team.
  o Provide schedule of briefings for the supervisor with your utility supervisors.
  o Provide schedule of briefings for daily work assignments.
  o Provide information or resources to establish communication between the supervisor of incoming teams and supervisor of your utility.
  o Provide system maps and work assignments.
  o Review key standards your utility uses for pipe repairs, fittings, and distribution methods.
  o Identify critical equipment that may need to be used to complete the repairs.
  o Identify location for fuel, supplies, and parts.
o Where is contaminated soil (spoils) to be placed or relocated?

o Provide information and necessary forms required for documenting:
  ▪ Work hours
  ▪ Overtime
  ▪ Materials expenses
  ▪ Worksite repair information

o Provide contact list to supervisor for:
  ▪ Local services that are still available
  ▪ Where to report injuries
  ▪ Where to obtain emergency medical attention

☐ Maintain daily briefings with supervisor at start and end of the shift to:
  o Review progress
  o Evaluate remaining work
  o Complete documentation

☐ Report findings to the EOC daily.
**Attachment G: Incident Briefing**

**Purpose:** Daily use in briefing with mutual aid/assistance resources to keep them adequately informed of conditions. Adapted from ICS 201 form.

**Used By:** Authorized Representative of a Requesting Utility, Mutual Aid/Assistance Manager, Staging Area Manager and Mutual Aid/Assistance Team Leaders.

**Add’t Tools:** Use with Attachment A, D, G, I, J and L.

**Instructions:** Follow instructions from IS-300 course. Complete as much as possible of the form.

### INCIDENT BRIEFING

<table>
<thead>
<tr>
<th>1. Incident Name</th>
<th>2. Date</th>
<th>3. Time</th>
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<table>
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<tr>
<th>4. Map / Sketch</th>
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<tr>
<th>5. Current Organization</th>
</tr>
</thead>
</table>

```
Incident Commander

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

Planning

Operations

Logistics

Finance

Air

Air Operations
Air Support
Air Attack
Air Tanker Coord
Helicopter Coord

Div. ___________________  Div. ___________________  Div. ___________________  Div. ___________________
```

6. Prepared by [Name and Position]
### 6. Resources Summary

<table>
<thead>
<tr>
<th>Resources Ordered</th>
<th>Resource Identification</th>
<th>ETA</th>
<th>On Scene</th>
<th>Location/Assignment</th>
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<tbody>
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### 7. Summary of Current Actions


Page _ of _
**Attachment H: Incident Objectives**

**Purpose:** Daily use in briefing with mutual aid/assistance resources to keep them adequately informed of conditions. Adapted from ICS 202 form.

**Used By:** Authorized Representative of a Requesting Utility, Mutual Aid/Assistance Manager, Staging Area Manager and Mutual Aid/Assistance Team Leaders.

**Add’l Tools:** Use with Attachment A, D, G, H, J and L.

**Instructions:** Follow instructions from IS-300 course. Complete as much as possible of the form.

<table>
<thead>
<tr>
<th>INCIDENT OBJECTIVES</th>
<th>1. Incident Name</th>
<th>2. Date</th>
<th>3. Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>4. Operational Period</td>
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<tr>
<td>5. General Control Objectives for the Incident (include alternatives)</td>
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<tr>
<td>6. Weather Forecast for Period</td>
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<tr>
<td>7. General Safety Message</td>
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</tbody>
</table>

8. Attachments (mark if attached)

- [ ] Organization List - ICS 203
- [ ] Medical Plan - ICS 206
- [ ] (Other)
- [ ] Div. Assignment Lists - ICS 204
- [ ] Incident Map
- [ ] Communications Plan - ICS 205
- [ ] Traffic Plan

9. Prepared by (Planning Section Chief) 10. Approved by (Incident Commander)
Attachment I: ILWARN Response Team Member Checklist

Purpose: Track actions of trained Utility Member staff to operate as a ILWARN Response Team.

Used By: Trained Utility Members staff who will act as part of the ILWARN Response Team.

Add’tl Tools: Use with Attachment H, I and L.

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

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

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

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

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

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

STARTUP ACTIVITIES:

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

☐ Check in with the ILWARN Response Subcommittee Representative 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 ICS 200, 201, and 202 for critical contact information;

☐ Review or open and maintain an Activity Log (see Attachment L). At a minimum, the Activity 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.

☐ Contact utilities in affected areas to determine situation and any assistance that may be required;
Alert the ILWARN Response Subcommittee Representative of emerging issues or concerns you perceive as “sensitive”; 

Keep all related status boards up-to-date;

Coordinate with the ILWARN Response Subcommittee Representative regarding your shift commitment and assist in identifying Utility Representatives to relieve you at the end of your shift;

Provide comprehensive shift turnover briefing; and

As questions arise contact the ILWARN Response Subcommittee Representative for direction.

GENERAL ACTIVITIES:
Support the ILWARN Response Subcommittee Representative by providing specific utility knowledge and sector representation by doing the following activities:

Provide regular updates to the ILWARN Response Subcommittee Representative with significant changes in utilities’ status;

Contact and receive calls from utilities in affected areas of the emergency regarding damages to services/infrastructure;

Determine utility-specific resource and/or information needs;

Maintain logs, Status Boards, and prepare Status Reports;

Identify:
  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.

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

Communicate utility damage information and restoration priorities between government agencies and utilities, as necessary;
- Ensure regular updates to the ILWARN Response Subcommittee Representative on restoration concerns;

- Assist with inter-utility response coordination;

- Facilitate utility mutual aid/assistance as necessary/requested;

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

- Through the ILWARN Response Subcommittee Representative, provide utility Status Reports and special needs requests as indicated; and

- Perform additional duties to support the utility sector as requested by the ILWARN Response Subcommittee Representative

  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 ILWARN Response Subcommittee Representative 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.

STAND DOWN ACTIVITIES:
☐ Under direction of the ILWARN Response Subcommittee Representative to “stand down,” prepare a situation status report about the utilities you represent, including estimated outages, restoration and damages;

☐ Provide briefing to the ILWARN Response Subcommittee Representative;

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

☐ Sign out.

SHUT DOWN ACTIVITIES:
☐ Under direction of the ILWARN Response Subcommittee Representative 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: ILWARN Request Summary Sheet**

**Purpose:** Track requests for mutual aid/assistance.

**Used By:** ILWARN Response Team Members if activated.

**Add’l Tools:** Use with Attachment H, I, J, and L.

**Instructions:** After receiving a copy of Attachment C from the requesting utility, assign a number to each request in column 1. In column 2 put name of utility requesting aid. In column 3 summarize resource needs. In column 4 put name of responding utility. In column 5 put estimated time of arrival of responding resources and in column 6 put the time they left. Put estimated cost of this deployment in last column.

<table>
<thead>
<tr>
<th>Date/Time</th>
<th>Requesting Utility</th>
<th>Need Summary</th>
<th>Responding Utility</th>
<th>ETA</th>
<th>Estimated Deployment Time</th>
<th>Estimated Costs</th>
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**All Times – Local 24 Hour Clock**
**Attachment K: Activity Log**

**Purpose:** Track actions to request mutual aid/assistance. Adapted from ICS 214 form.

**Used By:** All people involved with requesting or sending mutual aid/assistance.

**Add'l Tools:** Use with Attachment A, D, E, G and J.

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

### ILWARN Coordination Activity Log

<table>
<thead>
<tr>
<th>1. Incident Name</th>
<th>2. Date Prepared</th>
<th>3. Time Prepared</th>
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<tbody>
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<thead>
<tr>
<th>4. Unit Name/Designators</th>
<th>5. Unit Leader (Name and Position)</th>
<th>6. Operational Period</th>
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#### 7. Personnel Roster Assigned

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<tr>
<th>Name</th>
<th>Response Team Position</th>
<th>Home Utility</th>
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#### 8. Activity Log

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<th>Time</th>
<th>Major Activity</th>
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9. Prepared by (Name and Position)

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**All Times – Local 24 Hour Clock**
**Attachment L: Resource Matching Form**

**Purpose:** Track requests for mutual aid/assistance.

**Used By:** Responding utility completes information and forwards the Requesting ILWARN member and ILWARN Response Team if activated.

**Add’l Tools:** Use with Attachment H, I, J, K, and L.

**Instructions:** After receiving a copy of Attachment C from the requesting utility, complete first box on left with name of utility and type of need by checking the appropriate box. In box 1 note the name of the incident. In box 2 identify where check-in location has been set up. In box 3 insert date/time. In box 4, insert the type of resources supplied by responding utilities, what resource type the responding utility is providing, and the name of the responding utility. (This form can list multiple responding utilities helpful one requesting utility). In box 5 place the order request number from Attachment C. Box 6-8 tracks critical information of the deployed resource, put in appropriate info. In box 9 indicate if the deployed team has a detailed manifest. Box 10 insert overall weight of deployed resource. In box 11 indicate home base (may be different than name of the utility.) Box 12 insert location from where they will leave. Box 13 insert the type of travel they are expected to take. Note which assignment the resource is assigned in box 14 and special qualifications in box 15.

<table>
<thead>
<tr>
<th>Requesting Utility Name:</th>
<th>1. Incident Name</th>
<th>2. Check-In Location (complete all that apply)</th>
<th>3. Date/Time</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>[ ] Base</td>
<td>[ ] Camp</td>
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Check-In Information

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<tbody>
<tr>
<td>Team</td>
<td>Single</td>
<td>Kind</td>
<td>Type</td>
<td>Home Utility/Name</td>
<td>Order/Request Number</td>
<td>Date/Time Check-In</td>
<td>Leader’s Name</td>
<td>Total No. Personnel</td>
</tr>
</tbody>
</table>

Page #

17. Prepared by (Name and Position) Use back for remarks or comments

---

*Draft for Official Use Only – Do Not Cite, Circulate, or Copy*
Attachment M: State Emergency Operations Center/ILWARN Response Coordination Site

Purpose: Track requests for mutual aid/assistance.
Used By: ILWARN Response Team Members if activated.
Add’l Tools: Use with Attachment J.
Instructions: Use the following information to locate housing and feeding locations during your re-location to the pre-designated site as part of the ILWARN Response Team if activated.

State Operations Center (SOC)

Closest Airport: Springfield Airport
Address: 2200 South Dirksen Parkway
         Springfield, Illinois 62703
Phone number: (217)782-2700

Figure 2: State Operations Center Location
Local Hotels Addresses and Phone Numbers:
Enter Springfield Hotels

Local Restaurants and Eateries:
Enter Springfield Restaurants
Alternate Location

Figure 3: Randolf EOC

Figure 4: Randolf EOC Location
Attachment N: AWWA Resource Typing Manual

Insert a copy of the AWWA Resource Typing Manual here.