



Airport-to-Airport Mutual Aid Programs

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AIRPORT COOPERATIVE RESEARCH PROGRAM

ACRP REPORT 73

**Airport-to-Airport
Mutual Aid Programs**

IEM, Inc.

Research Triangle Park, NC

IN ASSOCIATION WITH

SMITH-WOOLWINE ASSOCIATES, INC.

Floyd, VA

TRANSOLUTIONS, LLC

Fort Worth, TX

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AIRPORT COOPERATIVE RESEARCH PROGRAM

Airports are vital national resources. They serve a key role in transportation of people and goods and in regional, national, and international commerce. They are where the nation's aviation system connects with other modes of transportation and where federal responsibility for managing and regulating air traffic operations intersects with the role of state and local governments that own and operate most airports. Research is necessary to solve common operating problems, to adapt appropriate new technologies from other industries, and to introduce innovations into the airport industry. The Airport Cooperative Research Program (ACRP) serves as one of the principal means by which the airport industry can develop innovative near-term solutions to meet demands placed on it.

The need for ACRP was identified in *TRB Special Report 272: Airport Research Needs: Cooperative Solutions* in 2003, based on a study sponsored by the Federal Aviation Administration (FAA). The ACRP carries out applied research on problems that are shared by airport operating agencies and are not being adequately addressed by existing federal research programs. It is modeled after the successful National Cooperative Highway Research Program and Transit Cooperative Research Program. The ACRP undertakes research and other technical activities in a variety of airport subject areas, including design, construction, maintenance, operations, safety, security, policy, planning, human resources, and administration. The ACRP provides a forum where airport operators can cooperatively address common operational problems.

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FOREWORD

By **Marci A. Greenberger**

Staff Officer

Transportation Research Board

ACRP Report 73: Airport-to-Airport Mutual Aid Programs is a guidebook that will assist individuals at airports who would like to enter into formal or informal mutual aid agreements with other airports in the event of a community-wide disaster (e.g., hurricane, earthquakes) that requires support and assistance beyond their own capabilities. The guidebook describes the benefits that an airport-to-airport mutual aid program (MAP) can provide. It outlines the different considerations when setting up an airport-to-airport MAP and has many examples, including examples from other industries.

Airports are already familiar with entering into mutual aid agreements with their community mutual aid partners, but in the event of a community-wide disaster even first responders can be overwhelmed. An airport is an important asset in a community, one that can be a catalyst for community recovery. During a community-wide disaster, other airports in the region can help by providing exactly the right type of assets and human resources to assist in meeting operating requirements.

Two organizations have been created to provide such resources in the event of such a disaster: the Southeastern Airports Disaster Operations Group (SEADOG) and the Western Airports Disaster Operations Group (WESTDOG). These organizations came about as a way for airports to assist other airports in their region. Innovative Emergency Management (IEM), as a part of ACRP Project 04-10 “Airport-to-Airport Mutual Aid Programs,” looked at WESTDOG, SEADOG, and other industries to identify best practices as they relate to organizational structure and the logistical, financial, and legal considerations that apply to an airport-to-airport MAP.

The research completed by the IEM team suggests that the region and size of an airport-to-airport MAP is only a function of those who participate; whether it’s only two airports, comprises all of the intrastate airports, or is a geographic area that comprises many states, the fundamental considerations remain the same. Individuals who are seeking to establish an airport-to-airport MAP now have a resource to help guide them through the process.



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Note: Many of the photographs, figures, and tables in this report have been converted from color to grayscale for printing. The electronic version of the report (posted on the Web at www.trb.org) retains the color versions.


S U M M A R Y

Airport-to-Airport Mutual Aid Programs

In an effort to effectively pool resources during emergencies, airport operators have historically entered into mutual aid agreements with local fire departments and law enforcement agencies. They also occasionally rely on airport operator associations in their respective states for assistance in fulfilling informal mutual aid requests when emergency use of airport-specific equipment and specialized personnel are required. However, challenges arise when widespread disasters, such as earthquakes and hurricanes, occur because airports may not be first in line for receiving mutual aid assets. For example, what happens if there is a major disaster that affects numerous airports and informal mutual aid is unavailable? Municipal and private non-aviation industries, such as electric power, water/wastewater, and public works, have experienced major disasters that have disrupted their operations; consequently, these industries have developed formal, well-organized mutual aid programs at the state, regional, and national level to ensure that utility services are renewed as quickly and efficiently as possible following an emergency. Airport operators and managers can develop similar programs and thus alleviate many of the problems experienced in a severe emergency or major disaster. Even if an airport is not directly affected by a major incident, that airport's operations may be stressed as a result of having to divert aircraft or accommodate the arrival of large-scale federal logistical aircraft supporting a regional disaster.

There are two regional aviation organizations that assist with airport mutual aid, Western Airports Disaster Operations Group (WESTDOG) and Southeast Airports Disaster Operations Group (SEADOG), as well as a few state-level organizations and multi-airport authorities. Under ACRP Project 04-10, a research team has investigated the mutual aid program concept and developed this Guidebook for airport practitioners that

- Explains the benefits of a formal mutual aid program;
- Identifies the obstacles in gaining interest from potential members;
- Gives steps to implement and sustain a program;
- Suggests possibilities for funding a mutual aid program;
- Resolves liability and reimbursement issues and addresses other potential issues; and
- Provides best practices/lessons learned from mutual aid programs used by non-aviation industries that can be implemented in an airport-to-airport mutual aid program at the regional and/or national level.

To get an idea of the aviation community's interest in developing regional and/or national mutual aid programs, airport operators/managers and representatives from more than 70 airports, state emergency management offices, state aviation directors, aviation associations, federal agencies, and non-aviation organizations were interviewed. Case studies were also performed to gain a greater depth of understanding of the requirements, processes, and restrictions that airport operators would like to see implemented in a mutual aid program.

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Discussions with the airport operators led to the identification of common requirements that should be considered when creating a mutual aid program. The following are the recommended fundamental characteristics, in descending order of perceived importance:

1. Voluntary participation,
2. Limited to aviation functions,
3. Continued control by receiving airport,
4. No impact on the operational effectiveness of the responding airport,
5. Restoration of operations at the affected airport as quickly as possible after an emergency,
6. Effective communications, and
7. Precise matching of need and aid.

Many of the benefits of a mutual aid program were also discussed. Member airports have common equipment and specialized personnel available to assist and can provide quick response to requests to allow timely return to normal operations. The program can be flexible enough in design to satisfy the members while also being formal enough to satisfy liability and reimbursement concerns. Finally, a mutual aid program can be cost-effective, an important feature during times of budget constraints.

Utility and public works organizations already have effective state, regional, and national mutual aid programs in place. Four statewide and three national entities were examined in an effort to correlate their programs to airport-to-airport mutual aid programs. Many of the organizations that were researched expressed the difficulties they encountered in connection with convincing similar entities in the industry to join a state or national program. To increase mutual aid awareness and membership, leaders of the mutual aid organizations used various forms of education at conferences; website and social media efforts; newspaper, journal, and video publicity; and roving teams.

All of the non-aviation mutual aid organizations that were researched had formal mutual aid agreements in place that required individual members to obtain approval from the sponsoring municipalities and private corporations. These written agreements spelled out liability issues and reimbursement procedures.

Non-aviation, state-level mutual aid organizations were structured around committees of volunteer leaders of their respective industries with liaison support from their states' emergency management offices and respective department agencies.

Mutual aid programs sponsored at the national level are commonly administered by a director in an office typically located in the association's emergency management policies division. The director is actively involved in helping develop and promote state-level mutual aid programs and can serve as a facilitator between federal agencies and regions or states affected by a large-scale disaster event, when requested. The director also has close ties with the National Emergency Management Association (NEMA), which administers the Emergency Management Assistance Compact (EMAC) program, the Federal Emergency Management Agency (FEMA), and federally related regulatory agencies.

In order to have a successful airport-to-airport mutual aid program, the airport leadership, as well as local government officials, must have a strong conviction that the program is important. It only takes a few airport operators who are interested in mutual aid to plant the seed for a program to be implemented. These airport operators then have to sell the program to relevant municipalities. Having a good relationship with the municipal emergency manager is a strong benefit in promoting the creation of a program.

In starting a mutual aid program, the interested parties have to develop the purpose and scope. The purpose statement defines the goals of the proposed program and the scope sets

the general requirements, boundaries, and restrictions. Key stakeholders, such as the airlines, security, federal agency representatives, state aviation agencies, airport owner associations, and community leaders, should be identified. With input from the key stakeholders, an organizational charter, document, or plan is finalized to include the functional structure of the members of the program. A charter would be a formal written agreement that has been ratified by the members of the mutual aid program.

As noted earlier, there are two established regional airport mutual aid organizations. This Guidebook explains the operations of WESTDOG and SEADOG and goes further to explore the creation of new regional groups or expansion of the current groups. Ideas for a national mutual aid program are also presented.

The final chapters of the Guidebook give detailed steps relating to operating and maintaining a mutual aid program. These chapters are geared toward established members, either in the requesting role or responding role, and provide direction for preparedness actions; pre-deployment, execution, and post-deployment activities; and resolution of liability issues. The characteristics and procedures of the program coordinator are elaborated upon to include the coordinator's functions during the request, response, execution, and post-activities phases.

In conclusion, airport operators and owners can definitely benefit from establishing or joining airport mutual aid programs. This Guidebook, together with best practices of established non-aviation mutual aid programs, can help facilitate the process. The emergency management culture at the local, state, and national level has strongly professed the importance of mutual aid programs. It is time for airport operators to do the same.



Introduction

Municipal and private utilities and public works departments have, for several decades, depended on mutual aid during times of emergency and large-scale disasters. What originally started with informal “handshake” agreements between local governments has evolved into very large, well-organized mutual aid programs that have proven their worth in response to large-scale disasters such as hurricanes, tornados, wild fires, floods, and winter storms. In the wake of disaster, consumers and citizens expect their electric power, water, and wastewater to be restored quickly and debris to be removed from streets and highways as fast as possible. Without established mutual aid programs, individual utilities and public works entities would not be able to field all the equipment and skilled supervisors and workers necessary to get services restored in a timely manner.

Airports provide an indispensable service to travelers and businesses. Whether it is a commercial airport or a strictly general aviation (GA) one, the local community is deeply affected when the servicing airport is shut down during a disaster. Travelers are forced to make other arrangements, and the local economy may suffer. Getting the airport operational is a high priority, but if the airport has sustained extensive equipment damage and the airport’s personnel cannot get to work, significant recovery delays may ensue. An airport operator may be limited by the availability of resources from the local municipality or nearby airports if the disaster is widespread. However, if the airport operator is part of a consortium of other airports—near and distant—and prearranged mutual aid agreements are in place, the ability to get the airport operating again in a timely fashion is significantly increased.

ACRP Report 73: Airport-to-Airport Mutual Aid Programs (Guidebook) was written to help airport operators and managers establish and sustain multi-airport mutual aid programs at the state, regional, and/or national level. Whether the airport is large or small, municipal or privately owned, a solid mutual aid program will benefit all. Some airports have traditionally relied on the state airport operator associations or similar entities for informal mutual aid, but a well-organized mutual aid program promotes the four phases of an emergency management program: mitigation, preparedness, response, and recovery. These four phases are the basis of the National Incident Management System (NIMS) as developed by the Federal Emergency Management Agency (FEMA).

Airports regularly perform emergency exercises and are familiar with working with their local community mutual aid organizations in responding to airport emergencies. However, when it comes to community-wide disasters (e.g., hurricanes and earthquakes) that adversely affect airport operations, airports may not be the first priority in the deployment of mutual aid assets. The general concept is that outside aid cannot be expected to reach communities sooner than 72 hours after a disaster, yet airports that have been damaged may urgently need to be restored to become operational again, enable the arrival of outside aid, and enable the evacuation of affected populations.

This Guidebook is built upon research and interviews conducted with more than 100 representatives of airport management, aviation associations, state emergency management offices, state aviation offices, non-aviation entities, and federal agencies. The research looked at existing regional airport-to-airport mutual aid groups and well-established utility and public works mutual aid organizations. From the best practices and lessons learned, this Guidebook explains how to establish a mutual aid program, develop an organizational structure, and contend with liability and reimbursement issues through sustaining an airport-to-airport mutual aid program.

Airports are excellent resources for other airports during disasters in that they have the exact type of assets and knowledgeable human resources to assist in the unique operating requirements of airport systems. Two grassroots organizations have been created to provide these resources: the Southeast Airports Disaster Operations Group (SEADOG) and the Western Airports Disaster Operations Group (WESTDOG), known collectively as the disaster operations groups (DOGs). The DOGs serve as a mechanism to assist affected airports and to coordinate with airports seeking to provide assistance, much in the same way that utility companies provide for each other. Since 2004, these organizations have shown their capability to deliver aid effectively and much more quickly than the 72-hour planning threshold for general aid.

Airports are interested in participating in such groups, but financial, legal, and logistical hurdles have made them hesitant to make formal commitments. With other industries having resolved or worked within these constraints, further research is needed to help airports develop and implement airport-to-airport mutual aid programs.

In response to these issues, research into airport-to-airport mutual aid programs was conducted under ACRP Project 04-10, which resulted in the development of this Guidebook.

Goals of the Project

Guidebook

An airport-to-airport mutual aid program guidebook should

- Be useful to airports in developing and implementing airport-to-airport mutual aid programs;
- Include the benefits to an airport from participating in an airport-to-airport mutual aid program;
- Present lessons learned from existing airport-to-airport mutual aid programs and non-aviation mutual aid programs;
- Present best management practices for developing and implementing airport-to-airport mutual aid programs;
- Recommend organizational structures for airport-to-airport mutual aid programs;
- Define roles and responsibilities within airport-to-airport mutual aid programs;
- Present best practices to obtain an Emergency Management Assistance Compact (EMAC) mission number;
- Specify procedures and forms required to obtain timely reimbursement under different circumstances;
- Propose communication protocols;
- Provide guidance on how airport operators can best plan to work with a mutual aid group during the planning, assessment, response, and recovery phases as a recipient of mutual aid and as a provider;
- Give specific guidance on how airport operators can best coordinate airport-to-airport mutual aid program activities with federal and state agencies relating to an event;

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- Propose strategies for promoting and initiating this concept regionally and nationally;
- Provide tools to evaluate needs at the recipient airport;
- Propose tools or procedures to conduct a post-event feedback mechanism for the responding mutual aid programs;
- Identify considerations for airports receiving assistance from an airport-to-airport mutual aid program, including identification and/or credentialing;
- Propose a process that mutual aid programs can follow to ensure continuity and readiness between events;
- Provide a sample mutual aid agreement that can be used for intrastate agreements; and
- Give a glossary of relevant acronyms.

Study Methods

Three primary methods were used to develop the Guidebook: a literature review; interviews with airports, state aviation offices, state emergency management agencies, and state airport operators associations; and four case studies.

Interviews

The list of desired interviews was devised to include commercial airports of all types and sizes from all regions of the country. Every airport that sent aid through SEADOG or directly in response to the hurricanes in 2005 was included, as were representative airports from WESTDOG. In addition, airports in the regions of the country that do not have an existing airport-to-airport mutual aid program and airports in the WESTDOG region that did not join WESTDOG were included in order to provide data on why an airport might have chosen not to join an airport-to-airport mutual aid program. The airports that participated in interviews are listed in Table 1 by National Plan of Integrated Airport Systems (NPIAS) category and region.

Case Studies

Four case studies were completed to probe and extend ideas found during the literature review and interviews.

Case Study 1—SEADOG and WESTDOG

The first case study examined the history, structure, functions, communications systems, administrative procedures, and lessons learned of the two existing regional airport-to-airport mutual aid programs.

Case Study 2—Colorado Aviation Recovery Support Team (CARST)

The second case study addressed the history, structure, training requirements, functions, communications systems, administrative procedures, and lessons learned of the only existing intrastate airport-to-airport mutual aid program.

Case Study 3—Miami-Centered Mutual Aid Programs

The third case study examined one-on-one mutual aid arrangements in non-disaster cases, indirect support provided by Miami International Airport to the Haiti earthquake response in 2010, and whether a sister airports program (a world-wide program of Airports Council International (ACI) that pairs airports in different countries primarily for purposes of marketing and route development) could support an international airport-to-airport mutual aid program. The case study's workshop focused on the relationships among all parties during the repair and

Table 1. Airports on the interview list.

	Southeast	West	Midwest	New England	Mid-Atlantic	Other
Large Hub	ATL ^a	LAS	DTW	BOS	JFK	YYC
	DCA ^b	PHX	MSP		PHL	
	DFW	SAN				
	IAD ^b					
	IAH ^c					
MCO						
Medium Hub	HOU ^c	ABQ	MCI			
	JAX	PDX				
	MEM	RNO				
	MSY					
	PBI					
SAT						
Small Hub	CHS	COS	SGF	MHT		
	GPT	FAT				
	PNS					
	SAV					
Non-Hub Primary	AGS	SUN				
	BPT					
	BQK					
	LCH					
	MLB					
MOB						
General Aviation		APA				

^a See Appendix O for titles of airports designated in Table 1 with three-letter airport codes.

^b Metropolitan Washington Airports Authority.

^c Houston Airport System airports.

reopening of an airport—Port-au-Prince—following a disaster that affected a region and also directly affected the airport. Not only did the case study workshop look at such relationships and the staging of aid, it also examined roles that some stakeholders might someday play in regional, national, and international airport-to-airport mutual aid programs.

Case Study 4—Utilities and Public Works Mutual Aid Programs

The fourth case study looked at non-airport mutual aid programs in the fields of utilities and public works. The primary focus was on public works in communities in New Hampshire.



CHAPTER 1

Airport-to-Airport Mutual Aid—Needs and Benefits

Airport-to-airport mutual aid can serve important functions when an airport is affected by a natural or manmade disaster. The exact type of assistance required depends on the nature of the incident, its effects on the airport, and the phase of the disaster. A disaster can strike an airport directly and create the need to assist the local staff in reopening the airport—doing whatever is needed to make the airport operational again. A disaster can strike an airport indirectly by increasing the traffic or changing the nature of the traffic so that more skilled airport workers are needed. An airport may be affected indirectly by a disaster that requires the airport’s employees to take care of their families and homes or prevents or delays employees from being able to report to work. Specialized help may be needed during the immediate response to a disaster or for a longer term during recovery.

Airports Know Airports

Many factors make airport-to-airport mutual aid an attractive solution for a range of situations that may confront airports in emergencies and disasters. These factors have been implemented and proven effective in actual mutual aid applications, but future developments could enhance the attractiveness of airport-to-airport mutual aid programs as a solution.

Features That Make Airport-to-Airport Mutual Aid Attractive

The most important feature of any airport-to-airport mutual aid program will be its delivery of expert, experienced assistance to address specific situations. An airport, no matter what size and type, is a complex operation with many interconnected parts and functions. Some functions can be performed, supplemented, backfilled, or even replaced by people with non-aviation experience. Two examples are fence repair and structural firefighting. However, airports have many operational, management, security, safety, maintenance, and financial functions that require unique airport-specific qualifications and experience. This dictates the requirement that any outside entity providing aid must have the right kinds of specific knowledge and qualifications. Individuals from other airports can bring current knowledge of the specialized regulatory requirements and how to work with federal agencies and airlines. The best source for assistance with these airport specialties in a disaster is volunteers from another airport.

In addition to professional knowledge and experience, volunteers from other airports will have appropriate security clearances for access to secure areas of a damaged airport; use of non-airport personnel could involve waiting for security clearances to be granted to them. The use of properly cleared people for assistance can simplify the sanitizing of the secure areas of an airport in order to reopen it.

Similarly, airports use highly specialized equipment and parts that may be more quickly obtained from another airport than from a dealer or manufacturer.

Timeliness

A second important factor of airport-to-airport mutual aid is timeliness. Although the national standard for the delivery of outside assistance is within 72 hours of a disaster, assistance through airport-to-airport mutual aid can be delivered much more quickly, as was demonstrated in the cases of Hurricanes Katrina and Rita in 2005. Quick assistance to a damaged airport is particularly important because the airport is likely to become the focal point for incoming aid and outgoing evacuees from a disaster zone.

Cost-Effectiveness

A third important factor of airport-to-airport mutual aid is cost. Airport-to-airport mutual aid should normally be the most cost-effective way to provide specialized aid to a damaged airport. Airport managers are highly aware of all business aspects of airport operations and are respectful of the need to control costs, even in a disaster.

Professional Growth Opportunities

A fourth reason for participating in airport-to-airport mutual aid is the opportunities it gives younger airport personnel to gain real-world experience in types of incidents that they have never encountered before. A mutual aid mission will broaden the knowledge base and skill set of anyone who participates. These individuals can apply that knowledge to future incidents and contribute to an entity's response and recovery.

Flexibility in Program Design

Another benefit to using airport-to-airport mutual aid is the flexibility in program design. Mutual aid programs can be organized in different ways, with different criteria for membership, and to serve the specific purposes and needs of the airports involved. Airport managers are the likeliest people to design effective programs.

Needs for Airport-to-Airport Mutual Aid

Rare Needs

Airports, especially U.S. commercial airports, rarely need outside assistance. Traditionally, they have sought to be self-sufficient. By law and regulation, airports are required to be staffed and equipped to deal with all likely aircraft, structural fire, law enforcement, and security incidents. Modern airport certification manuals, airport emergency plans (AEPs), and airport security programs (ASPs) include detailed policies and procedures for complying with such requirements. In general, the larger the airport, the more self-sufficient it is. Smaller airports may need aid more often, but they are expected to face smaller or fewer incidents. Smaller airports also, in general, have closer working relationships with their communities, which helps aid flow between the airport and community more easily.

Urgent Needs

Despite the requirements and tradition of airports being self-sufficient, situations can arise when an airport needs aid. These situations fall into several categories, which are described in the following six need categories:

- Category 1. A situation within the airport can grow too large for the airport to handle with its internal resources. Traditional local aid partnerships will usually be activated to fill this need.
- Category 2. A situation within the airport can extend beyond the airport's footprint into the surrounding community. An example is a power outage that requires the evacuation of a terminal. Another example is an instance of stranded passengers needing shelter. In both of these examples, traditional local aid partnerships, perhaps with ad hoc supplements, would serve.
- Category 3. A natural or manmade disaster could damage or obstruct the airport or access to its employees to the extent that outside expert aid is required to return the airport to service. This is the arena in which an airport-to-airport mutual aid program can be most useful.
- Category 4. A regional disaster that does not damage the airport can put extraordinary operational demands or unusual types of service demands on an airport, and this exceeds the capabilities of the local staff, at least on a prolonged basis. This, too, is an arena in which airport-to-airport mutual aid can be useful.
- Category 5. An aviation disaster at an airport or in its vicinity can have serious effects in terms of recovery after the response phase is over. Certain specialized services, such as grief counseling and public affairs, which are not generally present at an airport or in local government, may be needed. An example of this is the recovery period after a crash at a small airport, a period that might extend for years with anniversary remembrances. This is an arena in which specialized airport-to-airport mutual aid can be useful.
- Category 6. An essential piece of equipment may go down, putting an airport below index for aircraft rescue and fire fighting (ARFF) capabilities or otherwise restricting operational capabilities. Other examples of this are airport environment lighting outages or aircraft refueling vehicles that may be down for major maintenance. This is an arena in which airport-to-airport mutual aid could facilitate the rapid loan of needed equipment or parts.

Historical Examples

In 2001, a charter flight crashed at Aspen-Pitkin County Airport, resulting in multiple fatalities. The response phase was straightforward and was over within 48 hours. However, the recovery efforts relating to and involving victims' families, responders, the community, and the airport took much longer, continuing into 2011—10 years later. A lack of expertise in dealing with the long-term consequences of aviation accidents and recovery from them was revealed and led to the formation of CARST. CARST consists of airport managers who have experienced a crash and are able to provide planning, liaison, and operational assistance as a NIMS/ Incident Command System (ICS) structure moves from response to recovery. This falls under Need Category 5.

During Hurricanes Katrina and Rita in 2005, the airports in SEADOG, with assistance from airports across the United States, rendered direct staffing and equipment aid for Need Categories 3 and 6.

During Hurricane Ike in 2008, SEADOG supported Jack Brooks Regional Airport in Beaumont-Port Arthur, Texas, when that airport served as the coordination site and main base for search and rescue. The extreme operational demands on that airport were partially met by skilled airport professionals coordinated by SEADOG. This is an example of Need Category 4.

In New England, the commercial airports have an informal ARFF equipment interchange to help each other maintain index despite occasional equipment outages. This is an example of Need Category 6.

Need Categories 1 and 2 have little reason to involve airport-to-airport mutual aid programs.

Barriers to Assessing Needs

Airports are very efficient at planning for normal operations. They are also very efficient at planning and preparing for aviation accidents and most types of security incidents. However, most airports have difficulty in conducting realistic risk assessments, not only for low-frequency, high-consequence types of incidents, but also for regional disasters that would put unusual demands on an airport. The inland airports of the Gulf Coast never imagined the operational stresses that Hurricanes Katrina and Rita would impose on them.

Assistance with Rare and High-Consequence Events

As has already been implied in this chapter, volunteers provided through airport-to-airport mutual aid programs can assist an airport that suddenly faces the reality of a rare, high-consequence disaster or operational situation for which it did not have adequate plans or staffing. Airport-to-airport mutual aid volunteers can share lessons learned. This is the premise behind CARST, but it could apply to any type of rare, extreme situation.

Long-Term Sharing of Experience

Airport-to-airport mutual aid programs can be the vehicle for gathering, analyzing, and disseminating (or assisting in the dissemination of) lessons learned and best management practices for airports experiencing disasters and extreme operational situations. Although the historical emphasis in SEADOG, WESTDOG, and CARST has been on current expertise, an airport-to-airport mutual aid program would, by its nature, consist of airport experts who could examine and refine after-action reports, lessons learned, and best management practices.

Benefits of Airport-to-Airport Mutual Aid

Basic Benefits

Airport-to-airport mutual aid programs serve primarily to sustain airport operations in unusual situations such as disasters. As such, airport-to-airport mutual aid should be viewed as a powerful continuity of business (COB) and continuity of operations (COOP) tool. Airport COOP is essential in disasters for the following reasons:

- Without adequate airport operational capacity, incoming aid cannot reach an affected area.
- Without adequate airport operational capacity, evacuations and medical evacuations cannot occur effectively and expeditiously.
- Without adequate airport operational capacity, search and rescue (SAR) and urban search and rescue (USAR) cannot occur effectively and expeditiously.

Since airport COOP is very sensitive to staffing availability and fatigue, it must take into account human factors as well as physical facilities. Airport-to-airport mutual aid programs can assist with reconstituting the physical capabilities of an airport, bolstering the operational capabilities of the airport's staff, and providing specialized skills or expert knowledge that the airport may never have experienced or developed. An effective airport-to-airport mutual aid

program can maintain staffing through supplementing local staff or backfilling during heightened operational tempo, and this will contribute to the safe functioning of the airport. The mutual aid can also enhance the protection of life and property at a damaged airport.

Airport COB is an extension of COOP in that COOP is essential to the response phase of emergency management, while airport COB is essential to the well-being and economic recovery of the region. Although the business model underlying COB may be temporarily changed by the needs of disaster response, an airport and its region will want to restore normal commercial operations at the earliest possible time. Therefore, whatever an airport-to-airport mutual aid program can do to allow an airport to quickly resume normal operations will benefit airlines, passengers, and business in general.

Other Benefits

Participation in an airport-to-airport mutual aid program has other benefits, some of which are gained by the receiving airport, some of which are gained by the sending airport, and some of which are gained by all airports involved in the airport-to-airport mutual aid program.

Being an active part of an airport-to-airport mutual aid program can be viewed as a trust and goodwill insurance policy. Giving mutual aid goes beyond the hospitality and cooperation that most airports exhibit and is a likely source of encouragement for other airports to provide help in a time of need. SEADOG and WESTDOG were born from this philosophy, but willingness to send aid goes beyond this. Airports that do not foresee having an airport-to-airport mutual aid program in their own region sent aid during the hurricanes in 2005, even though they do not anticipate that they will face similar disasters for which they would require aid from other airports.

A second benefit to implementing an airport-to-airport mutual aid program is that it enhances the preparedness of all participating airports at a lower cost than if every airport tried to build in an independent level of self-sufficient redundancy. Being able to call for specialized help in disasters can lower the size of staff and the inventories of specialized equipment at airports—at least at airports sharing the same perceived hazard(s).

A third benefit is one that is inclusive of the national aviation system. A hub airport that commits to an airport-to-airport mutual aid program can help its feeder airports by protecting or helping to restore their COOP and COB, thereby mitigating disruptions at the hub. Thus, the entire national aviation system benefits from the actions of an airport-to-airport mutual aid program at the most seriously affected nodes of the system. In this way, airport-to-airport mutual aid is a means of enhancing the protection and resilience of the national aviation critical infrastructure.

A fourth benefit is that an airport-to-airport mutual aid program can be a powerful filter, evaluator, and disseminator of lessons learned and best management practices. If skilled airport personnel from a number of different airports share the same disaster response or recovery experience at one or several airports affected by a disaster, it is likely to result in a holistic set of lessons learned with highly credible observers and analysts behind them. Such lessons learned can be produced in near real-time if the airport-to-airport mutual aid program's communications system is set up to record events, actions, outcomes, and consequences.

A fifth benefit to implementing airport-to-airport mutual aid programs involves the contributions that the members of mutual aid teams can make after returning to their home airports. Everyone who has responded to a disaster at another airport has reported returning home to his or her own airport with greater experience and knowledge, and senior managers at these airports

report significant operational and emergency preparedness benefits attributable to such mutual aid team members.

Who Benefits

Exactly who benefits from an airport-to-airport mutual aid program depends on the functional purposes of the program. For the widespread regional airport-to-airport mutual aid programs (e.g., SEADOG and WESTDOG), the beneficiaries include the following (see also Figure 1):

- The affected airport;
- The staff of the affected airport;
- The families of the staff at the affected airport;
- Evacuees who use the airport after the disaster or even before the disaster under some arrangements;
- Incoming responders and relief agencies after the disaster;
- The volunteers from other airports;
- The citizens of the affected community who receive assistance through the airport;
- SAR and USAR units;
- Airlines;
- Passengers;
- Freight and cargo shippers and recipients;
- Employees of airport-dependent businesses and institutions;
- Citizens and taxpayers of the affected community and region;
- Other airports, especially hubs connected to the affected airport; and
- The National Airspace System (NAS) and aviation critical infrastructure.

A specialized airport-to-airport mutual aid program that is focused on recovery (e.g., CARST) would have a somewhat different list of beneficiaries. Its primary beneficiaries would be crash survivors, victims’ families, witnesses, and the affected community (first responders and local government leaders). Most of the beneficiaries listed in Figure 1 would benefit during the response

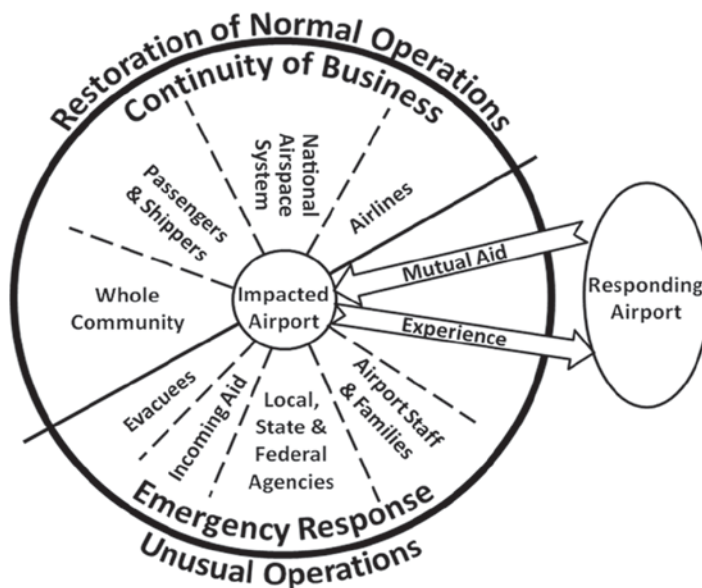


Figure 1. Regional airport-to-airport mutual aid program beneficiaries.

phase from local responders—not from skilled personnel from an airport-to-airport mutual aid program. However, a specialized airport-to-airport mutual aid program (e.g., the New England ARFF equipment interchange) would protect the benefits of the same list of beneficiaries as the widespread regional airport-to-airport mutual aid programs, just on a shorter timeframe.

For all types of airport-to-airport mutual aid programs, the volunteers from other airports benefit from being exposed to an incident that is perhaps novel in type or severity.

The Match of Needs and Benefits

All of the factors discussed above combine to make airport-to-airport mutual aid highly attractive as a voluntary activity. Airports are integral parts of many different communities, but airport-to-airport mutual aid is fostered by the hospitality and cooperation that is characteristic of regional and national airport communities. Nonetheless, airport-to-airport mutual aid is not a cure-all. Its usefulness and success will depend on careful definition of the mission of the mutual aid program and on properly matching its organization and tools to the carefully defined mission. Expectations of airport-to-airport mutual aid programs must be kept in mind and managed carefully. Dealing with these issues from the earliest stages of interest in forming an airport-to-airport mutual aid program is essential. This does not preclude subsequent expansion into other missions, but it will help protect a newly formed airport-to-airport mutual aid program from overreaching and failing.

The next three chapters of this Guidebook illustrate various existing models for matching needs and benefits and examine the theoretical relative strengths of various types of airport-to-airport mutual aid programs for specific functions. Chapter 2 examines existing airport-to-airport mutual aid programs. Chapter 3 describes and analyzes comparable mutual aid programs from electrical utilities and public works. Chapter 4 analyzes the usefulness of various types of airport-to-airport mutual aid programs for specific functions and attempts to make the case for the importance of a strongly defined mission restricted to disasters.

Existing Organizations

Types of Existing Airport-to-Airport Mutual Aid Programs

Airport-to-airport mutual aid programs exist in many forms, some of which have not generally been recognized as airport-to-airport mutual aid programs. The following are basic categories of airport-to-airport mutual aid programs:

- One-on-one partnerships
- Single-owner multiple airports
- Nearby multiple airports
- Intrastate
- Concentrated, regional interstate
- Widespread, regional interstate
- National
- International

One-on-One Partnerships between Airports

Several examples of one-on-one mutual aid partnerships were identified during the research project. One is the command-and-control facility sharing work between Louis Armstrong New Orleans International Airport (MSY) and Dallas-Ft.Worth International Airport (DFW). Subsequent to Hurricane Katrina, DFW and MSY worked together to develop an operational protocol by which MSY could be managed by MSY managers working from DFW's operations center in Texas rather than at MSY. The concept has been fully exercised once.

Miami International Airport (MIA) has a number of one-on-one partnerships; however, they are for security procedures, not for disaster response.

Most U.S. airports—certainly the larger ones—have sister airports elsewhere in the world. For example, MIA has sister airports in Brazil's Infraero Southeast Region, São Paulo (Brazil), Antigua and Barbuda (V.C. Bird International Airport), Lagos, Nigeria (Murtala Muhammed International Airport), Lima (Peru), and Valencia (Spain). An examination of the potential for basing airport-to-airport mutual aid on a sister airport pair led to the conclusion that the sister airports program is an unlikely basis for a mutual aid program.

Single-Owner Multiple Airports

Many U.S. airports—both commercial and GA—belong to multi-airport systems. Examples include Chicago, the Port Authority of New York and New Jersey, the Houston Airport System, the Metropolitan Washington Airports Authority, Los Angeles World Airports, Massport, the Miami-Dade Aviation Department, the Greater Orlando Aviation Authority, and the Jackson

Municipal Airport Authority. Multi-airport systems may consist of various combinations of commercial, reliever, and GA airports. Most of these entities engage in some form of mutual aid among their properties in emergencies and disasters, but the extent of the mutual aid is rarely optimized.

Nearby Multiple Airports

If “nearby” is defined as within approximately 50 miles, no examples of this category of airport-to-airport mutual aid program were found. There are examples of mutual aid occurring during weather diversions among the South Florida airports, but weather diversions fall under normal operations—not disasters. Some areas (e.g., Southern California, the Bay Area, and Chicago-Milwaukee) show no evidence of planned mutual aid arrangements for disasters; however, some closely situated airports cooperate in larger categories and would benefit from mutual aid through that mechanism.

Intrastate

Two intrastate airport-to-airport mutual aid programs were identified, and both owed at least part of their existence to efforts by the state aviation office. In Colorado, CARST serves to give immediate and long-term operational, planning, and liaison support to local airports and communities that experience an aircraft accident. CARST volunteers must have extensive airport management experience, as well as experience in response and recovery for at least one aircraft accident. CARST was implemented as a joint project of the Colorado Airport Operators Association (CAOA) and the Colorado Division of Aeronautics. The functions of CARST and its sequence are depicted in Figure 2.

In Louisiana, there is a statewide effort to place emergency generators at commercial and GA airports using state aviation funds. There is an informal arrangement that the generators can be lent to airports in need.

Concentrated, Regional Interstate

One example was found for a concentrated, regional interstate mutual aid program: the informal ARFF equipment-sharing pool in New England. The commercial airports in New England have

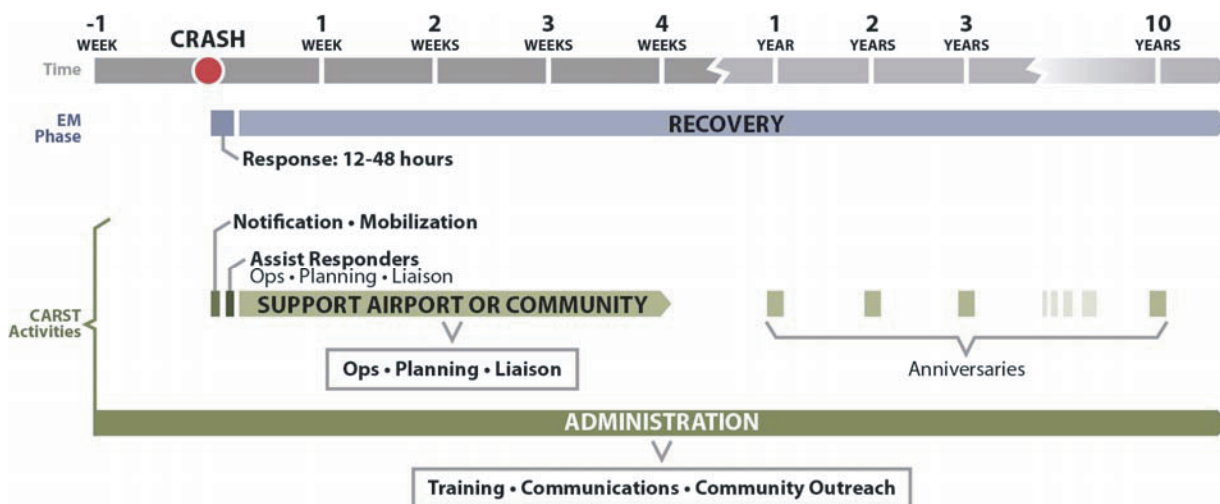


Figure 2. CARST timeline.

historically helped each other when a loan of ARFF equipment is needed (such as during instances in which the equipment necessary to maintain index is damaged, undergoing maintenance, or being reconditioned). The system could also work for a special event that requires a temporary raised index. There is no formal organization, and equipment loans are arranged directly by ARFF chiefs and their deputies.

Widespread, Regional Interstate

Two airport-to-airport mutual aid programs fall into the category of widespread, regional interstate mutual aid programs, SEADOG and WESTDOG, which came into existence in 2004 and 2007, respectively. Although the two DOGs have organizational differences, they both offer the same range of expert volunteers and equipment loans to an airport that has a disaster-related need.

SEADOG and its participating airports and airports from other parts of the country responded to hurricanes in 2005 and 2008, and SEADOG has gone to alert status for every hurricane since 2005 that has approached the U.S. coast. SEADOG's primary communications tools have been e-mails and the Federal Aviation Administration (FAA) Bridgeline, and this has now been extended by a dedicated website (<http://seadogops.wordpress.com/>). Specific aid coordinated through SEADOG has included airport managers; operations specialists; electricians; heat, ventilating, and air conditioning (HVAC) technicians; generators; portable lighting systems; and fuel trucks. SEADOG has also disseminated information that helped volunteering airports obtain EMAC mission numbers and reimbursement. SEADOG does not have a written procedures manual. Savannah/Hilton Head International Airport has led coordination since SEADOG's inception, but has had major assistance from other airports of all sizes that have served as specialized assistant coordinators for geographic areas, ARFF, and law enforcement. There are no dues or fees required to be a member; all funding comes from services conducted at the individual participating airports.

WESTDOG has not yet had a full response to a disaster in its region, but it went on alert for the fires in San Diego County in 2007 when smoke threatened airport operations and fire-fighting operations put unusual stress on local airports. SEADOG joined the alert for the fires. The main organizational differences between WESTDOG and SEADOG are that WESTDOG has formal membership and scheduled, rotating, coordinator and assistant coordinator duties among the larger airports in the region. This characteristic of WESTDOG seeks to leverage the larger staff and financial resources of the large airports, whereas SEADOG achieves the same goal by distributing coordinator and sub-coordinator duties among several airports in a wider range of sizes. WESTDOG has a written procedures manual (reproduced as Appendix B to this Guidebook) and its own dedicated website (<http://faithgroup.sharepointsite.com/WESTDOG>), which requires a username and password for access. WESTDOG also has a public website at <http://westdogairports.com/>.

Both WESTDOG and SEADOG often schedule progress review and mutual education sessions at American Association of Airport Executives (AAAE) and Airports Council International-North America (ACI-NA) meetings and conventions. WESTDOG also has periodic—usually annual—coordination meetings at the coordinator's airport.

SEADOG and WESTDOG have been successful because of the high level of commitment by airport senior management and by skilled airport employees who have volunteered for the aid missions. Based on the experiences during Hurricanes Katrina and Rita and organizational evolution since then, the intended operations and functions, and sequences thereof, are represented by the timeline in Figure 3.

18 Airport-to-Airport Mutual Aid Programs

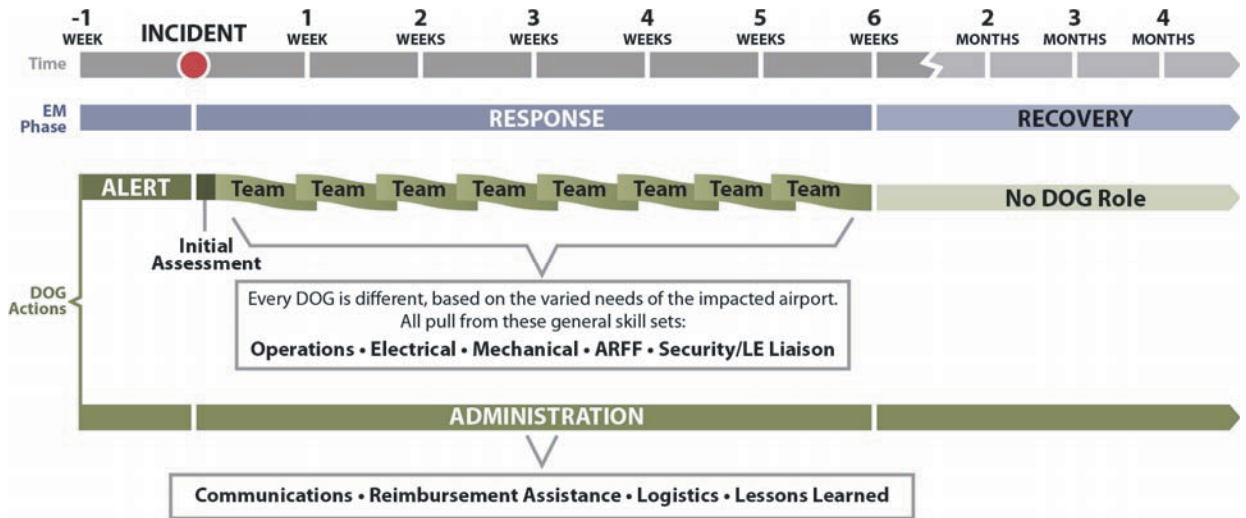


Figure 3. DOG response timeline.

National

No national airport-to-airport mutual aid program currently exists.

International

No international airport-to-airport mutual aid program currently exists.

Characteristics of Existing Airport-to-Airport Mutual Aid Programs

Existing airport-to-airport mutual aid programs share the following fundamental characteristics, which are listed in descending order of importance:

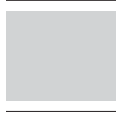
- Voluntary participation;
- Limited to aviation functions;
- Continued control by receiving airport;
- No impact to the operational effectiveness of the volunteering airport;
- Restoration of operations at the affected airport as quickly as possible;
- Effective communications; and
- Precise matching of need and aid.

Functions of Existing Airport-to-Airport Mutual Aid Programs

Existing airport-to-airport mutual aid programs provide services in a number of functional areas and situations, and the specifics depend on the type and mission of the program. These existing functions have been documented through a literature review, airport interviews, and case studies. Findings are summarized in Table 2.

Table 2. Functions of existing airport-to-airport mutual aid programs.

Typical Categories of Aid	Type of Airport-to-Airport Mutual Aid Program							
	One-on-One Partnership	Single-Owner Multi-Airport	Nearby Multiple Airports	Intrastate	Interstate			International
Concentrated Regional					Widespread Regional	National		
Functions during Disasters								
Matching needs and resources	X	X		X		X		
Event management/common operating picture		X				X		
Rapid engineering assessment						X		
Liaison to state emergency operations center (EOC)								
Airport management replacement								
Operational supplement						X		
Operational backfill						X		
Maintenance and repair						X		
Electrical						X		
Information technology (IT)		X						
Communications						X		
HVAC						X		
Jetways/Airstairs								
ARFF equipment			X	X	X	X		
Fuel systems		X	X	X		X		
Security								
Law enforcement		X				X		
Emergency generator				X	X	X		
Emergency or temporary lighting					X	X		
Debris removal								
Functions during Emergencies								
Post-disaster planning and liaison		X		X		X		
Regional disaster recovery				X				
Backup EOC	X				X			
Backup operations center	X				X	X		
Functions during Non-Disasters								
Snow clearance			X	X	X			
ARFF equipment					X			
Aircraft recovery equipment	X	X	X					
Shelter management								
Sharing lessons learned		X	X		X	X		
Special events		X						
Peer review		X					X	
Exercise observers		X					X	



CHAPTER 3

Non-Aviation Mutual Aid Programs

Introduction

Every state exhibits examples of public- and private-sector power generation and water/wastewater, as well as public works entities that have formed successful mutual aid programs at the local, intrastate, and/or interstate level. These well-established entities have crafted mutual aid organizational charters (a charter in this context is a written agreement that has been ratified by the members of the mutual aid program and contains at least the mission statement and organizational structure of the program), time-tested standards of operations and procedures, functional organization hierarchy, and numerous best practices and lessons learned concerning initiating, funding, operating, and sustaining mutual aid programs. Many of the intrastate mutual aid programs are granted the authority to operate under state legislation that details such matters as liability, reimbursement rates, and public-private sector cooperation. An example of this type of legislation, which is the basis for mutual aid for public works in New Hampshire, is reproduced as Appendix C to this Guidebook.

During the development of this Guidebook, research was performed on the following non-aviation entities with intrastate mutual aid programs:

- New Hampshire Public Works (NHPW)
- Missouri Public Utility Alliance (MPUA)
- Kansas Electric Cooperatives (KEC)
- Iowa Association of Municipal Utilities (IAMU)

Additionally, the following interstate mutual aid programs were researched:

- American Public Power Association (APPA)
- American Public Works Association (APWA)
- American Water Works Association (AWWA)

Many characteristics of the respective mutual aid programs of these seven non-aviation organizations, as well as best practices and lessons learned, can be directly applied to airport-to-airport mutual aid programs.

The Intrastate Mutual Aid Program Committee

At the intrastate level, it was observed that the mutual aid program committees were typically composed of eight to ten members, all of whom were volunteers who also functioned as department heads in their respective individual municipal utilities. Most of the committees tried to draw membership from large and small entities while promoting geographical diversity. Administrative staffing was supplied by the head organization sponsoring the mutual aid program or through a

cooperative agreement with another organization. A state emergency management agency representative and a state industry-related department director (e.g., Department of Public Works) representative were requested to act as liaisons with some of the committees. On average, each committee met twice a year, either at a permanent location or at locations rotated among the committee members' jurisdictions in an effort to share the expenses incurred in connection with the meetings and transportation to the meetings.

There are several roles and responsibilities that were found to be common among all of the committees. The highest priority was promoting membership in the mutual aid program within the state. The ways in which membership was promoted are discussed later in this chapter. Other common roles of the committees include the following:

- Provide training for members of the mutual aid program and organize practice exercises,
- Liaise with the state emergency management agency during statewide or regional exercises,
- Disseminate public information on the program,
- Update resource allocation lists and general members contact lists,
- Locate funding opportunities,
- Resolve conflict between general members,
- Develop and maintain the program's standard operating procedures/guidelines, and
- Collect and archive lessons learned.

Some of the mutual aid committees played an active role during events requiring mutual aid, while other committees only participated if members making requests for mutual aid could not contact or reach a providing aid member. Those mutual aid committees playing an active role during the execution of the program became the program's facilitators. The typical committee had three to four members who could be reached 24 hours a day, on a rotating basis, and who were ready to receive calls or e-mails from entities requesting mutual aid. The facilitator would validate the initial request, ensuring that there was no confusion with regard to what resources were being requested and the timeframe for when they were needed. The requesting entity would send a follow-up, formal, written request. The facilitator would then distribute the request to all the member entities of the mutual aid program and facilitate coordination between the providing entity and the requesting entity. Once the providing entity and requesting entity agreed on the resources required, the providing entity would then typically send a formal list of resources to be dispatched. Once the coordination was finished, the committee member would return to the role of waiting to facilitate possible future requests. After the response event was finished, the committees commonly gathered information for after-action reports (AARs) and lessons learned and then disseminated them to the general membership.

Interstate Mutual Aid Program Offices

At the interstate level, the associations promoted mutual aid awareness and development of mutual aid programs, which are usually administered from a director's office under the emergency management policy division. The director's main focus is the promotion of intrastate mutual aid programs and understanding the procedures for state-to-state mutual aid. Directors advocate for intrastate mutual aid programs through education, by writing articles in trade journals, and by maintaining a library of mutual aid reference material that can be accessed via the Internet. Some offices are also involved in facilitating mutual aid workshops.

The associations' mutual aid program directors have strong relationships with the National Emergency Management Association (NEMA), which is responsible for administering the EMAC program between the states. When EMAC requests are made by the state, NEMA's mutual aid program office has the contact information (at the state level) for possible mutual aid resources.

The associations have a government affairs office, which interacts with the U.S. Congress and industry-related federal departments and regulatory agencies. Information gathered by the government affairs office that might affect mutual aid programs is forwarded to the mutual aid program office for dissemination among the membership.

Development of the Mutual Aid Program Concept

Many utility mutual aid programs came into existence after organizations suffered hardships from major natural disasters that overwhelmed their own resources. Hurricanes, floods, and large ice/snow storms have at times caused a tremendous amount of damage to utility companies' infrastructure. Overwhelmed by the need for additional resources that could not be received—even through informal mutual aid agreements—the utility industry quickly realized, from lessons learned, that a formal mutual aid program at the state level, with backup from the national level, was sorely needed.

There are numerous mature, formal mutual aid programs in place within the utilities community throughout the United States. Many of these organizations have kept their historical reference on the creation of their mutual aid programs and describe what tactics they used to overcome the obstacles in starting a mutual aid program. These tactics can be helpful to airport operators when creating a local, statewide, or larger mutual aid program.

The First Step

Having a “how-to” manual or plan for starting, executing, and sustaining a mutual aid program solves the largest obstacle in creating a mutual aid program. For example, AWWA published a very detailed manual, *Utilities Helping Utilities: An Action Plan for Mutual Aid and Assistance Networks for Water and Wastewater Utilities*, which aids utilities in establishing mutual aid programs. This manual is reproduced as Appendix G to this Guidebook. The plan and accompanying checklist set forth in this manual discuss the formation of a steering committee, pre-event support, response protocols, mutual aid and assistance agreements, facilitation tools, and program maintenance. Because of the general nature of the language and concepts presented in this manual, its content is accessible to readers who are not utility professionals. Taken together, *Utilities Helping Utilities* and the WESTDOG manual (Appendix B to this Guidebook) provide much useful information for those seeking to develop airport-to-airport mutual aid programs.

Overcoming Obstacles

At the state level, many of the non-aviation entities with intrastate mutual aid programs have encountered obstacles in forming a mutual aid program and attracting membership. Program founders had to sell the idea of forming a mutual aid program to municipal leaders who were reluctant to approve the formation of a mutual aid program due to funding, liability, and reimbursement issues. Program founders were able to sway local governments by showing the benefits of already established mutual aid programs in other sections of the country and defining, through state legislation and formal written agreements, procedures to resolve potential liability and reimbursement issues. The program founders also relied on state and local emergency management agencies as well as the associated state department agencies to convince state and municipal leaders to accept the new mutual aid programs.

Program funding was another issue to resolve. Many of the programs were able to secure financial grant assistance through their respective state emergency management agencies and received

additional funding through related national associations and by charging membership dues. Because the committee members were volunteers, funding went toward promotional material, educational aids, website design, and supplies.

Initial founders and current programs have had difficulty recruiting skeptical non-members. In addition to the previously mentioned issues associated with funding and liability, the non-member organizations were concerned that they were too small to provide aid or were so large that they would be continually asked to provide aid. Other concerns included regional cultural differences and a “go-it-alone” attitude—believing that, with help within their municipality, they could cope with a disaster. Initial founders and leaders of the mutual aid organizations used various forms of education at conferences; website and social media efforts; newspaper, journal, and video publicity; and roving teams to discuss the programs with peers and the leadership of the participating municipalities to overcome reluctant non-members’ concerns.

The interstate mutual aid organizations did not have readily available information on the obstacles encountered during the formation of their mutual aid programs. These organizations did, however, indicate that the obstacles encountered by the intrastate programs were very similar to those encountered in their own, interstate, effort to promote mutual aid programs in various states. The interstate mutual aid organizations used education, publicity, and workshops in an attempt to overcome membership obstacles.

Standard Operating Procedures

After the mutual aid organization’s charter has been approved and leadership in the mutual aid program has been established, the next major step is to develop a standard operating procedure (SOP)—sometimes called an operational plan. The SOP should establish the following in writing:

- Roles, responsibilities, and functional procedures of the committee and its leadership;
- Membership criteria;
- Steps to create/update member resource lists;
- Responsibilities of the membership before an incident, pre-activation, deployment, execution, post-deployment, and after conclusion of the incident;
- Communications protocols;
- Liability and reimbursement;
- Conflict resolution procedures; and
- Standardized forms, agreements, checklists, etc.

Execution of the Mutual Aid Program

The nature of the emergency or disaster dictates the urgency of the pre-activation phase of the mutual aid plan. If sufficient notice of an impending event is given (e.g., hurricanes or large-scale ice/snow events), the mutual aid committee sends out advisories to its members (as well as non-members, as appropriate) within the state to update resource lists and contact information and to prepare for mutual aid requests. During sudden disaster events, such as a widespread tornado outbreak or damaging wind event, the committee can only rely on resource and contact lists on hand. The organizations stressed that it is very important to update the contact list frequently.

As damage assessments are made and members determine the need for mutual aid, the common practice is for the requesting agency to first contact its municipal leadership and associated emergency manager. After obtaining approval to proceed from the local government, the

requesting agency either contacts the mutual aid committee's point of contact (POC) or directly contacts possible response members, dependent on the program's SOP.

Several of the researched committees used a rotating system for POCs. The contact "tree" consisted of four to five committee members listed in such a way to ensure contact could be made. Some organizations have a telephone system that operates by automatically transferring the call to the first individual in the "tree." If that individual does not respond, the system dials the next individual, and so on, until contact is made.

The requesting member should have a detailed list of requested equipment and skill sets of personnel along with a general timeframe for arrival and release of the resources. The verbal request should be followed by a standardized form containing the same information. An example of a requester's checklist and letter can be found in Appendix D and Appendix E of this Guidebook and at the New Hampshire Public Works Mutual Aid Program's (NHPWMAF's) website: <http://www.t2.unh.edu/ma/>.

Members responding to requests should first inform their government leadership for approval purposes and then respond to the mutual aid committee's POC or directly to the requesting member. All verbal responses should be followed up with a standardized form. A sample form can be found on the website referenced above.

The responding member should appoint a supervisor to oversee the team(s) and equipment being sent. The requesting member should provide the following information to the responding member: the location for aid, POC information, communication protocols, and responder housing and food arrangements, which will be given to the supervisor. The supervisor, team(s), and equipment remain under the authority of the responding organization and can be recalled at any time by the responding organization. It is important for responding members to notify requesting members in the event that they plan to recall their personnel and equipment; they should also give the requesting member as much time as possible to find replacements.

The deploying supervisor should contact the requesting member's POC to review any details of the response operation. One of the supervisor's most important duties is to keep track of all payroll hours, lodging and food expenses, fuel costs, equipment-use time costs, etc. The supervisor should also retain associated receipts and share the information with both the requesting and responding members' financial offices. The supervisor should frequently be in contact with his or her responding member's leadership and provide situation reports (SITREPs).

It is advisable for the requesting organization to provide a liaison to the responding team to facilitate understanding of the overall situation; duties of the responders; communications protocols; safety briefings; location of lodging, food, and sanitation facilities; and any other pertinent information. The supervisor should relay information about any restrictions the team or equipment may be operating under.

After completion of the event or upon recall, the supervisor should prepare the team and equipment and lead the redeployment effort. The decision to leave any equipment behind should be approved by the responding member's leadership in coordination with the requesting member. The supervisor should leave a copy of all tracked expenses and corresponding paperwork with the requesting member. The supervisor should receive an outbrief that includes a performance appraisal and lessons learned.

The mutual aid committee should facilitate an after-action meeting with the requesting and responding members. A written report should be compiled for a historical archive and should also be used to update the SOP. The committee commonly posts the AAR and any subsequent lessons learned on a website to be viewed by the members.

Sustaining a Mutual Aid Program

There could be periods of time when a mutual aid program is not used due to a lack of emergencies or disasters. The researched organizations admitted that such a lack of operational use of the mutual aid program could cause corporate memory loss due to leadership attrition, SOPs becoming outdated, and general apathy and lack of commitment to the program. State- and national-level organizations have successfully sustained their mutual aid programs through periodic involvement in local, state, and national exercises as well as continuing education opportunities. Lessons learned from previous events are incorporated into the exercises. Although a state or region may go several years between activations of its mutual aid program, lessons learned and best practices from other regions that have experienced disasters can be disseminated through a continuing education program.

Conclusion

Established state and national non-aviation mutual aid programs can provide references and best practices to help in creating, operating, and sustaining an airport-to-airport mutual aid program. The researched organizations were pleased to hear of the potential efforts of airports to adopt similar organizational structures and are prepared to help.



CHAPTER 4

Mutual Aid Expectations

Importance of Expectations for Program Design

There is no point in trying to create an airport-to-airport mutual aid program that will not work, and the single most important factor in the beginning is for the founders to have a clear sense of the mission and how the elements of the program will match the mission. A good match will promote the program in its early stages and help sustain it during and between activations. It is important to look at the key expectations for an airport-to-airport mutual aid program. This chapter most directly applies to intrastate, regional, and national programs, but each expectation should also be considered in the other categories of programs described in Table 2 and Chapter 2 of this Guidebook.

Key Expectations

Control of an Affected Airport Receiving Aid

All airport-to-airport mutual aid must be based on the notion of the affected airport's manager retaining full control. If he or she is unable to exercise control, that airport's succession plan should operate to keep control local. All incoming volunteers must remember that they are present to assist and supplement, not to take control. They must respect local cultures and procedures. Incoming volunteers should be prepared to plug into the receiving airport's organization in ways that are appropriate to that airport and to the nature of the disaster.

Strong Support from Airport Senior Management and Owners

For an effective and stable airport-to-airport mutual aid program to form and thrive, there must be strong support from airport senior management and the airport owners (e.g., cities, counties, states, and authorities). This support is essential not only in the exploratory and formative phases, but also in the sustaining and activation phases. Such necessary tools as relationships with local emergency management agencies and EOCs, standing budget authorizations, and ready-to-use contracts and agreements require the support of well-informed and willing senior managers.

Aviation-Related Aid

Airport-to-airport mutual aid should be limited to aviation-related functions. An affected airport should be able to get aid for non-aviation functions from other sources—either through local or state (e.g., the National Guard) sources. Bringing in airport experts should happen when the assistance from such volunteers is necessary to reopen the airport or to maintain its operations during unusual operations relating to a regional disaster or incident.

Disaster-Related Aid

Mutual aid should only be requested and sent in connection with disasters. Exceptions could be made for equipment outages that affect airport index and for very large scheduled events that will put extraordinary operational stress on an airport. The main reason for this is that most airports are under heavy pressure to control costs, which means very lean staffing and thus reduced capability to send volunteers to work 5 to 30 days at another airport.

Another way to look at this expectation is to examine the differences between non-routine operations and routine operations of airports. An airport-to-airport mutual aid program should only be activated to help an airport maintain non-routine operations or to transition from non-routine operations to routine operations. This is the COB aspect of mutual aid. It is important to note that it does not matter whether a disaster directly damages an airport or whether a regional disaster puts unusual stress on an airport's operations; either way, airport-to-airport mutual aid is appropriate if requested.

Pull Model of Assistance

Airport-to-airport mutual aid will be most effective if it is requested by an affected airport (i.e., the pull model), and the program will fail if aid is imposed on an affected airport (i.e., the push model). Assistance must always begin with a request from an airport that has been damaged, is facing imminent damage, or expects unusual operations. This is not to say that an airport-to-airport mutual aid program coordinator or knowledgeable veteran might not reach out to that airport's management to remind it of the availability of aid and the procedure for requesting it. The request is essential, not just for boots-on-the-ground relationships, but also as part of any reimbursement and liability coverage system.

Voluntary Aid

Any effective airport-to-airport mutual aid program must be completely voluntary. It cannot achieve the benefits of rapid response and cost savings if it is mandatory in nature. Although members of the aid teams will go as employees of the sending airport, they will also be volunteers. The voluntary nature of the aid deals with motivation of airports to participate and has no implications for reimbursement.

NIMS/ICS Basis

All airport mutual aid programs must be based on NIMS/ICS in order to comply with FAA Advisory Circular (AC) 150/5200-31C Airport Emergency Plans. As most airports in the United States have worked hard since 2009 to become NIMS-compliant and to create AEPs that conform to NIMS procedures, there is now a greater standardization for disaster operations at airports than there was before. This means that incoming volunteers can plug into the NIMS disaster management structure at a damaged airport more easily, quickly, and productively. Furthermore, NIMS/ICS helps to create order within functions such as communications.

Communications Plan

Any airport-to-airport mutual aid program must have an effective communications plan in place prior to an activation. As with any plan, adjustments will inevitably be needed in an activation, but a starting basis is essential.

Purpose and Scope

An effective airport-to-airport mutual aid program must have a clearly defined purpose and scope. Each part of its mission, organization, plans, and procedures should be tailored to the other parts and to the desired purpose and scope. Furthermore, as more programs form and become active, those with different scopes and those with specialized or general purposes need to be mutually cognizant and shape themselves to cooperate or at least not interfere with each other.

Self-Sustaining Teams

Any aid teams sent to an airport in connection with a disaster area must be self-sustaining. They must not add to the burden of the local airport staff or local relief efforts.

Costs and Funding

Any airport that joins an airport-to-airport mutual aid program should act as if it will have to fund all of its own costs and never be reimbursed, while knowing that if it follows the procedures in Chapters 7 and 8 of this Guidebook, it will be fully or nearly fully reimbursed. With strong support from senior management and good planning by the potential leaders of aid teams, costs can be controlled, documented, and recouped; however, in every case, the sending airport will have to front the costs, and reimbursement may take months or years. An airport's most important partner in reimbursement matters is its city or county emergency management agency, which is the connection to the state emergency management agency, EMAC, and FEMA. These connections are most important for interstate assistance.

Liaison with Other Entities

There are many stakeholders at airports who can affect the success of an airport-to-airport mutual aid program at any stage of the program's formation, existence, and activation. Therefore, it is useful to consult with these stakeholders during the design of an airport-to-airport mutual aid program and the development of its operational doctrine. It is important to limit this liaison purely to matters dealing with the airport-to-airport mutual aid program. There are other appropriate avenues for dealing with each of the stakeholders on other types of airport business.

Airlines

Airlines need to understand the COB value of an airport-to-airport mutual aid program and its importance to the restoration of routine operations after a disaster. This will help avoid any misunderstanding about costs, rates, and charges if the airport's employees are sent to another airport or if equipment is loaned, thus making the airport appear to be over-indexed. In addition, airlines sometimes help with the logistics and transportation of airport-to-airport mutual aid teams. Airlines have communications capabilities that could serve as backup to the airport-to-airport mutual aid program's primary communications systems. Lastly, if an international airport-to-airport mutual aid program is ever developed, airlines are skilled at dealing with international differences in laws, customs, languages, and procedures. These are the usual factors that are stated as barriers to any international airport-to-airport mutual aid program.

Government Agencies

Good mutual understanding and working relationships are essential between an airport-to-airport mutual aid program and the government agencies that will encounter it at a damaged

airport. Some of these agencies will normally be present at the airport during routine operations and continue to be present after a disaster. This includes the FAA, Transportation Security Administration (TSA), U.S. Customs and Border Protection (CBP), possibly the Centers for Disease Control and Prevention (CDC), and usually law enforcement agencies. In fact, the FAA, TSA, and CBP have created their own go-teams to augment the efforts of their local employees at an affected airport in dealing with operational, security, and immigration/customs issues, respectively. The agencies that are present during routine operations are typically joined by others during disasters. These include FEMA, U.S. Northern Command (NORTHCOM), the National Guard, and state and local emergency management agencies. Other government agencies become involved, but do so indirectly (e.g., EMAC, state aviation officers, and aeronautical bureaus).

Non-Governmental Organizations (NGOs)

NGOs (e.g., the American Red Cross and Salvation Army) may also be on the scene and may possibly interact with the volunteers from the airport-to-airport mutual aid program.

Professional Organizations

The AAAE and ACI-NA have played an influential role in the development of airport-to-airport mutual aid programs in the United States and can continue to aid the programs' development through education and exposure by using conferences and publications as channels. The specialized airport groups—Airport Law Enforcement Agency Network (ALEAN), the ARFF Working Group, and the Index E ARFF Chiefs Organization—can similarly spread the word and communicate interest in their aspects of airport-to-airport mutual aid programs.

Relationships with Stakeholders

Although the airport-to-airport mutual aid program's volunteers will have a specialized mission, be self-sustaining, and be under the auspices of the local airport, it is wise for the program to build bridges and awareness among all of these other stakeholders. This will help avoid any mutual interference as the disaster response evolves and the types and number of players trying to use the airport changes. The relationships with local and state emergency management agencies are the most important, and each airport involved in an airport-to-airport mutual aid program should educate their local and state emergency management agencies about the mission and capabilities of the program, as well as the possible need for FEMA mission numbers in connection with a Presidentially declared emergency or major disaster.

Summary of Expected Functions

Table 3 is based on the findings of this study and the expert opinions of the airport managers interviewed and presents the functions of an airport-to-airport mutual aid program that may reasonably be expected, those that are not very feasible, and some that should absolutely be avoided. The columns represent the same categories of airport-to-airport mutual aid programs that were introduced in Chapter 2, and the rows represent a comprehensive list of historic and realistically projected functions for airport-to-airport mutual aid programs. The number in each cell of the matrix runs from 5 (demonstrated by an existing program) and 4 (highly feasible) to 0 (should be absolutely avoided).

In shaping the expectations of any individual or group with an interest in starting an airport-to-airport mutual aid program, Table 3 offers a range of possibilities. It is not meant to imply that any given program should perform every function scored above a certain level in its column. The message throughout this Guidebook is that the program should choose its mission, state it clearly, and then match organization and procedures to the mission.

Table 3. Expected functions of an airport-to-airport mutual aid program.

Typical Categories of Aid	Type of Airport-to-Airport Mutual Aid Program							
	Functions during Disasters					Interstate		
One-on-One Partnership		Single-Owner Multi-Airport	Nearby Multiple Airports	Intrastate	Concentrated Regional	Widespread Regional	National	
Matching needs and resources	5 ^a	5	4	5	4	5	4	4
Event management/common operating picture	4	5	4	4	4	5	4	3
Rapid engineering assessment	4	4	4	4	4	5	4	4
Liaison to state EOC	4	4	4	4	4	4	4	4
Airport management replacement	0	4	0	0	0	0	0	0
Operational supplement	2	3	3	4	4	5	4	4
Operational backfill	3	3	4	4	4	5	4	4
Maintenance and repair	3	3	3	4	4	5	4	3
Electrical	2	3	3	4	4	5	4	3
Information technology (IT)	4	5	4	4	4	4	4	4
Communications	2	3	3	4	4	5	4	3
HVAC	2	3	3	4	4	5	4	3
Jetways/Airstairs	3	4	4	4	4	4	4	3
ARFF equipment	2	3	5	5	5	5	4	1
Fuel systems	4	5	5	5	4	5	4	1
Security	2	3	3	4	4	4	4	1
Law enforcement	3	5	4	4	4	5	4	1
Emergency generator	3	3	4	5	5	5	4	4
Emergency or temporary lighting	3	3	4	4	5	5	4	4
Debris removal	2	3	4	4	1	0	0	2
Functions during Emergencies								
Post-disaster planning and liaison	4	5	4	5	4	5	4	4
Regional disaster recovery	3	4	4	5	4	4	4	4
Backup EOC	5	4	4	4	5	4	2	1
Backup operations center	5	4	4	4	5	5	4	1
Functions during Non-Disasters								
Snow clearance	3	3	5	5	5	1	1	1
ARFF equipment	3	4	3	4	5	3	4	1
Aircraft recovery equipment	5	5	5	4	4	3	2	1
Shelter management	2	2	2	2	0	0	1	1
Special events	3	5	4	4	4	4	4	3
Other Functions								
Sharing lessons learned	4	5	5	4	5	5	4	4
Peer review	4	5	4	4	4	4	5	4
Exercise observers	3	5	4	4	4	4	5	4

^a The coding system is as follows: 5–Highly suitable (existing), 4–Highly suitable (theoretical), 3–Medium feasibility, 2–Low feasibility, 1–Non-feasible, and 0–Undesirable.

Relationships among Airports

Relationships are extremely important because they are what drive the meaning of “mutual” in the term “mutual aid.” This chapter will operationalize the expectations of Chapter 4 and describe them by discussing the nature and dynamics of the relationships that need to be considered when designing or sustaining an airport-to-airport mutual aid program.

Awareness among Airports

Starting in 2004, numerous articles, presentations, and panels have been presented by AAAE and its regional divisions, ACI-NA, ALEAN, and the two ARFF groups, to discuss various aspects of airport-to-airport mutual aid programs. SEADOG and WESTDOG have been extensively publicized, but the other forms of airport-to-airport mutual aid have been publicized only locally or not at all. The WESTDOG and SEADOG websites—established in 2010—now give both groups visibility on the Internet; however, many airports may be unaware of existing programs, the ways to establish a new program, the benefits of an airport-to-airport mutual aid program, or even the hazards that might create a need to request mutual aid. Thus, there is a relationship between the knowledge of mutual aid possibilities and the development or enhancement of airport-to-airport mutual aid programs. Fortunately, the most powerful source of awareness is word-of-mouth and personal networks. This Guidebook is intended to facilitate all of these sources of awareness.

Importance of Senior Leadership at Airports

Airport-to-airport mutual aid cannot succeed without strong leadership and support from the senior managers at airports. Although directors of operations, directors of maintenance, ARFF chiefs, and airport police chiefs are the most likely individuals to see the practical benefits of mutual aid, support from the Chief Executive Officer (CEO) and general manager is essential. This support is particularly important to resolving legal, contracting, and financial issues. Senior leadership is important for airport-to-airport mutual aid within an airport and between airports, and it is as essential to sustaining a program between activations as it is during an activation.

Trust and Reliability

Airport users must have trust in the operational reliability and safety of the airport. The concepts of COB and COOP were addressed Chapter 1. An airport-to-airport mutual aid program can help an airport protect its reputation and, therefore, the full range of that airport’s relationships.

Existing airport-to-airport mutual aid programs are designed to deal with relatively short-term disruption of operations at an airport. The types of mutual aid organizations described in this Guidebook would not be suitable for dealing with long-term disruption at an airport. However, ACRP Project 03-18 (Operational and Business Continuity Planning for Prolonged Airport Disruptions) is addressing this issue.

Recognition by Key Agencies

Although official recognition by governmental agencies and other agencies is not necessary and such recognition may have differing or uncertain meanings, gaining such recognition is a worthwhile goal for implementers of an airport-to-airport mutual aid program. The most important aspect of recognition is an awareness of the existence and capabilities of the airport-to-airport mutual aid program. Almost as important is laying the foundation for cooperation, especially among agencies that will be at an affected airport (e.g., FAA, TSA, CBP, and possibly CDC) or arrive early in the response (e.g., local and state emergency management agencies, law enforcement agencies, FEMA, or the National Guard). In connection with this, the single most important relationship is the one that an airport should have with its local emergency management agency and, through it, with the state emergency management agency. The primary benefit of recognition is assistance with getting the EMAC/FEMA mission numbers that are essential for interstate liability coverage and reimbursement; in fact, there is no other path for obtaining mission numbers. Other benefits include simplification of access for incoming aid teams; protection of incoming personnel, equipment, and supplies; and knowledge of capabilities for integration into NIMS/ICS structures. Relationships with all of these agencies need to be built by airports as soon as possible—before a disaster creates an urgent need.

Matching Types of Need and Aid

The fundamental transaction in any airport-to-airport mutual aid program is the match between needs and assistance. This relationship among receiving, sending, and coordinating airports is central and will be the focus of Chapters 7, 8, and 9 of this Guidebook. The categories of aid that might be considered for a particular airport-to-airport mutual aid program are listed in Table 2 and Table 3 in Chapter 2 and Chapter 4, respectively.

Organization

The organization of an airport-to-airport mutual aid program is the structure of its internal relationships. In order to optimize the effectiveness of those relationships and to minimize the cost of program activations, the organizational structure should be aligned with the goals and mission of the airport-to-airport mutual aid program.

Organization Options

The existing airport-to-airport mutual aid programs illustrate the following basic organizational options:

- **Highly structured with membership qualifications.** CARST is organized in this manner.
- **Highly structured with membership.** WESTDOG is organized in this manner.
- **Loosely structured with a network of participants.** SEADOG is organized in this manner.

- **Tied to an organization for another primary purpose.** The New England ARFF equipment interchange is organized in this way as are the emergency generator program of the Louisiana Division of Aviation and the surplus equipment exchange of CAO. CARST is essentially a subgroup of CAO and the Colorado Division of Aeronautics.
- **A one-to-one relationship structured by contracts, memorandums of understanding (MOUs), or memorandums of agreement (MOAs).** MIA's aid to other airports in the security arena is structured in this manner. This is also a way in which to manage reimbursement for airport-to-airport mutual aid when existing interstate or intrastate arrangements do not apply.
- **Part of a statewide mutual aid compact.** Although no airport examples were found to use this organizational structure, electrical utilities and public works use mutual aid in this manner, as described in Chapter 3.
- **Ad hoc.** This is the oldest organizational model. An example would be the cooperation among airports in a region for handling weather diversions.

Membership Options

Understanding that all participants who will be managing and sustaining an airport-to-airport mutual aid program will be volunteers, there are several membership options available:

- **Membership with dues.** This is theoretically possible, but no program has yet used this method of funding.
- **Membership with special skills as qualifications.** CARST requires its members to have airport management experience, to have specific training, and to have been through the recovery process from at least one aviation accident, but CARST's members are individuals, not airports. The airport members of SEADOG and WESTDOG do not have to pass a skills or size test, but these organizations do carefully match the qualifications of volunteers on their aid teams with the needs at the receiving airport.
- **Membership requiring written commitment.** WESTDOG requires airports to make a written commitment to the organization, and this commitment takes the form of a resolution from the governing board of each airport. This is not a commitment to send aid without regard to the operational requirements of the sending airport.
- **No membership requirement.** SEADOG's airports are primarily knit together through the personal ties of senior and middle managers and, historically, by the shared threat of hurricanes. This has been a sufficient reason to bring forth airports to coordinate SEADOG activities and to bring forth volunteers for aid teams from SEADOG airports and airports elsewhere in the country.

Compatibility with NIMS/ICS

Compatibility with NIMS/ICS was once an issue for personnel from many airports, but subsequent to the requirement in FAA AC 150/5200-31C for NIMS/ICS compliance at all commercial airports, this should be either a non-issue or a diminishing issue as more airports become NIMS-compliant in their own emergency and disaster management plans and programs. Two aspects of NIMS doctrine are especially pertinent to airport-to-airport mutual aid:

- **Recognition of the phases of disaster.** Since one of the basic premises of NIMS is that the nature and scale of a disaster dictates the nature and scale of the response, it is important that any airport-to-airport mutual aid program includes a well-defined relationship between its mission and when the program's activities will be plugged into the emergency management cycle of preparedness, mitigation, response, and recovery. For example, SEADOG and WESTDOG are structured for response missions, and CARST's mission is to assist in the recovery phase;

however, all airport-to-airport mutual aid programs should be recognized as contributing to both preparedness and mitigation. Having rapid access to skilled volunteers in a disaster is a major form of mitigation and improves the preparedness of any airport.

- **Recognition of the roles for incoming mutual aid program personnel.** As noted in Chapter 4, incoming mutual aid personnel must recognize and accept their roles in terms of the receiving airport's structure and the NIMS/ICS structure. This relationship will express itself through the acceptance that it is absolutely necessary for the receiving airport's manager to maintain control through whatever escorting, pairing, or training is required at a receiving airport, and through being qualified for and fitting into appropriate roles in a NIMS/ICS structure for response or recovery.

Command and Control

When it comes to command-and-control relationships, the following fundamental principles should guide any airport-to-airport mutual aid program:

- The receiving airport's manager should maintain control;
- Any delegation of authority to someone from another airport should be in writing, ideally in advance of the dispatch of the aid team;
- Command and control during the incident should be based on NIMS/ICS; and
- Each aid team should have a designated member of the team to be its supervisor.

Communications

There are many mutual aid communications issues that need to be planned for and resolved, and, ideally, instructions should be set forth in a mutual aid SOP/guide. Protocols for communication among the following entities should be addressed:

- Among participating airports;
- Within the airport-to-airport mutual aid program organization;
- Between airports, programs, and other agencies;
- Within aid teams; and
- Between aid teams and receiving/sending airports.

Complying with established communication protocols is critical to maintaining healthy relationships no matter what the mission of the airport-to-airport mutual aid program is. For the aid teams, it is important that they have the ability to communicate with the receiving airport even prior to arrival and are able to communicate for all functions during the aid mission as necessary. Any airport-to-airport mutual aid program should have predefined communications protocols, but should also maintain flexibility to adapt to conditions encountered during activation.

Legal Counsel

The numerous legal issues inherent in airport-to-airport mutual aid programs must be identified and resolved during the process of developing each program or during any membership application process. Unresolved legal issues, such as liability and workers' compensation, could delay the response time of a mutual aid member airport during an event; at worst, unresolved issues could prevent an airport from participating. Counsels for airports and their owners (e.g., cities, counties, states, and authorities) should be consulted at the beginning of an effort to form an airport-to-airport mutual aid program and should be alerted whenever major changes in a program are being considered. Specific legal issues for consideration are the following:

- Local approval for participation;
- Liability coverage;

- Workers' compensation;
- Approval of expenditures in advance or agreement for non-reimbursement;
- Contracts between the receiving and sending airport for reimbursement; and
- Validity of delegation letters from the receiving airport to people from the sending airport, when used.

Financial Officers

For an airport-to-airport mutual aid program to work, the following financial arrangements must be made through collaboration with financial officers, preferably in advance of need:

- Record-keeping systems for expenditures for future claims for reimbursement;
- Cost basis of resources deployed through mutual aid;
- Reimbursement procedures; and
- Financial sufficiency of aid teams (e.g., cash supply and travel expenses).

Inventories of Skills and Equipment

Mutual aid—receiving and sending—will be most effective when airports have ready access to the specifications and inventories of their equipment (including consumables) and the qualifications (including specific airport systems) of their people. The emergency management terms that pertain to these activities are the typing of equipment and classification of personnel, but, in general, airport personnel are not classified in nationally standardized terms. This will be discussed in detail in Chapters 7, 8, and 9 of this Guidebook.

Security Access

The relationship between an airport's managers and its TSA Federal Security Director (FSD) is the primary factor that determines whether an aid team will be useful as soon as possible after arrival. This is primarily true at a receiving airport, but disaster access procedures should be worked out at all airports before there is any disaster. One approach is to write mutual aid security access procedures into the airport's certification manual (e.g., AEP and ASP), but this is not a black and white issue. The approaches presented in Appendix J, based on the actual practices reported by airports in the interview phase of this project, show that there are many ways to do this. However, all of these ways depend on the relationship between the receiving airport's managers and its FSD and the quality of the documentation that the sending airport is able to provide.

Training, Drilling, and Exercising

The advantage of most airport-to-airport mutual aid is that the normal training at an airport is the only training that is needed for mutual aid. This is true even of specialized mutual aid (e.g., ARFF or law enforcement assistance). The very specialized case of CARST is based on pre-existing experience, not on special training. Although specialized training is not required for airport-to-airport mutual aid programs, considerable benefits can be gained by including various aspects of mutual aid in drills and exercises. This is an excellent way in which to build disaster-oriented relationships and operational familiarity between pairs or groups of airports.

Outreach

Airports involved in an airport-to-airport mutual aid program or interested in forming one should use the widest possible variety of means of outreach to inform other airports and

agencies of the effort. Continual outreach is essential to sustaining airport-to-airport mutual aid programs between activations.

Past, Present, and Future

Airport-to-airport mutual aid programs build relationships by bringing people from different airports into working contact. These relationships can promote the building of a wide-ranging corporate memory of how airports can cope with disasters. The main elements of this corporate memory will be the following:

- Prompt and effective after-action reviews;
- The development, dissemination, and acquired knowledge of lessons learned;
- The testing, dissemination, and application of best management practices; and
- The application of these tools to all aspects of airport-to-airport mutual aid.

Establishing a Program

Airport-to-airport mutual aid is a proven concept. Furthermore, it has proven its applicability, scalability, and adaptability to both general and specialized disaster functions. SEADOG and WESTDOG have shown the ability to serve broad regions of the country and to coordinate incoming aid from airports in other regions of the country in the response phase of a disaster. CARST has shown that an airport-to-airport mutual aid program can serve well during the recovery phase of a disaster and can reach beyond an affected airport to a community. The New England ARFF equipment exchange has shown that a highly specialized airport-to-airport mutual aid program can function in the mitigation phase of emergency management. The bottom line is that airport-to-airport mutual aid programs can be created to fill existing or future needs of an airport on many different scales and with differing types of organizations to match the programs' intended functions. Most likely, a new mutual aid program will begin with one airport having an idea and championing it.

This chapter focuses on how to start a new airport-to-airport mutual aid program. The methods described herein would work for any type of airport-to-airport mutual aid program, although adjustments would need to be made to fit geographical/state boundaries, functional specialization, or both. If an airport or group of airports wishes to start a DOG or a more specialized airport-to-airport mutual aid program, it could follow the steps suggested in this chapter or adapt these steps to reflect regional circumstances.

Creation of New Mutual Aid Programs

At present, there are regional airport-to-airport mutual aid programs in two regions of the country: the Southeast from Virginia to Texas (SEADOG) and the West from Colorado and New Mexico to the Pacific (WESTDOG). There are not yet comparable organizations in the Midwest, New England, or Mid-Atlantic regions of the contiguous United States or in Alaska, Hawaii, Guam, Puerto Rico, the U.S. Virgin Islands, and the Pacific territories. Alaska and Hawaii are very special cases as all or most of their airports are state-owned. For these states, the state department of transportation could create an airport-to-airport mutual aid program administratively without having to recruit or organize the airports, and while this would be an effective solution to the goal of helping affected airports, it would violate the volunteer basis of airport-to-airport mutual aid programs. Also, large airports in these states (e.g., Anchorage, Honolulu, and other Hawaiian and Alaskan airports) might need mutual aid from partners more like each other than like any other in-state airport. This could be resolved by the larger airports joining WESTDOG.

Figure 4 illustrates the basic sequence of steps to create a mutual aid program.



Figure 4. Creating a mutual aid program.

Who Can Start the Process?

Anyone from any airport can initiate the process to create an airport-to-airport mutual aid program. Ideally, it will be someone who has seen such a program in action, either by working at an airport in an existing program or going as a volunteer to help at an affected airport. The initiator can be from almost any level in an airport, but before reaching outside of the home airport, he or she should acquire the support of senior management. As noted throughout this Guidebook, the support of senior management is essential.

AAAE’s regional chapters played a strong role in the formation of SEADOG and WESTDOG, and AAAE and ACI-NA can serve as incubators for new airport-to-airport mutual aid programs in other regions of the country or even internationally. Furthermore, the ARFF groups and ALEAN can work to promote either generalized or specialized airport-to-airport mutual aid programs.

Once an individual and his or her airport want to start the process to create a new airport-to-airport mutual aid program, they need to reach out to other airports that might be interested in joining. SEADOG grew out of discussions between two airport managers after the severe hurricane season of 2004, and WESTDOG was founded by a five-member committee that was self-appointed. Such a founding group could be called the organizing committee. A timeline for the formation of a mutual aid program is provided in Figure 5.

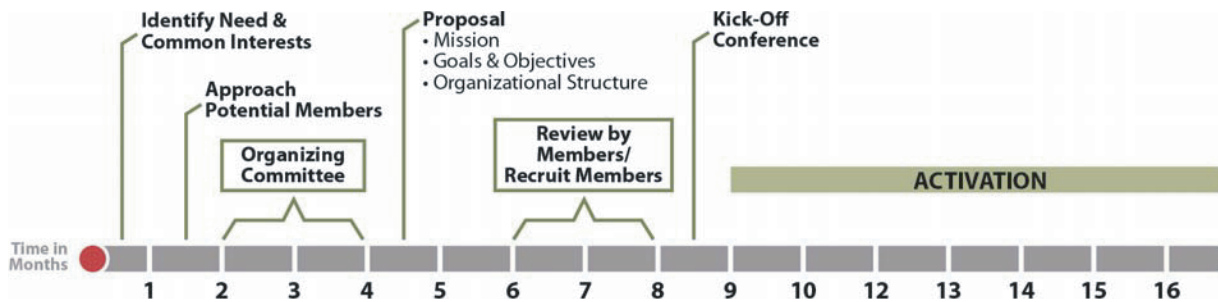


Figure 5. Mutual aid program formation timeline.

Scoping Process

As has been emphasized throughout this Guidebook, a strong alignment of needs, mission, and organization is essential to creating a workable and durable airport-to-airport mutual aid program. To achieve this, the organizing committee should convene for the purposes of scoping. Scoping is the exploration of a topic with an eye toward a general course of action. The scoping process could be a meeting (e.g., a work session at an AAAE or ACI-NA meeting), teleconference, series of e-mail exchanges, blog, or dedicated website. All of these options are relatively low-cost means to accomplish scoping.

The scoping process will be most productive if the participants are first oriented to what can be done by a speaker from one of the existing airport-to-airport mutual aid programs or a non-aviation mutual aid organization. There is a large pool of airport personnel who can speak from personal experience about airport-to-airport mutual aid (see Appendix A).

Scoping should address the following:

- Hazards analysis at airports in the region,
- Mission,
- Goals and objectives, and
- Desired functions for the program.

The scoping phase is generally too early to discuss the details of the organizational structure. This discussion should follow that of the mission and desired functions.

Organizational Development

Once the regional risk analysis, mission, goals, objectives, and desired functions for a new airport-to-airport mutual aid program have tentatively been identified, it is time to design and activate the program's structure.

Structure

Structure should be clearly defined and agreed upon among the members of the program. There are many equally valid organizational templates, and the details should be worked out among the program's participants. Chapter 2 outlines some basic organizational options. A decision should be made very early in the process on how coordinating airports will be chosen and what, if any, size qualifications or term durations will be set.

Recruitment

An airport-to-airport mutual aid program will probably either be limited to commercial airports or open to all airports, including GA airports. Since GA airports may become essential resources in regional disasters, they should be made welcome to participate in airport-to-airport mutual aid programs. GA membership can increase the resilience of the national aviation infrastructure and its ability to support disaster response and recovery efforts regionally or anywhere in the country. However, many GA airports would look for non-aviation assistance from local partners to free up their airport professionals to focus on operational roles in a disaster.

Recruitment advertising would be channeled through the same media alternatives as the scoping process: a work session at an AAAE or ACI-NA meeting, teleconference, e-mail exchanges, blogs, or a dedicated website.

It is important to be patient during the recruitment process, especially if the airport-to-airport mutual aid program is structured to require a local government or airport commission resolution to authorize an airport's participation. The organizing committee should expect to make repeated outreach efforts and to follow up on non-respondents, at least until the program reaches critical mass. Critical mass occurs when the program seems likely to be able to generate enough volunteers to fulfill its mission.

Local Government Involvement

All commercial airports and most public-use GA airports in the United States are owned by governments—usually municipalities or counties. The leadership and governing boards of these counties are major stakeholders in the formation of an airport-to-airport mutual aid program. Other major stakeholders include local mutual aid partners and the local emergency management agency in particular. The local emergency management agency is the link to the state emergency management agency, which is the essential link for reimbursement and liability coverage for interstate aid in declared disasters. All of these local government stakeholders should be made aware of the effort to form an airport-to-airport mutual aid program involving the local airport or airports.

Other Stakeholders

Federal agencies, state agencies, and airlines constitute the remaining group of major stakeholders. None of them play direct roles in the formation and functioning of an airport-to-airport mutual aid program, but they can all be either valuable partners or impediments. It is better to involve them early in the establishment process in order to avoid future misunderstandings.

Federal Agencies

The primary federal agencies that need to be involved in or at least aware of efforts to establish a new airport-to-airport mutual aid program are those that are present at airports during normal operations (e.g., FAA, TSA, CBP, various law enforcement agencies, and sometimes CDC) and those that arrive after a disaster (e.g., FEMA, U.S. Department of Defense [DoD], and the National Guard). Many of these agencies have pre-planned responses that include teams and their equipment to assist a damaged or “stressed” airport. Although their missions and functions are independent of the airport-to-airport mutual aid program's aid teams, the teams are highly

likely to interact, a possibility that should be accounted for from the beginning of the structuring of the airport-to-airport mutual aid program.

Federal Aviation Administration

The FAA is the regulator for U.S. airports and, as such, is frequently a part of airport-to-airport mutual aid initiatives—especially from the receiving airport standpoint. The scope of the FAA role varies depending on the nature of the incident that has provoked airport-to-airport mutual aid. Generally, the FAA is primarily responsible for certifying and enforcing the safe practices and procedures of the aviation industry. A corollary FAA role is to ensure that airport fiduciary practice is aligned with the legal requirements associated with the investment of FAA funds.

FAA Normal Presence at Airport

Two very relevant documents that govern activities related to government agencies located at airports during a potential airport-to-airport mutual aid event are the ASP and the AEP. The ASP is developed in cooperation with the airport and TSA, with the airport's FSD having the ultimate approval authority for the ASP. Similarly, the AEP is developed by the airport, following the specifications of AC 150/5200-31C, with ultimate approval by the FAA. The AC envisions FAA's local Air Traffic Control (ATC) group having ultimate approval of many activities during a potential airport-to-airport mutual aid event, while working in close collaboration with airport operations.

Airport to FAA Relations/Responsibilities during an Airport-to-Airport Event

The immediate concern in response to an airport-to-airport mutual aid situation is the safety of operations at the airport, as well as the safety, security, and integrity (for purposes of investigation if necessary) of the incident site. Although the airport operator has primary authority to decide whether the airfield needs to be closed in response to an incident, ATC may share this authority during certain circumstances as defined by a letter of agreement. Regardless of which entity has the authority at any given time, it is always best if this decision is made in collaboration if possible. The FAA is responsible for certifying that all facilities and systems have been properly shut down, and the FAA will be the organization responsible for certifying that the airport (and its systems and facilities) are safe for reopening.

Other areas of concern or areas that FAA can support (many of which overlap with airport operations) include the following:

- Ensuring that ARFF vehicles have the best on-site information regarding the incident site;
- Controlling airspace in the vicinity of the incident/accident to ensure that other aircraft do not interfere with response activities;
- Controlling aircraft and ground vehicle operations if the airport remains open and coordinating the movement of non-support aircraft away from affected areas or the entire airport, depending on the scope of the incident;
- Providing for continuity of airfield/airspace operations;
- Protecting records, facilities, and FAA-owned equipment that are essential for sustaining operational capabilities and conducting emergency operations;
- Identifying the need for and ensuring that appropriate personnel/organizations are notified of alternative operational procedures, including the issuance of Notices to Airmen (NOTAMs);
- Identifying potential sources for emergency replacement equipment or systems; and
- During recovery, conducting inspection of the Air Operations Area to ensure that repairs or alternate operations meet FAA certification requirements.

State Agencies

State Emergency Management Agencies

Although state emergency management agencies vary widely in their involvement in planning for airport COOP and COB during disasters, the state emergency management agency in every state is always the essential link to EMAC and FEMA.

State Aviation Offices

As of 2011, state aviation offices and aeronautical bureaus have expressed differing opinions on their level of interest in airport-to-airport mutual aid and in planning for air operations and airport use in disasters. Nevertheless, state aviation offices and aeronautical bureaus should be included in efforts to establish airport-to-airport mutual aid programs, especially intrastate ones.

Airlines

Airlines are interested in safe operations and COB, both of which are primary goals of airport-to-airport mutual aid programs, and these shared values should be made clear from the beginning. Airlines will probably exert less pressure on the use of airport resources at a distant airport if they understand the mission and functions of mutual aid. Airlines may be able to give the airport-to-airport mutual aid program logistical or communications support.

Surveys of the air carriers found that they are all very willing to support certain emergencies in certain ways. They leave the ways and means that they will commit to helping unofficial, with decisions to support the effort being made locally at the airport, on a one-off basis.

Airlines can be tremendous partners in airport-to-airport mutual aid. They can provide important logistics support and airlift to transport needed material, specialized ground-service equipment, and specially trained staff to airports in need of aid for extended periods of time. Typically, what is needed is the support of the local general/station manager. This flat decision structure can be very helpful in the early hours of an airport-to-airport mutual aid event.

Liability and Reimbursement

Liability and reimbursement are the two issues most likely to interfere with an entity's desire to form or join a new airport-to-airport mutual aid program, and these issues must be addressed thoroughly during the establishment process.

Liability Concerns and Solutions

The primary principle governing liability coverage for people who join a mutual aid team going to another airport is that they go as employees of their home airport. This is why strong support and proper authorization from senior management are essential. This approach to liability coverage also presumes that members of the aid team will function in their professional specialties at the receiving airport, but this is a concept that is inherent in the airport-to-airport mutual aid program concept. This liability coverage does not cover acts of criminality, misconduct, and willful negligence. Specific categories of airport-to-airport mutual aid programs that have specific liability coverage mechanisms are described in the following.

Interstate with a Presidential Declaration

This category is the most clearly defined situation with respect to liability coverage. If the sending airport has an EMAC or FEMA mission number obtained through its local and state

emergency management agency, the sending airport and all members of its aid team are covered for liability with the same exceptions as previously described.

Interstate without a Presidential Declaration or Request for EMAC

The sending airport's liability and workers' compensation coverage should normally extend to members of the aid team, but each participating airport should get a clear determination from its counsel and risk managers at the time of joining the airport-to-airport mutual aid program.

Intrastate

The most straightforward solution to the liability issue is to incorporate it into a state all-encompassing, mutual aid compact that includes all local governments—including the airports that may be owned by such stakeholders. Not all states have such compacts, and those that have them have not yet used them for mutual aid between airports. A sample state mutual aid agreement from AWWA is included in Appendix F.

Typically, intrastate utilities and public works mutual aid programs rely on state legislative measures that require written municipal government agreements to solve liability issues. It is up to the individual municipal governments to decide to allow their utility or public works entity to participate in a mutual aid program.

Another approach to liability coverage is a state Good Samaritan law, but this seems to be a less robust solution for the case where people are sent on purpose to a risky scene.

Single-Owner, Multi-Airport

This category is a special case as all employees are already covered by the owner's liability insurance and workers' compensation policies.

Reimbursement Concerns and Solutions

Usually, an airport will not send mutual aid unless it expects to be reimbursed sooner or later, preferably sooner. Reimbursement is more complex than liability in terms of the interaction between type of airport-to-airport mutual aid program and the existence of a Presidential disaster declaration, but the solutions are actually simpler than for liability. Some reimbursement solutions will require prior legislative action at the state or national level to ensure that airports are included, so this is probably the longest lead-time aspect of forming an airport-to-airport mutual aid program. Table 4 presents the possible solutions.

Publicizing Existence and Services of Mutual Aid Programs

The most challenging single issue that the research team encountered in this study was how to fund the capability to connect any airport in the country that needs aid with an existing DOG, a future DOG, or a specialized mutual aid program. A single POC is needed. In interviews for the development of this Guidebook, several airports suggested what they called a national 9-1-1 access point for airport-to-airport mutual aid. This could be a telephone contact, e-mail contact, dedicated website, or all three. Presently, knowledge of SEADOG and WESTDOG is mostly word-of-mouth. SEADOG has had the same coordinating airport and sub-coordinators since 2004, so many airports around the country know whom to call. WESTDOG, however, rotates its coordinator annually. The coordinator is identified in the public access page of the WESTDOG-dedicated website, but not all airports elsewhere in the county would know to go to that site.

Table 4. Reimbursement solutions.

Categories	No Presidential Declaration	Presidential Disaster Declaration
One-on-one partnership	<ul style="list-style-type: none"> ▪ Contract ▪ MOA^a ▪ MOU^b 	
Single-owner, multi-airport	<ul style="list-style-type: none"> ▪ Internal arrangement 	
Nearby multiple airports	<ul style="list-style-type: none"> ▪ Contract ▪ MOA ▪ MOU 	
Intrastate	<ul style="list-style-type: none"> ▪ Statewide mutual aid compact for all local governments ▪ Statewide mutual aid compact for publicly owned airports ▪ Contracts ▪ MOA ▪ MOU 	Stafford Act reimbursement if there is an EMAC/FEMA mission number
Interstate—concentrated regional	<ul style="list-style-type: none"> ▪ Contract ▪ MOA ▪ MOU ▪ EMAC 	
Interstate—widespread regional	<ul style="list-style-type: none"> ▪ Contract ▪ MOA ▪ MOU ▪ EMAC 	
National	<ul style="list-style-type: none"> ▪ Contract ▪ MOA ▪ MOU ▪ EMAC 	
International	<ul style="list-style-type: none"> ▪ Treaty ▪ Regional compact (actually a treaty) ▪ Contract ▪ MOA ▪ MOU 	

^a Memorandum of Agreement

^b Memorandum of Understanding

Funding Considerations

The technological and training-, awareness-, or publicity-based issues can easily be managed if a dependable funding stream can be identified and by coordinating activities and the storage of lessons learned. At all other levels of airport-to-airport mutual aid programs, experience has shown that participating airports, especially the coordinating airports, are willing to pay the annual operating costs for communications and websites. In addition, the FAA has provided free teleconferencing capabilities. Further development of this issue lies outside of the scope of this project, but is integral to what can be written in this Guidebook and what can be implemented.

The annual cost of the connectivity tool, the national 9-1-1 access point, will depend on the scope of services included. A barebones service would require a full-time staff of approximately three people to keep contacts updated and do awareness outreach to the nation’s airports. In addition, administering a library of lessons learned and best management practices or an inventory of specialized skills or equipment would expand the cost significantly. A very rough estimate

of the cost for a barebones, basic national 9-1-1 access point is \$300,000 to \$400,000 per year. This includes three people and telecommunications costs, but assumes that an airport or other entity will provide space.

There are no easy, obvious sources of funding for a standing support system for airport-to-airport mutual aid, but there are a number of possibilities worth investigating. (Such investigation lies outside of the scope of this project.) Funding sources that were identified in the course of the interviews, case studies, and literature review for this project include the U.S. Department of Homeland Security's (DHS's) Urban Areas Security Initiative (UASI), FAA, FEMA, FAA-FEMA jointly, ACI-NA, AAAE, AAAE and ACI-NA jointly, voluntary contributions from airlines and air cargo companies, voluntary contributions from airports (essentially, the sole funding source for SEADOG and WESTDOG), subscriptions from airports, state grants (part of the funding for CARST), and perhaps insurance companies based on a tie to the airports' and airlines' business continuity. It is recommended that future research evaluate the feasibility and desirability of these sources and possibly discover additional sources.



CHAPTER 7

Procedures and Considerations for an Airport Requiring Aid

The actions of an airport that requires aid are best viewed in the following time phases: preparedness, pre-disaster, and post-disaster. A checklist for these activities can be found in Appendix H.

Incident Preparedness Activities for All Airports

The following procedures and considerations apply for all airports, not just those that require aid or those already involved in an airport-to-airport mutual aid program.

Awareness of Available Assistance

Airports should become aware of the support available through airport-to-airport mutual aid programs, preferably by being active as members or participants of such programs. Senior managers of the airport should reach out to make themselves aware of the program and communicate top-down support for the concept within their airport.

Relationships with Local and State EOCs

The airport should build a sound working relationship with the local emergency operations center (EOC) and, through it, the state EOC. Not only will this benefit the airport's emergency management capabilities in local and regional disasters, it will also acquaint the EOCs with the existence of the airport-to-airport mutual aid program and its potential use and accompanying need for an EMAC/FEMA mission number.

Designation of Mutual Aid Coordinator(s) at an Airport

The airport general manager, CEO, or aviation director should appoint one or more managers to handle interactions with the airport-to-airport mutual aid program. This has been done by both SEADOG and WESTDOG and has proven to increase efficiency of communications.

Documentation of Airport and Access Points

Mutual aid will be facilitated if an airport has easy-to-access documentation, preferably electronic, of its as-built structures and systems, as well as maps of normal and emergency access points. Ideally, such documentation will be in packets that can be sent ahead to an incoming aid team or be available to the team on arrival, depending on security restrictions. No practical need

exists for a national database of such information, at least not for airport-to-airport mutual aid program purposes.

Catalog of Specific Types of Equipment Used at an Airport

An airport should maintain a detailed catalog of the specific types of equipment, replacement parts, and repair parts that are used. This catalog will facilitate the rapid and accurate formulation of assistance requests, both for the expertise of people and for emergency loans of equipment or parts.

Security Access Procedures for Aid Teams

An airport should work with its FSD to develop and institutionalize access procedures for mutual aid teams responding to a disaster. There are many different ways in which access can be permitted and controlled, but they all depend on cooperation and agreement between the airport manager or security manager and the FSD. The range of security access procedures discovered during the interview portion of this research is provided in Appendix J. Failure to resolve access issues can negate the usefulness of mutual aid teams.

Drilling and Exercising

Airports should build airport-to-airport mutual aid programs into drills and exercises. This will enhance preparedness and offer a chance for airport managers to become familiar with other airports.

Legalities

Approval for Participation

Receiving aid is not as likely to trigger legal concerns as sending aid; however, an airport should keep its counsel and its owner's counsel aware of a potential or developing need to receive mutual aid. This process can be accommodated by the airport's participation in the airport-to-airport mutual aid program in advance of any need.

Authorization or Delegation Letters

Although transferring control of an airport away from the airport's manager is never wise, some airport functions may need or require a formal delegation of authority for certain incoming aid team members. This will enable the incoming personnel to make decisions and allocate resources without taking away any accountability from the receiving airport's managers. The need to delegate authority will typically only occur when incoming aid team members will be needed by the receiving airport to take on managerial or supervisory duties. The extent of the use of such letters of delegation will depend on how dependent the receiving airport will be on managers or decision-makers who are part of an incoming mutual aid program team. For example, if operational tempo is going to increase greatly during response and recovery, mutual aid program personnel may need to work as managers or supervisors. Appendix K presents a sample advance letter of delegation. If a member of an incoming mutual aid team is going to work in a position that requires temporary local authorization, a letter similar to this should be initiated by the airport in need and it should specify the positions, duties, and conditions or restrictions that pertain. An airport should have this letter reviewed by its legal staff and customized as necessary

to comply with laws and regulations. Similarly, airports sending teams will want to review any letter of delegation received for one of its people.

Reimbursement Contracts

Airports should have pre-written reimbursement contracts for cases in which mutual aid expenses are not reimbursable through EMAC/FEMA, a statewide mutual aid compact, or an international treaty. Contracts will normally be one-on-one between pairs of airports.

Pre-Disaster Activities

The highest priority of an airport facing a disaster of a type that can be forecast (e.g., a hurricane) is to prepare itself and assist with tenant and community preparations (e.g., aircraft withdrawals and human evacuations). Such preparations will reduce the amount of mutual aid needed and make the aid that is received more effective. The airport should track the potential disaster, and the following tools can be useful in doing so:

- The airport's own intelligence system(s),
- FAA systems,
- Local government EOCs, and
- Alerts from the airport-to-airport mutual aid program.

In addition, the airport should review the contact lists and procedures for requesting mutual aid. The airport might make initial contact with the airport-to-airport mutual aid program coordinator at this time, or the coordinator might contact the airport.

Post-Disaster Activities

Whom to Contact

The airport's designated coordinator should contact the coordinator or assistant coordinator of the airport-to-airport mutual aid program. A list of coordinators for 2011–2013 can be found in Appendix A.

How to Request Aid

Aid should be requested by the means and in the format specified by the airport-to-airport mutual aid program; however, a telephone call or e-mail to the program coordinator will always suffice to start the process. Airport-to-airport mutual aid programs exist to help, not to make people jump through bureaucratic hoops during a time of need. Some airport-to-airport mutual aid programs have dedicated websites that include aid request forms. The following are two fundamental aspects to remember:

- Ask the right person.
- Be as specific as possible in the aid request.

Specificity is important because airport-to-airport mutual aid resources come from the operational and maintenance staff of the sending airport. Requests that result in superfluous or unneeded aid should be avoided. Specificity also allows needed aid of the right type to be mobilized and delivered at the earliest possible time. An assistance request form based on that used by WESTDOG can be found in Appendix L; the original WESTDOG form appears in Appendix B to this Guidebook.

Types of Aid that Can Reasonably Be Requested

Equipment, repair parts, and skilled airport workers are types of aid that can reasonably be requested. The exact nature of resources will depend on the nature of a particular airport-to-airport mutual aid program. Only aviation-related aid should be requested through the airport-to-airport mutual aid program; all other types of aid should be sought through other local, state, commercial, or federal agencies.

Matching of Needs to Aid

Throughout the process, aid requests need to be matched to needs as accurately as possible. This requires as precise a determination of needs for equipment, parts, and people as is possible under the circumstances. Both circumstances and needs will evolve during a disaster and its aftermath. A NIMS/ICS-based emergency response at the airport will track this evolution and can generate and update well-matched aid requests.

After-Action Review and Lessons Learned

The airport should participate actively in an after-action review and development of lessons learned even if the airport-to-airport mutual aid program takes the lead. The AEP and ASP may benefit from the application of lessons learned during the use of mutual aid in a disaster.



CHAPTER 8

Procedures and Considerations for Airports Wishing to Volunteer Aid

The actions that should be taken by an airport that is sending aid to another airport through an airport-to-airport mutual aid program can be organized in the same three time phases as an airport that requests aid—preparedness, pre-disaster, and post-disaster. A checklist for these activities can be found in Appendix I.

Incident Preparedness Activities for All Airports

The preparedness actions of an airport wishing to volunteer aid include most of the same actions that are to be taken by an airport requiring aid, with only a few additional actions that relate to a sending airport.

Awareness of Available Assistance

Airports should become aware of the support available through airport-to-airport mutual aid programs, preferably by being active as members or participants of such programs. Senior managers of the airport should make themselves aware of the program and communicate top-down support for the concept within their airport.

Relationships with Local and State EOCs

The airport should build a sound working relationship with the local EOC and, through it, the state EOC. Not only will this benefit the airport's emergency management capabilities in local and regional disasters, it will also acquaint the EOCs with the existence of the airport-to-airport mutual aid program and its potential use and accompanying need for an EMAC/FEMA mission number. Relationships with the local and state emergency management agencies are essential in order for a sending airport to obtain the EMAC/FEMA mission number if interstate aid under a Presidential disaster declaration is involved.

Designation of Mutual Aid Coordinator(s) at an Airport

The airport general manager, CEO, or aviation director should appoint one or more managers to handle interactions with the airport-to-airport mutual aid program.

Catalog of Specific Types of Equipment Used at an Airport

An airport should maintain a detailed catalog of the specific types of equipment, replacement parts, and repair parts that are used. This catalog will facilitate the rapid and accurate formulation

of offers to render mutual aid, both for the expertise of people and for emergency loans of equipment or parts.

Security Access Procedures for Aid Teams

An airport should work with its FSD to develop and institutionalize access procedures for mutual aid teams responding to a disaster. There are many different ways in which access can be permitted and controlled, but they all depend on cooperation and agreement between the airport manager or security manager and the FSD. The ideal way to permit and control access is to include a written plan in the ASP. The range of security access procedures discovered during the interview portion of this research can be found in Appendix J. The sending airport must have its security credentials in such form as to satisfy the security access requirements of the receiving airport in order to minimize time delays at the sending and receiving end. The details of this will be dictated by the security access procedures for aid teams set by the receiving airport and its FSD.

Drilling and Exercising

Airports should build airport-to-airport mutual aid programs into drills and exercises. This will enhance preparedness and will offer a chance for airport managers to become familiar with other airports.

Legalities

Approval for Participation

An airport should keep its counsel and its owner's counsel aware of a potential or developing need to send mutual aid. This process can be facilitated by the airport's participation in the airport-to-airport mutual aid program in advance of any need.

Authorization or Delegation Letters

Although transferring control of an airport away from the airport's manager is never wise, some airport functions may need or require a formal delegation of authority for certain incoming aid team members. A sending airport that receives a delegation of authority letter from a receiving airport should have it reviewed by counsel and senior management for acceptability.

Reimbursement Contracts

Airports should have pre-written reimbursement contracts for cases in which mutual aid expenses are not reimbursable through EMAC/FEMA, a statewide mutual aid compact, or an international treaty. Contracts will normally be one-on-one between pairs of airports. A sending airport that requests or is offered a contract covering reimbursement amounts and procedures from a receiving airport should have it reviewed by counsel and senior management for acceptability.

Self-Deployment

Under no circumstances should a team or individuals from an airport self-deploy. A direct invitation from a threatened or damaged airport should be referred to the airport-to-

airport mutual aid program coordinator so that assistance can be coordinated and staged. Self-deployment can greatly complicate reimbursement, and aid teams may be turned away by law enforcement units.

Pre-Disaster Activities

Tracking the Evolution of a Disaster

The potential sending airport should track a potential disaster, and the following tools can be useful in doing so:

- The airport's own intelligence system(s),
- FAA systems,
- Local government EOC, and
- Alerts from the airport-to-airport mutual aid program.

In addition, the airport should review the contact lists and procedures for sending mutual aid. The airport might make initial contact with the airport-to-airport mutual aid program coordinator at this time, or the coordinator might contact the airport.

Pre-Deployment Activities

Some pre-deployment activities could be completed early in the preparedness phase, and any pre-deployment activity can be accomplished immediately before aid is offered or even after the offer is made and accepted. However, these activities must be done before an aid team leaves its home airport. The following sections describe required activities.

Clear Authorization from the Airport Director or Designee

No aid team should ever leave its home airport without a clear authorization from the airport director or his or her designee. This is essential for reasons relating to liability and workers' compensation insurance issues, as well as health insurance coverage.

Invitation through an Airport-to-Airport Mutual Aid Program

An aid team or individual must never self-deploy.

Voluntary Deployment

The members of an aid team must be volunteers, although they will be acting as employees of the sending airport while deployed to the receiving airport and en route.

No Impact on the Operational Effectiveness of the Sending Airport

The operational effectiveness of the sending airport must not be affected by the absence of the members of the aid team or equipment.

Advance Identification of Appropriate Aid Team Members

Some airports have organized aid teams ready in advance in order to prepare equipment, logistics plans, and pre-deployment orientation. These pre-designated teams may be general in scope (e.g., airport management, airport operations, maintenance, and electrical members) or they may be highly specialized (e.g., the two rapid engineering assessment teams based at Dallas-Ft. Worth International Airport).

Qualifications and Training

Members of the aid team must have appropriate qualifications and training for the duties that they expect to perform at the receiving airport. The leader of the aid team must be prepared to be flexible and make adjustments when confronted by conditions on the ground at the damaged airport.

Team Leader

Every deployed aid team should have a leader designated by the airport director or his or her designee. This leader should handle communications with the sending airport and the initial communication upon arrival at the receiving airport. The leader's duties would also include keeping accurate payroll and expenditure records.

Self-Sustaining Capabilities

The aid team should carry its food, bedding, fuel, and generators with it so as not to be dependent on the community around the damaged airport. SEADOG has had great success using recreational vehicles and cargo trailers for transporting such items.

Financial Sufficiency Pending Eventual Reimbursement

The aid team must have cash and debit cards that are sufficient for the duration of the deployment. It is important to note that a severely damaged region may not have open banks or functioning automated teller machines (ATMs).

Incident-Specific Liaison to Obtain the EMAC/FEMA Mission Number

It is absolutely essential to obtain the EMAC/FEMA mission number when the response is related to a Presidential declaration of disaster under the Stafford Act, and it is generally wise for all activated aid teams to obtain a number through the airport-to-airport mutual aid program. This is a specific step taken by the airport in addition to the recommended long-term relationship with the local and state emergency management agencies, but ideally in the context of such a relationship. For clear step-by-step instructions for the EMAC/FEMA process that applies to interstate mutual aid program mission authorization and reimbursement procedures when there is a Presidential declaration of a disaster, see Section 4.6 of the WESTDOG manual (Appendix B to this Guidebook).

Accounting Procedures for Expenditures and Equipment

The team leader and members, as well as the accounting departments of the sending and receiving airports, should review the requirements for record keeping and documenting costs and expenditures. These procedures should be followed precisely throughout the deployment.

Communications

The team should carry equipment that can be used for internal communications, communications with the sending airport, communications with the receiving airport, and communications with the airport-to-airport mutual aid program. This equipment will typically include cell phones, radio telephones, satellite telephones, and electronic tablets or laptop computers. The aid team should follow communications protocols set by the airport-to-airport mutual aid program during deployment/redeployment and satisfy any requirements set by the sending airport.

Specialized Repair or Replacement Equipment

The team should take with it any specialized repair or replacement equipment requested by the receiving airport. Documentation should detail what is sent and should include specifications as this information will be necessary for eventual reimbursement claims.

Post-Disaster Activities

Offering Aid

Whom to Contact

The airport's designated coordinator should contact the coordinator or assistant coordinator of the airport-to-airport mutual aid program. A list of coordinators for 2011–2013 can be found in Appendix A.

How to Volunteer Aid

The basic procedure for volunteering aid is to respond to an aid request that is broadcast by the airport-to-airport mutual aid program coordinator(s). As will be described in Chapter 9, the coordinators will collate and verify incoming aid requests, seek specifics on skills and equipment needed, and send out highly specific requests for aid. Since aid will usually extend for weeks or a few months, it will be staged and sequenced to limit the duration of service of any one team and the length of its absence from the sending airport. Therefore, aid requests will usually ask for information relevant to time availability. The aid request form used by WESTDOG can be found in Appendix L.

The offer to send aid should be sent in compliance with the form and media specified by the airport-to-airport mutual aid program. An airport-to-airport mutual aid program may use an aid offer form or the responses may be narrative communications. The aid offer should be as specific as possible to indicate the accuracy of the match between need and aid. Specificity is important because airport-to-airport mutual aid resources come from the operational and maintenance staff of the sending airport. Requests that result in superfluous or unneeded aid should be avoided. Specificity also allows aid of the right type to be mobilized and delivered at the earliest possible time.

When in doubt, the airport that wishes to send aid should contact the airport-to-airport mutual aid program coordinator(s).

Types of Aid that Can Reasonably Be Requested

Equipment, repair parts, and skilled airport workers are types of aid that can reasonably be requested. The exact nature of resources will depend on the nature of a particular airport-to-airport mutual aid program. Only aviation-related aid should be requested through the airport-to-airport mutual aid program; all other types of aid should be sought through other local, state, commercial, or federal agencies.

Matching of Needs to Aid

Throughout the process, aid requests need to be matched to needs as precisely as possible. This requires as precise a determination of needs for equipment, parts, and people as is possible under the circumstances. Both circumstances and needs will evolve during a disaster and its aftermath. A NIMS/ICS-based emergency response at the airport will track this evolution and can generate and update well-matched aid requests.

Applying for Reimbursement

If complete and adequate records have been kept, applying for reimbursement will be straightforward. The exact forms and procedures will generally be specific to an airport-to-airport mutual aid program or will be specified by one-on-one contracts between two airports. The Stafford Act reimbursements are highly formalized, and forms are available through local emergency management agencies. The duration of the reimbursement process is difficult to predict.

After Hurricane Katrina, it took airports a few months to 4 years to be reimbursed, and reimbursements ranged from 82 to 100 percent of the funds sought, with an average reimbursement of 98.4 percent. To reiterate, the primary variable in successful reimbursement is the quality of the financial records kept during the deployment.

After-Action Review and Lessons Learned

The airport should participate actively in an after-action review and the development of lessons learned even if the airport-to-airport mutual aid program takes the lead. The airport's AEP and ASP may benefit from the application of lessons learned during the use of mutual aid in a disaster.



CHAPTER 9

Procedures and Considerations for Coordinators of Aid

The specific procedures and considerations for an airport or group of airports that coordinate an airport-to-airport mutual aid program will depend on the mission and functions of the program. However, there are some procedures and considerations that are fundamental to any program, and they are addressed in this chapter.

Fundamental Concept

The coordination and management of an airport-to-airport mutual aid program must always be done by an airport or group of airports. Any other arrangement will hinder the professional advantages of mutual aid, especially the necessary and precise matching of needs and assistance. Outside management of an airport-to-airport mutual aid program would violate the volunteerism core of the concept and, by adding a layer of control, slow the responses of the organization and distance it from understanding the urgency of need at an affected airport.

Functions

Maintaining or Sustaining a Mutual Aid Program

The greatest challenge for the coordinating or lead airports of a mutual aid program is to maintain momentum and interest between activations. It is easy to have enthusiasm and awareness during activations, but it is more challenging to engender the same level of interest during the months or years between activations. A sample cycle for sustaining a mutual aid program is shown in Figure 6. In addition, the following are examples of tools and actions that the coordinating or lead airports can use in connection with maintaining or sustaining a mutual aid program:

- Periodic meetings in association with the AAAE, ACI-NA, ALEAN, ARFF, or emergency management groups;
- Independent meetings of representatives of the airports participating in a program, such as WESTDOG does annually;
- Periodic conference calls among participating airports;
- Test activations of communications systems and protocols;
- Alert messages for all potential activations, such as SEADOG does for each designated hurricane;
- Publication of lessons learned and best management practices;
- Incorporation of airport-to-airport mutual aid program aspects in annual and triennial drills; and
- Staff exchanges for airport orientation, exercise observation, or peer review.

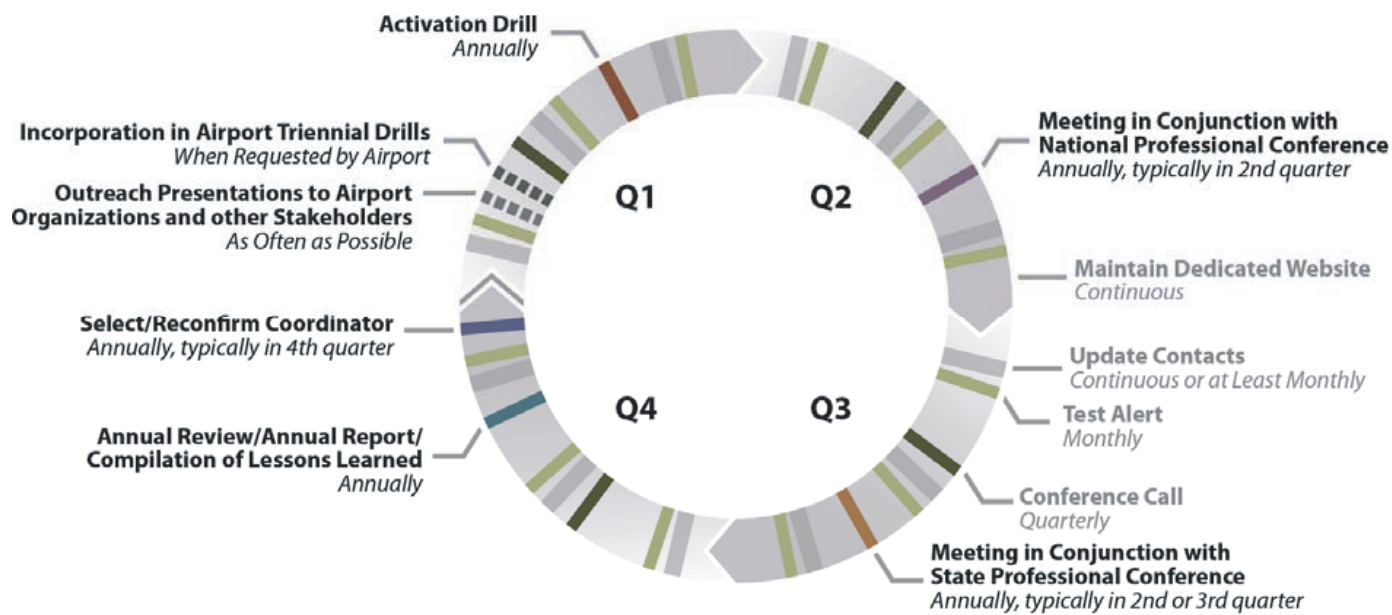


Figure 6. Sustaining a mutual aid program.

Preparedness to Activate

Coordinating and lead airports need to maintain readiness to activate. Some of these actions have already been noted as useful for maintaining and sustaining mutual aid programs, but some are more closely related to the imminence of a hazard.

Pre-Incident Tracking

Coordinating and lead airports need to track developing situations that may culminate in a need for mutual aid, at least for the types of incidents for which lead times are generated by forecasters. Such incidents include hurricanes, severe winter storms, and floods. Sharing this information with the entire airport-to-airport mutual aid program and its allies is useful.

Reaching Out to Potentially Affected Airports

Although the basic premise of airport-to-airport mutual aid programs is the pull model rather than the push model, it is a legitimate function of coordinating and lead airports to reach out to potentially affected airports to remind them of the types of mutual aid available and the procedures for requesting aid.

Precise Matching of Aid to Need

Coordinating and lead airports need to be prepared to analyze assistance requests and aid offers in order to match them. This means that they need to have experts (typically operational, maintenance, facility, and electrical) available on short notice to evaluate requests and offers and make the matches. These experts can all be based at one coordinating airport or can be distributed among several lead airports. It is the function—not the location—of the experts that is essential.

Staging of Aid

Coordinating and lead airports need to estimate the potential duration and intensity of mutual aid and devise a schedule to stage assistance. Such staging will ensure continuous support to

the affected airport, provide overlap of departing and incoming aid teams, and protect sending airports from substantial absences of key personnel. Coordinating and lead airports need a tracking system for the aid teams they coordinate.

Alerting Potential Volunteers

Coordinating and lead airports need to have a system—preferably multiple systems—for alerting airports that may be able to send aid. The alerts should include basic information on the threat or need, timing concerns, and as much specific information as possible on specialty skills and equipment that may be needed.

Ability to Manage Composite Teams

Since airport-to-airport mutual aid programs may include a wide range of airport types and sizes and since most airports have very lean staffing levels, it is possible that some aid teams will include members from several airports. In such a case, the coordinating and lead airport should designate a team leader and call on individual volunteers to be members of the team.

Maintenance of Communications between and during Activations

An airport-to-airport mutual aid program should have agreed-upon communications systems and protocols and aid teams should carry communications equipment, as described in Chapter 8. The coordinating or lead airport will be the communications nexus during the lead-up to and throughout activation.

Coordinators

General Considerations

The following are the five main considerations for choosing a coordinator:

- Volunteerism;
- Reliability;
- Full support of senior management at the coordinating airport;
- Location does not matter as long as it does not interfere with the coordination function; and
- Use or non-use of specialized coordinators; either choice is workable.

Functions

Although a wide range of potential functions were introduced in the early chapters of this Guidebook, airport-to-airport mutual aid coordinators have a short list of major functions as now practiced by SEADOG and WESTDOG.

Management of the Dispatch of Aid Teams

Managing the dispatch of aid teams involves the recruitment of assistance, the matching of assistance requests and aid offers, and the staging of assistance.

Maintenance of Communication

The coordinators will be the authority on communications and the most likely source for determining alternative communications approaches if one of the pre-planned systems breaks down. One specific function of coordinators should be to preside at and set the agenda for conference calls.

Initial Evaluation

The effectiveness of an airport-to-airport mutual aid program can be greatly enhanced if the coordinating and lead airport can dispatch a team of expert evaluators to assess the engineering, structural, and operational damage and needs at an affected airport. This may be especially beneficial for smaller airports that do not have large internal staffs. SEADOG, for example, has pre-designed assessment teams that can deploy at short notice and provide detailed intelligence to the coordinator, who will use the information to guide decisions.

Airport Operations, Maintenance, and Repair

Airport operations, maintenance, and repair are the GA-related services that are needed to reconstitute a damaged airport or provide operational support to an airport stressed by unusual operations relating to a regional disaster; however, just because they are general fields does not mean that the precise matching of specific needs and specific skills, equipment, and parts is not needed when these general skills are applied to specialized airport systems. Many or even most electrical and mechanical systems become special when installed or operated on an airfield. This matching is a major function of the coordinator.

ARFF

The coordinator may want advisors for ARFF matters so that ARFF support can be matched with other needs in tandem, but separately, from airport operations, maintenance, and repair aid.

Security and Law Enforcement

Security and law enforcement functions are similar to functions for ARFF. A damaged airport may have a compromised security system and need assistance from the airport-to-airport mutual aid program for physical security operations. In addition, aid teams traveling with resources into a disaster area may need security.

Logistics

Although the primary responsibility for getting aid teams and resources to the affected airport belongs to the sending airport, the coordinator may need a logistics expert to help with arrangements. An example of this type of situation occurred during Hurricane Rita when flatbed trucks carrying equipment were stopped at state lines.

Utilities

During Hurricanes Katrina and Rita, major issues at MSY required close cooperation with electrical and other utilities. The coordinator may want to have a utilities expert on call or send such an expert with the initial evaluation team or early aid teams.

Communications

Communications must be organized from at least the following three perspectives: by phase, by mode, and by purpose.

Phase

Routine

Routine communications will normally be conducted by e-mail, but might also be accomplished via telephone and dedicated websites with a notification feature.

Management during Alerts

Communications during alerts will be conducted using the same methods as routine communications, but will be distinguished by message titles.

Management during Activation

E-mail and websites will continue to be used, but the primary communications method during activation will be by voice—either teleconference or radio.

Mode

Telephone

Landlines and cell phones are probably the most likely initial communications mode, but may not be the most efficient as phone calls do not normally generate a written record of correspondence.

E-mail

E-mail will be the normal mode for communicating assistance requests, alerts, aid offers, notices of conference calls, and SITREPs.

Dedicated Website

Dedicated websites are emerging as the most powerful and efficient communications tool. These sites enable the visual tracking of airport status, aid teams, and resources. They can be used for any of the functions previously conducted by e-mail. WESTDOG, CARST, and SEADOG have dedicated websites that offer very different examples of a range of embedded services and functions.

Social Media

The tool of the future may be social media. Airport-to-airport mutual aid programs may wish to explore the use of social media tools for alerts, notifications, and tracking.

Web-Based Collaborative Tools

The Web-based collaborative tools that are used by many emergency management agencies, federal agencies, and some airports seem to have limited applicability to airport-to-airport mutual aid programs because of the many different systems used and the lack of such systems at many airports. Web-based collaborative tools for the coordination of emergency management at airports are currently being investigated under ACRP Project 04-12, “Integrating Web-Based Emergency Management Collaboration Tools into Airport Operations.”

Multi-Party Teleconferencing Tools

Multi-party teleconferencing (e.g., FAA Bridgeline, which has been used in the past by SEADOG) has been the most fundamental communications tool used by airport-to-airport mutual aid program communications, and it seems likely to remain so. Its primary virtues are ease of use, ease of access, and immediate dissemination of information. Its primary drawback is the unwieldiness of the effort needed to manage a call. The coordinators need to preside over these calls and set the agenda.

Purpose

All communications used by an airport-to-airport mutual aid program and its coordinator should be pre-formatted with templates to ensure completeness and clarity. The most important

template is for SITREPs. Appendix M sets forth the SITREP template used by WESTDOG. In addition, the airport-to-airport mutual aid program and its coordinator should establish a policy for SITREPs to address such issues as formats, frequency, originators, and distribution lists.

Useful Model for Detailed Operations

The WESTDOG operations manual provides detailed examples of the concepts presented in this chapter. It is reproduced in its entirety as Appendix B of this Guidebook and is available on the WESTDOG website (<http://westdogairports.com/>). In addition, it includes detailed checklists that have been extracted or adapted and repeated for all of the functions described in Chapters 7, 8, and 9 of this Guidebook.



CHAPTER 10

Choices for Airports Regarding Mutual Aid

Deciding whether to participate in airport-to-airport mutual aid depends on an individual airport. No other airport or outside authority can determine what solution fits a particular airport better than that airport and its leaders. This Guidebook has attempted to describe the nature and functions of the full range of existing and potential airport-to-airport mutual aid programs in order to provide airports with a tool that can be used to help them decide whether to participate in mutual aid and, if so, how to participate.

The choices that an airport faces regarding participation in airport-to-airport mutual aid include the following:

- Not to be active in airport-to-airport mutual aid and attempt to be fully self-sufficient.
- Not be active in an airport-to-airport mutual aid program but request aid from one of the existing programs (see Table 2 in Chapter 2) if a need for aid arises.
- Join an existing mutual aid program that fits the airport's needs. Table 2 may be useful in identifying which type of mutual aid program an airport may join.
- Initiate the formation of a new mutual aid program to fit the airport's needs and those of a group of airports with similar needs. Table 3 in Chapter 4 may be useful in identifying which type of mutual aid program to form:
 - One-to-one mutual aid agreement,
 - Small region mutual aid program,
 - Specialized mutual aid program,
 - Regional mutual aid program in region without a mutual aid program,
 - Mutual aid program for response phase (e.g., CARST), or
 - Other mutual aid program grounded in disaster emergency management at airports.

Airport-to-airport mutual aid programs have proven their worth and have the potential for greater services to airports suffering disasters. They are cost-effective and have led to improvements in emergency management, COOP, and COB at airports.



APPENDIX A

Airport Personnel Contacts

Airport Contacts with Experience in Airport-to-Airport Mutual Aid Programs

Contact Person	Location	Telephone	E-mail
Colorado Aviation Recovery Support Team (CARST) http://www.coloradoaviationrecovery.com/			
Hilary Fletcher	Jviation, Inc.	(720) 544-6521	hilary.fletcher@jviation.com
New England Aircraft Rescue and Firefighting (ARFF) Equipment Interchange			
Chief Robert Donahue	Massport	(617) 561-3401	rdonahue@massport.com
Southeast Airports Disaster Operations Group (SEADOG) http://seadogops.wordpress.com/			
Coordinator– Fred McCosby/Amanda Welch	Savannah/Hilton Head	(912) 964-6689	fmccosby@savannahairport.com , awelch@savannahairport.com
Assistant Coordinator– Tom Draper	Orlando	(407) 825-3021	tdraper@goaa.org
Assistant Coordinator– John Klein	Houston Airport System	(281) 230-3000	John.klein@cityofhouston.net
Rapid Engineering Evaluation Team– Todd Haines	Dallas-Ft. Worth	(972) 973-9500	THaines@dfwairport.com
Security Coordinator	San Antonio	(210) 207-3477	
ARFF Coordinator– Alan Black/Brian McKinney	Dallas-Ft. Worth	(972) 973-9500	ablack@dfwairport.com , bmckinney@dfwairport.com
Communication & Website– Sean Broderick	AAAE		Sean.Broderick@aaae.org
Western Airports Disaster Operations Group (WESTDOG) http://westdogairports.com/			
2011 Coordinator – John Sawyer	Phoenix	(602) 273-2072	john.sawyer@phoenix.gov
2012 Coordinator/2011 Back-up—Terry Craven	Salt Lake City	(801) 575-2070	terry.craven@slcgov.com
2013 Coordinator/2012 Back-up—Rob Forester	Oakland	(510) 563-6436	rforester@portoakland.com



APPENDIX B

WESTDOG Manual

Western Airports Disaster Operations Group
(WESTDOG)
Airports Mutual Aid Plan

WESTDOG Mutual Aid Plan

“Airports Helping Airports”

November 2007

November 29, 2007

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

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Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

1.0 Executive Summary

Started in May of 2006, the *Western Airports Disaster Operation Group* (WESTDOG) is a consortium of airports in the western region of the United States committed to airport assistance and response during a disaster. Simply stated, the motto of WESTDOG is “*airports helping airports.*”

The *Western Airports Disaster Operations Group* (WESTDOG) Mutual Aid Plan (MAP) establishes the basis for the provision and management of airport assistance to an affected airport impacted by a catastrophic or significant disaster or emergency which results in a requirement for local, state or federal response assistance. Airports that participate in WESTDOG do so with the understanding that it is a *volunteer* program and affiliation has no legal underpinnings and is not binding. This concept allows airports to contribute based on their willingness and ability to provide assistance and resources.

The WESTDOG Mutual Aid Plan (MAP) is based on the fundamental assumption that a significant disaster or emergency will overwhelm the capability of an airport or local government to carry out the extensive emergency response necessary to save lives, protect property, and most important, restore operations. Consequently, resources of affiliate or supporting airports will be used to provide response assistance to the affected airport. The designated Lead Airport will be responsible for executing the plan coordinating response resources.

Under the Mutual Aid Plan, the Lead Airport will appoint a WESTDOG Incident Coordinator (WIC) to coordinate the overall delivery of airport response and assistance. Affiliated or supporting airports will provide response assistance directly to the affected airport or local government, under direction of the Lead Airport/ WESTDOG Incident Coordinator.

Airports that affiliate with WESTDOG *volunteer* to support the overall concept of operations of the Mutual Aid Plan (MAP) and to provide assistance when needed or requested. In addition, affiliate airports also *volunteer* to participate in planning efforts, conferences, and exercises in order to maintain an overall airport-to-airport response capability.

2.0 Plan Basics

2.1 Glossary of Key Terms:

General - The definitions contained in this section apply to the terms used in this plan. Where terms are not included, common usage of the terms shall apply.

Agency - Defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance).

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

“Shall” - Indicates a mandatory requirement.

“Should” - Indicates a recommendation or that which is advised but not required.

“Will” - Indicates a mandatory requirement.

Deployed Airport - An airport recovery team deployed for the purposes of rendering service- and site-restoration; the reconstitution of airport operations and services.

Lead Airport - Defined as the Airport having responsibility for activating and coordinating WESTDOG or as assisting or cooperating (providing resources or other assistance).

WESTDOG Incident Coordinator (WIC) – Is the Lead Airport Primary Point of Contact for WESTDOG during an incident.

WESTDOG Liaison – Is the WESTDOG point of contact that arrives at the Impacted Airport and is the main link to WESTDOG.

Impacted Airport - Is the airport that is affected or impacted by an Incident, Emergency, and or Major Disaster requesting assisting from WESTDOG.

Incident - An occurrence or event, natural or human-caused that requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wild land and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

Emergency - Absent a presidential declared emergency, any incident(s), human-caused or natural, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Major Disaster - As defined under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122), a major disaster is any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of States, tribes, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

Affiliate Airport - An airport connected to WESTDOG and has a current affiliate airport application form on file with the Lead Airport.

Resources - Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.

2.2 Acronyms:

EMAC – Emergency Management Assistance Compact

OES or OEM or EMD – Your state department of Emergency Management

AAAE – American Association of Airport Executives

ACI – Airports Council International

NIMS – National Incident Management System

ICS – Incident Command System

UC – Unified Command

DHS – Department of Homeland Security

FAA – Federal Aviation Administration

TSA – Transportation Security Administration

FEMA – Federal Emergency Management Agency

SEADOG - Southeast Airports Disaster Operations Group

CONOPS – Concept of Operations

MAP – Mutual Aid Plan

WESTDOG – Western Airports Disaster Operations Group

WIC - WESTDOG Incident Coordinator

2.3 Background:

2.3.1 The *Western Airports Disaster Operations Group* (WESTDOG) was formed in May, 2007 following a similar consortium and program developed in 2004 by the Southeast Airports Disaster Operations Group (SEADOG). SEADOG was created to respond to potential natural disasters endemic to the region, such as hurricanes, tornados, and floods. Under SEADOG, airports are organized in advance of a disaster in order to respond with aid to another airport impacted by such a disaster.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

2.3.2 The approach of WESTDOG is to formalize the concept of airport-to-airport mutual aid to western region airports that may be impacted by any natural or man-made disasters such as earthquakes, floods, wildfires, winter storms or terrorism. Like other public safety mutual aid agreements, participation in WESTDOG is *voluntary*.

2.4 Premise:

2.4.1 Airports are critical infrastructure and play a vital role in the recovery of a region from a disaster, serving as the lifeline for emergency response, assistance and evacuation. Therefore, it is imperative that airports be restored to operational capability as soon as possible following a disaster. Given the importance air transportation and air services are to disaster response and recovery, it is critical that commercial air transportation be restored as well.

2.4.2 Individual airports have limited capacity and capability to recover from catastrophic events. Following a disaster, highly skilled and specialized employees may be unable to respond to the airport for many reasons including personal injury, displacement, family emergencies and other personal tragedy.

2.4.3 Given the unique and specialized nature of airport operations, systems, and infrastructure, the skills and resources needed to restore airport operations more than likely will not be available in the area. Therefore, it is critical that an airport network or consortium is established and ready to respond and assist with “airport centric” skills and resources.

2.4.4 The WESTDOG Mutual Aid Plan (MAP) has been developed to harmonize with existing local, state, and federal disaster or emergency response plans to provide an effective airport-to-airport response. Establishing coordination, communications and operations under the fundamentals of the National Incident Management System (NIMS), the plan ensures an essential working relationship is created at the appropriate government or municipal level while providing the vital and timely resources needed to restore an airport’s critical infrastructure and operations.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

2.5 Participation/Affiliation:

- 2.5.1 While all western area airports are invited to participate in WESTDOG, it is recognized that larger airports have more resources to dedicate to planning and organizational efforts. Therefore, it is anticipated that these airports will assume a lead role in the WESTDOG initiative.
- 2.5.2 All airports participating in WESTDOG are expected to commit a reasonable number of resources to the ongoing administrative, planning and organizational efforts of WESTDOG.
- 2.5.3 As stated earlier, WESTDOG is a *volunteer* program and participating airports are recognized as affiliates after they complete and submit a program affiliation form.
- 2.5.4 Although the Mutual Aid Plan (MAP) is linked to the Emergency Management Assistance Compact (EMAC), affiliate airports must be prepared to absorb costs associated with airport assistance and disaster response in the event EMAC reimbursement is unavailable. However, it is unlikely such an instance would occur given the support, funds, and involvement EMAC has with the National Emergency Management Association (NEMA).

3.0 Roles and Responsibilities

3.1 Lead Airport

3.1.1 Administrative Duties of Lead Airport:

- 3.1.1.1 The Lead Airport shall assign personnel within its organization to coordinate, update, and manage the WESTDOG program.
- 3.1.1.2 In addition, the Lead Airport shall maintain the WESTDOG Operations Plan, including appendices with checklists for deployment, EMAC procedures, etc.
- 3.1.1.3 As part of its oversight and management responsibilities, the Lead Airport shall periodically exercise notification procedures and conduct conference calls.
- 3.1.1.4 To ensure effective continuity, coordination, communication, the Lead Airport shall schedule periodic meetings to review and update the plan, its operational procedures and checklists, including documenting and disseminating plans, procedures, protocols and checklists to associations, airports and others.

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- 3.1.1.5 As part of a cooperative agreement, the Lead Airport shall coordinate with SEADOG to share lessons learned.
- 3.1.2 One (1) airport will be designated as the Lead Airport for WESTDOG for each calendar year.
- 3.1.3 A second airport will be designated as the Deputy Lead Airport for the same year.
- 3.1.4 The Lead Airport shall:
 - 3.1.4.1 Organize and chair meetings and conference calls.
 - 3.1.4.2 Lead WESTDOG response efforts within western region.
 - 3.1.4.3 Coordinate WESTDOG response efforts outside of the western region.
 - 3.1.4.4 Coordinate any WESTDOG exercises for the calendar year.
 - 3.1.4.5 Establish the WESTDOG Disaster Operations Center (DOC), provide name of WESTDOG Incident Coordinator (WIC) and be the focal point for all coordination, communications, and support to the Impacted Airport.
 - 3.1.4.6 The Deputy Lead Airport assists the Lead Airport as needed and assumes that responsibility when the Lead Airport is unable to assume its primary lead responsibilities.
 - 3.1.4.7 Establish teleconference and data capabilities to ensure essential communications and coordination with affiliate airports providing response and assistance.

NOTE: During the Rita and Katrina hurricane disasters, the FAA provided SEADOG with teleconference capabilities through its mobile "phone bridge" system.
- 3.2 Deputy Lead Airport
 - 3.2.1 NOTE: The airport assigned as Deputy Lead Airport shall not be in the same area as the Lead Airport. To ensure a disaster does not compromise an airport's ability to fulfill its WESTDOG responsibilities, it is desired that the Deputy Lead Airport be separated from the designated Lead Airport by at least 300 miles.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

- 3.3 Participating/Affiliating WESTDOG Airports shall:
- 3.3.1 Determine their legal ability, liabilities and limitations with regard to participation in WESTDOG. In addition, an affiliate airport shall report determinations to the WESTDOG Lead Airport.
 - 3.3.2 Indicate participation by completing a WESTDOG “Affiliation Form.”
 - 3.3.3 Make a good faith effort to participate in WESTDOG conference calls, meetings, and exercises.
 - 3.3.4 Ensure an airport Affiliation Form is current and on file with the Lead Airport.
 - 3.3.5 Maintain a close relationship with local, county, and state emergency management agencies to facilitate efficient processing of requests for assistance reimbursement. See Section 8.0 for further information.
 - 3.3.6 Coordinate Emergency Management Assistance Compact (EMAC) procedures and details with local, county, and state emergency management services/agencies.
 - 3.3.7 Assess its ability to deploy resources following an event and coordinate with the WESTDOG Lead Airport.
NOTE: Affiliate airports SHALL NOT self deploy.
 - 3.3.8 Provide to the extent possible, planning, operations, logistics and finance support to WESTDOG organizational efforts and responses to incidents, emergencies, or disasters.

4.0 Concept of Operations

4.1 WESTDOG Mutual Aid Plan

- 4.1.1 The WESTDOG *Mutual Aid Plan* (MAP), as the core operational plan for regional airport disaster response and management, establishes a regional-level coordinating structure, process, and protocols that are designed to be implemented by the designated Lead Airport. The WESTDOG Mutual Aid Plan (WMAP), which identifies affiliate airports and incorporates each organization’s pertinent information, provides the basis for contacting affiliate airports, coordinating response and resources, and managing emergency support operations. This is generally accomplished by the Lead Airport’s WESTDOG Incident Coordinator (WIC). The WIC is the primary point of contact (POC) for operations related to activation of the WMAP.
- 4.1.2 To ensure effective coordination and communication with the Lead Airport, specifically, the WIC, it is paramount that the WESTDOG Liaison be deployed to the affected or impacted airport’s Emergency Operations Center (EOC). This person is the primary point of contact (POC) and the “single link” for all coordination and communication with the WESTDOG Incident Coordinator (WIC). The WESTDOG Liaison communicates directly with the impacted airport’s EOC Director to coordinate WESTDOG’s incident response and resources.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

- 4.1.3 The WMAP, together with other established airport mutual aid plans, integrates the capabilities and resources of various airports into a cohesive, coordinated, and seamless regional framework for airport incident and disaster management.
- 4.2 Transfer of Lead Airport Responsibilities
 - 4.2.1 The WMAP is maintained and managed by the Lead Airport for a period of one calendar year—from January 1 to December 31. To ensure program and plan continuity, the current Lead Airport is responsible for coordinating the transfer of responsibilities to the relieving Lead Airport.
- 4.3 Other Disaster Response Plans
 - 4.3.1 The WESTDOG MAP is considered a regional affiliation program for airport mutual aid and is not formally related to or associated with any state or federal incident- or hazard specific plans. However, WESTDOG augments local, state and federal incident response plans and establishes a relationship with the Emergency Management Assistance Compact (EMAC). Each affiliate airport is responsible to ensure proper coordination with and linkage to its local and/or state EMAC coordinator.
- 4.4 National Incident Management System
 - 4.4.1 The WESTDOG MAP and the National Incident Management System (NIMS) are complimentary documents designed to assist and enhance the Lead Airport's incident management capabilities and overall effectiveness. The NIMS provides a template for incident management regardless of magnitude, scope, or cause. Use of NIMS and the WMAP enables the Lead Airport, Impacted Airport, and Deployed Airports to work together effectively and efficiently to prepare for, respond to, and recover from disasters or incidents.
- 4.5 Incident Command System
 - 4.5.1 The Incident Command System (ICS) is generally used to establish a Unified Command (UC) when there is more than one agency with incident jurisdiction or when incidents cross-political jurisdictions. Agencies work together through designated members of the Unified Command to establish their designated Incident Commanders at a single Incident Command Post (ICP). In the Unified Command, entities develop a common set of objectives and strategies, which provides the basis for a single Incident Action Plan (IAP).

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4.6 Emergency Management Assistance Compact

4.6.1 The Emergency Management Assistance Compact (EMAC) is a national Governor's interstate mutual aid compact that facilitates the sharing of resources, personnel and equipment across state lines during times of disaster or emergency. EMAC is formalized into law by member parties. Currently, each state is a member of EMAC.

4.6.2 The Emergency Management Assistance Compact (EMAC), established in 1996, has been effective and reliable when activated and stands today as the cornerstone of mutual aid. The EMAC mutual aid agreement and partnership between member states exist because from earthquakes, wildfires to toxic waste spills, and terrorist attacks to biological and chemical incidents, all states share a common enemy: the threat of disaster.

4.6.3 Since being ratified by Congress and signed into law, in 1996, (Public Law 104-321), 50 states, the District of Columbia, Puerto Rico, Guam, and the US Virgin Islands have enacted legislation to become members of EMAC. EMAC is the first national disaster-relief compact since the Civil Defense and Disaster Compact of 1950 to be ratified by Congress.

4.6.4 For more detailed information on EMAC, its administration, processes, and management, access the EMAC website at www.emacweb.org.

4.7 Logistics

4.7.1 Once the WESTDOG MAP is activated, the Lead Airport's WESTDOG Incident Coordinator (WIC) shall communicate names and key contact information to the WESTDOG affiliates as well as AAAE, ACI-NA and the FAA Region.

4.7.2 Each affiliate airport is responsible for maintaining WESTDOG e-mail and telephone contact information.

4.7.3 To ensure continuity of data and information, the Lead Airport is responsible for maintaining the WESTDOG MAP and associated affiliate airport data file (Airport Affiliation Application and Profile).

4.8 Affiliation

4.8.1 Airports that affiliate with WESTDOG do so in *volunteer* status. However, once the WESTDOG MAP is activated, affiliate airports should expect to be contacted by the Lead Airport regarding its ability to provide response and assistance to an impacted or affected airport. Within the spirit and intent of WESTDOG, each affiliate airport contacted shall determine its ability to provide response and assistance at any given time.

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5.0 Activation

5.1 Lead Airport shall:

- 5.1.1 Designate a WESTDOG Incident Coordinator (or coordinator if working multiple shifts) from the Lead Airport to coordinate, administrate and manage the WESTDOG Mutual Aid Plan (MAP).
- 5.1.2 Activate WESTDOG Mutual Aid Plan (MAP).
- 5.1.3 Make every attempt to contact the *Impacted Airport* following an emergency to establish points of contact at the *Impacted Airport*. In addition, the Lead Airport shall remind the *Impacted Airport* and *Deployed Airports* to use the WESTDOG MAP to ensure essential coordination and communications.
 - 5.1.3.1 Assess the situation and determine if the *Impacted Airport* will need assistance.
 - 5.1.3.2 After speaking with the *Impacted Airport* or if unable to make contact, determine if a reconnaissance team should be deployed to assess the situation. If a team is deployed, it should contact the appropriate authorities to advise and facilitate access to the incident site.
 - 5.1.3.3 Identify and define the initial actions and roles for WESTDOG airports that are providing response and assistance.
- 5.1.4 Remind the *Impacted Airport* to coordinate with their state Office of Emergency Services (OES) to initiate the EMAC process and obtain a mission number for the incident or disaster.
- 5.1.5 Determine what resources are available on scene to support deploying personnel (food, quarters, transportation, communications, etc.).
- 5.1.6 Schedule conference calls to coordinate initial actions.
- 5.1.7 Continually disseminate information to all WESTDOG airports-- both deployed and affiliates. Also, provide vital information to AAAE, ACI, FAA and others, as appropriate.
 - 5.1.7.1 Submit a Situation Report (SITREP). See Forms.
- 5.1.8 Delegate and/or assign specific tasks to other airports (such as collecting data, receiving reports, conducting research, tracking resources, etc.) and track task progress.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

- 5.1.9 Coordinate actions with AAAE/ACI/FAA/SEADOG local, county, and state OES to facilitate wide dissemination of resource requirements.
 - 5.1.10 Schedule and assign deployments of volunteer WESTDOG airport resources.
 - 5.1.10.1 Assign a Lead Liaison to represent all the Deployed Airports (teams) to the Impacted Airport.
 - 5.1.11 Track the progress of *Deployed Airports* to the *Impacted Airport*.
 - 5.1.12 Schedule additional follow-on airport response and assistance deployments, as necessary.
 - 5.1.13 Host conference calls as required to coordinate actions.
- 5.2 Impacted Airport(s) shall:
- 5.2.1 Contact the Lead Airport (WESTDOG Incident Coordinator), if able, and provide a damage assessment and list of critical personnel and equipment resources required or needed. Use the *Airport Damage Assessment Checklist* for this purpose. See Checklists.
 - 5.2.2 Initiate EMAC process with the local, county and state Office of Emergency Services (OES).
 - 5.2.3 Refer offers of assistance to the Lead Airport (WESTDOG Incident Coordinator) for coordination.
 - 5.2.4 Determine what lodging and provisions would be available to responding Deployed Airports (teams).
 - 5.2.5 Designate a WESTDOG liaison for communications coordination with Lead Airport (WESTDOG Incident Coordinator).
- 5.3 Deployed Airports (teams) shall:
- 5.3.1 Designate a WESTDOG Liaison.
 - 5.3.1.1 The WESTDOG Liaison establishes contact with the *Impacted Airport* Emergency Operations Center (EOC) upon arrival and determines the current rules of engagement for response and assistance at the *Impacted Airport*. The Lead Liaison should plan to work in the EOC.
 - 5.3.1.2 The WESTDOG Liaison establishes Work Team Lead(s) for the Deployed Airports (teams) to coordinate the response, mitigation and recovery efforts in the field. Multiple leads may be necessary for each work area (maintenance, operations, law enforcement, fire, etc.).

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5.3.1.3 The WESTDOG Liaison (lead person) regularly gives status reports to the Lead Airport (WESTDOG Incident Coordinator).

5.3.1.4 At least twice daily, the WESTDOG Liaison shall coordinate with the *Impacted Airport* to ensure *Deployed Airports* (teams) have clear work tasks and adequate provisions and lodging.

6.0 Guidance/Information for Deployed Airports

6.1 Depending on the circumstances of the incident or disaster, *Deployed Airports* may chose to bring their own law enforcement personnel (LEP) to assist with security and protection of response and assistance teams.

6.2 To ensure essential and vital communications and coordination, *Deployed Airports* should strongly consider deploying with its own equipment for point-to-point communications, for example, walkie-talkies, CB radios, SAT telephones, etc.

7.0 Appendices

7.1 Forms/Checklists

7.1.1 Affiliation Application Form

7.1.2 Impacted Airport Damage Assessment Checklist

7.1.3 Request for Assistance Form

7.1.4 Situation Report Form (SITREP)

7.1.5 Impacted Airport Recovery Checklist

7.1.6 Deployment Checklist

8.0 EMAC Reference Section

8.1 Information: Emergency Management Assistance Compact (EMAC)

8.1.1 The Emergency Management Assistance Compact (EMAC), established in 1996, has weathered the storm when tested and stands today as the cornerstone of mutual aid. The EMAC mutual aid agreement and partnership between member states exist because from hurricanes to earthquakes, wildfires to toxic waste spills, and terrorist attacks to biological and chemical incidents, all states share a common enemy: the threat of disaster.

8.1.2 Since being ratified by Congress and signed into law, in 1996, (Public Law 104-321), 50 states, the District of Columbia, Puerto Rico, Guam, and the US Virgin Islands have enacted legislation to become members of EMAC. EMAC is the first national disaster-relief compact since the Civil Defense and Disaster Compact of 1950 to be ratified by Congress.

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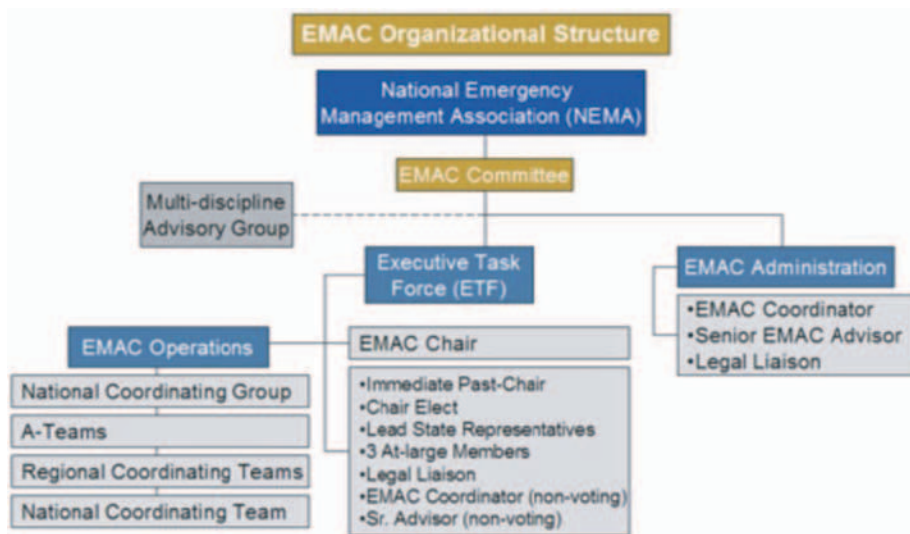
- 8.1.3 The strength of EMAC and the quality that distinguishes it from other plans and compacts lies in its governance structure, its relationship with federal organizations, states, counties, territories, and regions, and the ability to move just about any resource one state has to assist another state, including medical resources.
- 8.2 EMAC offers the following benefits:
 - 8.2.1 EMAC assistance may be more readily available than other resources.
 - 8.2.2 EMAC allows for a quick response to disasters using the unique human resources and expertise possessed by member states.
 - 8.2.3 EMAC offers state-to-state assistance during Governor declared state of emergencies:
 - 8.2.4 EMAC offers a responsive and straightforward system for states to send personnel and equipment to help disaster relief efforts in other states. When resources are overwhelmed, EMAC helps to fill the shortfalls.
 - 8.2.5 EMAC establishes a firm legal foundation: Once the conditions for providing assistance to a requesting state have been set, the terms constitute a legally binding contractual agreement that makes affected states responsible for reimbursement. Responding states can rest assured that sending aid will not be a financial or legal burden and personnel sent are protected under workers compensation and liability provisions. The EMAC legislation solves the problems of liability and responsibilities of cost and allows for credentials to be honored across state lines.
 - 8.2.6 EMAC provides fast and flexible assistance: EMAC allows states to ask for whatever assistance they need for any type of emergency, from earthquakes to acts of terrorism.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

- 8.2.7 EMAC's simple procedures assist states in dispensing with burdensome bureaucratic processes.
- 8.2.8 EMAC can move resources other compacts cannot - like medical resources.
- 8.2.9 Thanks to EMAC, states are able to join forces and help one another when they need it the most: whenever disaster strikes.

8.3 EMAC Administration

- 8.3.1 The strength of EMAC and the quality that distinguishes it from other plans and compacts lies in its governance structure. EMAC is administered by NEMA, the National Emergency Management Association.
- 8.3.2 The EMAC Committee of NEMA, led by its chairperson, is the managing body of the compact and provides overall policy direction for EMAC operations. The committee is made up of representatives from each member state, either the state director or his or her appointed representative. The committee formally meets twice a year, usually concurrently with the NEMA annual and mid-year conferences.

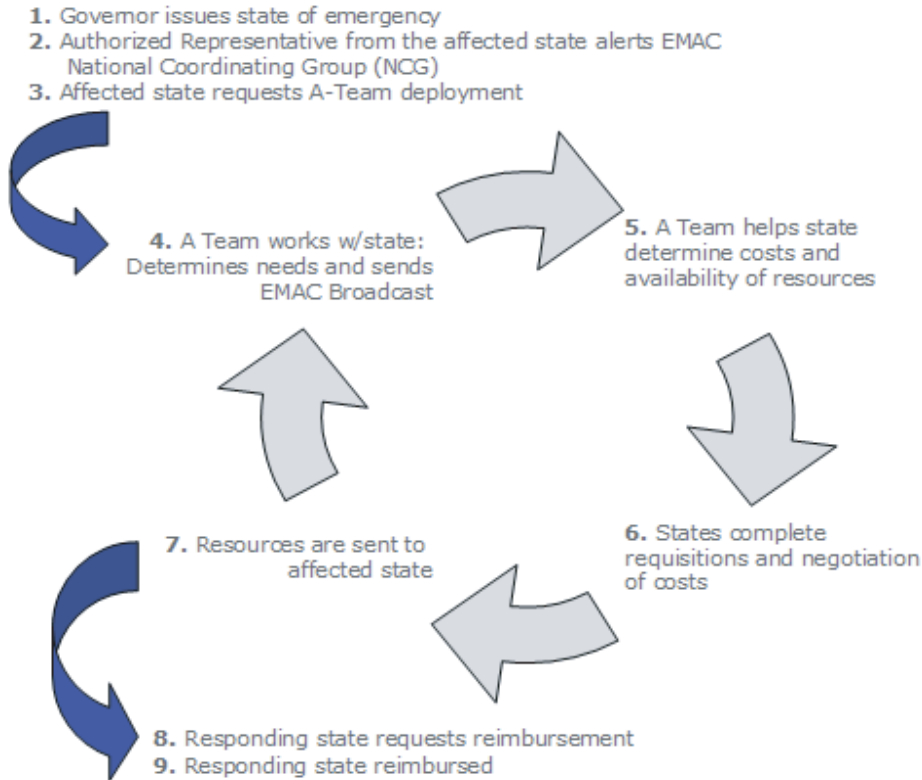


- 8.3.3 The Chair and the EMAC Executive Task Force ensure that EMAC is in a constant state of readiness and that improvements to the processes are ongoing to meet the needs of member states. The Executive Task Force comprises the Chair, the Chair-elect, the Past Chair, Lead State Representatives (LSRs) from each of the 10 FEMA regions, three at-large members, Legal Liaison, as well as the National EMAC Coordinator and the EMAC Senior Advisor. The Executive Task Force meets (at least bimonthly) to conduct the business of the compact.

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- 8.3.4 The National EMAC Coordinator and the EMAC Senior Advisor serve *ex officio* on the Executive Task Force. They do not vote and their positions do not count against the authorized representation. The NEMA EMAC Coordinator is the national point of contact for EMAC, coordinates EMAC activities, maintains the EMAC Operations Manual, the Field Guide, and the Operating Protocols with support from the Senior EMAC Advisor.
- 8.3.5 The Chair of the Executive Task Force can also appoint Special Assignment implementation and maintenance of the compact. Typically, Special Assignment Task Forces are involved in updating procedures and developing training courses.
- 8.3.6 The Lead State Representatives (LSRs) serve as information conduits between the Operations Subcommittee and the member states. LSRs represent the viewpoints of the member states by actively participating and voting on official ETF matters. LSRs facilitate training courses and mentor states within their regions.
- 8.3.7 The NEMA staff provides administrative support to EMAC.
- 8.4 EMAC Processes and Administration
 - 8.4.1 Generally speaking, EMAC works because the members of the Compact are passionate about helping one another during times of disaster.
 - 8.4.2 EMAC is administered by NEMA, The National Emergency Management Association, who provides the day to day support and technical backbone for EMAC education and operations. To understand the administrative organization of EMAC, please visit "Who Administers EMAC".
 - 8.4.3 During the times of an emergency, NEMA staff work with EMAC Member States to ensure that a smooth relay of information passes through the EMAC system to coordinate relief efforts.
 - 8.4.4 In the simplest of terms, EMAC works as follows:

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8.5 There are eight (8) key entities in EMAC operations:

- 8.5.1 *Requesting State* - any EMAC member state that is asking for interstate assistance under the Compact. The governor must declare a state of emergency before the EMAC process can be initiated.
- 8.5.2 *Assisting State* - any EMAC member state responding to a request for assistance from and providing resources to another EMAC member state through the Compact.
- 8.5.3 *Authorized Representative (AR)* - the person within a member state empowered to obligate state resources (provide assistance) and expend state funds (request assistance) under EMAC. In a Requesting State, the AR is the person who can legally initiate a request for assistance under EMAC. In an Assisting State, the AR is the person who can legally approve the response to a request for assistance. State Emergency Management Directors are automatically ARs. The director may delegate this authority to other emergency management officials within the organization, as long as they possess the same obligating authority as the director.

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- 8.5.4 *Designated Contact (DC)* - is a person within a member state who is very familiar with the EMAC process. The DC serves as the point of contact for EMAC in his or her state and can discuss the details of a request for assistance. This person is not usually legally empowered to initiate an EMAC request or authorize EMAC assistance without direction from the AR. A list of DCs is found in Appendix E in Section V of the *EMAC Operations Manual*.
- 8.5.5 *EMAC National Coordination Group (NCG)* - is the nationwide EMAC point of contact during normal day-to-day, nonevent periods. The NCG is prepared to activate EMAC on short notice by coordinating with the ARs and DCs of the EMAC member states when an emergency or disaster is anticipated or occurs. The NCG is collocated with the current Chair of the EMAC Operations Subcommittee and Executive Task Force. Because the Chair of the EMAC Operations Subcommittee changes every year, the NCG changes every year as well.
- 8.5.6 *EMAC National Coordinating Team (NCT)* - If DHS/FEMA activates the National Response Coordination Center to coordinate the federal response and recovery operations during an emergency or disaster, DHS/FEMA may request a coordination element from EMAC. The EMAC NCT is the EMAC team that is deployed to serve as a liaison at the NRCC, located in Washington, D.C. From the NRCC, the EMAC NCT coordinates with the deployed EMAC components responding to the emergency or disaster and is the liaison between the EMAC assistance efforts and the federally provided assistance efforts. The costs for deploying and maintaining an EMAC NCT at the NEOC are reimbursed by DHS/FEMA through NEMA/CSG.
- 8.5.7 *EMAC Regional Coordinating Team (RCT)* - If DHS/FEMA activates a Regional Coordination Center (RRCC) to coordinate the regional response and recovery operations during an emergency or disaster, DHS/FEMA may request a coordination element from EMAC. The EMAC RCT is the EMAC team that is deployed to serve as a liaison at the RRCC. From the RRCC, the EMAC RCT coordinates with deployed EMAC components responding to the emergency in states within the region, and is the liaison between the EMAC assistance efforts and the federally provided assistance efforts. The costs for deploying and maintaining an EMAC NCT at the NEOC are reimbursed by DHS/FEMA through NEMA/CSG.

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8.5.8 Member States

8.5.8.1 All Member States have the following responsibilities (as defined in the EMAC Articles):

8.5.8.2 To be familiar with possible joint member situations

8.5.8.3 To be familiar with other states' emergency plans

8.5.8.4 To develop an emergency plan and procedures for managing and provisioning assistance

8.5.8.5 Assist in warnings

8.5.8.6 Protect and ensure uninterrupted delivery of services, medicine, water, food, energy and fuel, search and rescue, and critical lifeline equipment, services, and resources

8.5.8.7 Inventory and set procedures for interstate loan and delivery of human and material resources, including procedures for reimbursement or forgiveness

8.5.8.8 Provide for the temporary suspension of any statutes or ordinances that restrict implementation

8.5.9 EMAC can be used for ANY capability one member state has that can be shared with another member state. So long as there is a governor declared state of emergency, EMAC can be called to action and used.

[End of WESTDOG Mutual Aid Plan]

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

Appendices

Description of WESTDOG Forms and Checklists

*Note- Forms are listed in the general order in which they may be used.

FORMS

1. *Affiliation Application Form* - This form provides basic information for airports who wish to be part of the WESTDOG plan. Affiliation form information is entered into an Excel database and maintained by the Lead and Deputy Lead airports. The spreadsheet is provided to the primary point of contact at all affiliate airports.
2. *Request for Assistance Form* - This form simply formalizes an airports desire to request activation of the WESTDOG plan. The completed form is ideally sent via fax and/or email and followed up with a live contact call to the WESTDOG Incident Coordinator (WIC) at the Lead Airport. Basic contact information for the impacted airport is provided (verified) by way of this form to ensure efficient communications at the onset of an event.
3. *Situation Report Form (SITREP)* - This form is designed to notify affiliate airports and appropriate unified command entities of a WESTDOG activation, impacted airport(s) status, WESTDOG deployment team(s) status, other pertinent information, and future WESTDOG conference calls.

CHECKLISTS

4. *Impacted Airport Recovery Checklist* - This form is a general guideline designed to assist an airport evaluate its ability to regain operational status to a) facilitate emergency responders (land based as well as fixed and/or rotor wing aircraft emergency response) and b) commercial air service.
5. *Impacted Airport Damage Assessment Checklist*- This checklist is a generic guideline for impacted airports to perform a post event, self-assessment in order to determine a priority list of resources that may be requested of WESTDOG affiliates through the Lead Airport.
6. *Deployment Checklist* – Guidance for deploying WESTDOG Airports (teams).

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Forms

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**Western Airports Disaster Operations Group
(WESTDOG)
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Airport _____

WESTDOG

**WESTERN AIRPORTS DISASTER OPERATIONS GROUP
AFFILIATION APPLICATION**

Prior to submitting this form, applicant should determine their appropriate level of participation and any organizational legal challenges or concerns. WESTDOG is an informal, unincorporated, voluntary, group of airports designed to provide airport specialized resources and personnel during disaster situations. Participation is entirely voluntary. Although provisions will be made to attempt to secure reimbursement of funds, participants should anticipate that their costs in association with WESTDOG will be entirely born by the participant, without compensation or reimbursement.

Participating airport: _____ Main phone: _____
 Address _____ Main Fax # _____

Guiding Principles of WESTDOG:

- Airport agrees not to self-deploy and will work within WESTDOG structure (concept of operations) to assist other airports or to receive airport related assistance.
- Airport understands that all supplies, personnel time and equipment provided in support of WESTDOG operations may be without reimbursement or compensation.
- Airport will update contact information and provide these updates to Lead Airport.
- Airport will make a good faith effort to participate in conference calls, meetings and exercises.
- Airport will work closely with state, county and local emergency management agencies to facilitate efficient processing of requests for assistance, mission numbers, etc. and understands it is solely responsible to obtain reimbursement through these agencies.

Airport Emergency Point of Contact:

Primary Contact: Name _____

Primary #	Cell #	Other 24 hr #	Email address
Other info/comments			

Secondary Contact: Name _____

Primary #	Cell #	Other 24 hr #	Email address
Other info/comments			

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Emergency contact numbers:

(Provide order of precedence with 1 as the first number that should be attempted)

Rank	<u>Primary #</u>	<u>Secondary #</u>
_____ Satellite Phone:	_____	_____
_____ Arpt Emer/Comm Ctr:	_____	_____
_____ City/County 911 Ctr.	_____	_____
_____ City/County Emer. Mgt	_____	_____
_____ Other	_____	_____

AIRPORT PROFILE:

Airport Name: _____

Key Personnel

Title	Name	24 hr contact #
Airport Director	_____	_____
Emergency Director/Mgr	_____	_____
Public Safety Director/Mgr.	_____	_____
Fire Chief	_____	_____
Police Chief	_____	_____
Operations Director/Mgr.	_____	_____

Unique/Special Resources available from this airport:

(Identify any resources that may reasonably be anticipated in support of WESTDOG operations and which are available on short notice and maintained in working condition. Consider only those resources that will not affect your airport's continued operations and/or Part 139 status or ARFF index requirements. It is understood that this equipment may not be available at the time of the incident.)

Personnel/Equipment	Availability Status/ Conditions of use

B-26 Airport-to-Airport Mutual Aid Programs

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Western Airports Disaster Operations Group
(WESTDOG)
Airports Mutual Aid Plan

Western Airports Disaster Operations Group
(WESTDOG)
Request for Assistance Form

Date: _____

Local Time: _____ Zulu time: _____

Requesting Airport Name: _____

Three (3) Letter Airport Identifier: _____

Name and Title of Airport Representative Requesting Assistance:



Best available way to contact you?

Cell Number: _____

Satellite Phone Number: _____

EOC Primary Number: _____

EOC Secondary Number: _____

Office number: _____

Alternate Airport Representative Name: _____

Cell Number: _____

EOC primary number: _____

EOC secondary number: _____

Office number: _____

Brief Description of Emergency (Facility damage, injuries, effect on commercial air service):

Western Airports Disaster Operations Group
(WESTDOG)
Airports Mutual Aid Plan

WESTDOG SITUATION REPORT (SITREP)

WESTDOG ACTIVATION DATE: _____ DAY: _____

DATE OF THIS REPORT: _____

REPORT NUMBER: _____

UTC & LOCAL TIME OF THIS REPORT: _____/_____

ISSUING PARTY (LEAD AIRPORT NAME/NUMBER/EMAIL):

IMPACTED AIRPORT(S) CURRENT OPERATIONAL STATUS:

WESTDOG RESOURCE DEPLOYMENT UPDATE:

ADDITIONAL PERTINENT INFORMATION:

NEXT WESTDOG CONFERENCE CALL (UTC TIME, PHONE/PIN #):

EMAIL DISTRIBUTION:

- ___ ALL WESTDOG AFFILIATES
- ___ IMPACTED AIRPORT(S)
- ___ DEPUTY LEAD AIRPORT
- ___ UNIFIED COMMAND ENTITIES (LOCAL, STATE, FEDERAL). SPECIFY:
- ___ OTHER PARTIES (SPECIFY):

Western Airports Disaster Operations Group
(WESTDOG)
Airports Mutual Aid Plan

Checklists

November 29, 2007

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

Impacted Airport Recovery Checklist

Phase 1: Initial Recovery

A. Senior Management/Operations

1. Activate Incident Command System (ICS), establish the Emergency Operations Center (EOC), designate staffing, laptops, and coordinate with the Mobile Command Post//Incident Command, as applicable.
2. Complete *WESTDOG Airport Damage Assessment Checklist*. Obtain airfield condition report from Airfield Operations personnel including status of airfield lighting, fixtures and other airfield needs for the WESTDOG bridge line call
3. Contact WESTDOG Incident Coordinator (WIC) and prepare for arrival of WESTDOG Assessment Team.
4. Brief federal partners (FAA Tower/TRACON, TSA, CBP) on the conditions of the airport.
5. Notify TSA of any Changed Condition Affecting Security.
6. Develop back-up security program in the event power is not restored or access control system fails. Coordinate with Law Enforcement and TSA.
7. Verify staffing and equipment of ARFF.
8. Assess status of fuel supplies. Acquire alternative supply of unleaded and diesel fuel, if necessary.
9. Select location for Emergency Federal and State Command Centers, Forestry Service, and other agencies which may assist.
10. Have key personnel utilize 800 MHZ radios if tower is intact. Other communication devices such as cell phones may be ineffective.
11. Establish location for daily briefings and WESTDOG bridge line conference calls.
12. Establish location for WESTDOG Deployed Teams and discuss logistics with WIC.
13. The WESTDOG WIC will a schedule for deployment of recovery teams and an exit strategy for recovery teams during bridge line calls. Post in the EOC.
14. Establish staging area for disaster relief operation to accommodate cargo aircraft and 18 wheelers.
15. Coordinate with power companies for damage assistance and restoration of power.
16. Contact Petroleum Recovery Services to ensure fuel in storage tanks is not contaminated.
17. Contact suppliers for Fuel Farm for the resumption of delivery of Jet A.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

18. Request assistance from DOT to ensure all Jet A and fuel deliveries arrive unimpeded.
19. Coordinate with Emergency Management and other agencies involved in recovery.
20. Designate location for military to set up area for assistance in the distribution of relief supplies.
21. Prepare Contingency Plan for arrival of VIP's, including Air Force One.
22. Utilize the amateur radio (HAM radios) and satellite phones, if available.

B. Maintenance

1. Obtain generator for the Fuel Farm for dispensing of Jet A.
2. Determine location of debris piles and advise the EOC.
3. Barricade downed power lines.
4. Provide generator power and 500 gal water supply container to the ice machine.
5. Shut off water supply lines to public areas and post warnings.
6. Clear debris from airport access roads to the terminal.
7. Coordinate the posting of stop signs and directional signs on barricades with law enforcement specific to areas where traffic lights and stop signs are down.
8. Dump debris in designated dumpsites separating wood, trees and shrubs, from construction material such as aluminum, steel, and concrete. Notify EOC of location of designated dump sites.

C. Airfield Operations

9. Conduct complete airfield inspection (lights, pavement erosion, fences etc.).
10. Coordinate with the local military or heavy equipment company for removing debris from the airfield.
11. Determine the operational status of the ATCT and advise Operations.
12. Make all necessary repairs to runways, taxiways and apron areas.
13. Clear debris and haul to designated dump.
14. Issue NOTAM's and arrange with ATCT for relief flight clearances.
15. Provide a complete list of airfield lighting, fixtures, or other items requiring replacement and advise AF and ATCT. Deliver the completed list of needs to EOC prior to the Bridge Line call.
16. Coordinate with Operations for the staging of disaster relief operations for cargo aircraft and 18 wheelers.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

D. Public Safety

17. Test communications with ARFF, Emergency Management, and other agencies involved in the recovery.
18. Verify ARFF is at the required staffing levels and assessment of equipment is reported. Report staffing levels and equipment assessment to Airport Operations.
19. Secure access to the airport terminal.
20. Establish Mobile Command Post, if necessary.
21. Establish Incident Command and designate a Safety Officer.
22. Secure the Airfield.
23. Contact heavy equipment company or the military for airfield support.
24. Establish communication through satellite phone in dispatch in the event land- lines and Nextel communications are out of service.
25. Utilize the Ham Radio should satellite communications fail.
26. Secure public access roads to the terminal until cleared by the Executive Director.

E. Purchasing

Accept/log inbound relief supplies and store in Purchasing.

F. Administration

27. Executive Director and Commissioners review the need to meet with Congressional Representatives in Washington, D.C.
28. Determine status of employees on the ride out crew.
29. Contact replacement recovery crews.
30. The Assistant Executive Director or his designated representative will head a full damage assessment summary team comprised of the URS Consultant, WESTDOG Assessment Team, and engineering to conduct assessments of the infrastructure to include Airfield, Terminal, roadways and support facilities for risk management.
31. Log the assignment of Mission Numbers from CEMA and provide copies to the EOC.
32. Obtain pictures of damage to the terminal structure prior to repair or removal. Ensure dates, times and location of the picture are recorded.
33. Make arrangements for ride-out meals as necessary.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

34. Contact Emergency Management and establish whether or not the airport will be the relief distribution point.
35. Keep log of all phone calls both inbound and outbound.

G. Engineering

36. Inspect airfield.
37. Inspect terminal for structural damage.
38. Determine if water is potable and arrange for testing by the city/county officials.
39. Conduct a drainage structural inspection and report the results to the Director of Operations.
40. Make arrangements with the Assistant Executive Director to accompany him on the full damage assessment summary.

D. Fire Department

41. Determine the condition of Ride – Out Crews on the airport.
42. Take necessary rescue actions.
43. Provide emergency medical care to Ride-Out Crews, civilians in the terminal and injured tenants on airside property.
44. Check for fire hazards, downed electrical lines and activated fire alarms.

E. Marketing

45. Provide statement to the Press regarding the condition of the airport after consulting with the Executive Director.
46. Provide news media with scheduled updates at 8 AM, 12 PM and 4 PM on the recovery process.

(Note: Airports should keep records of all labor and material costs resulting from disaster damage. Where possible, submit work orders to document requests for maintenance support and document labor hours and costs. Record damage and recovery efforts by an individual assigned to capture digital/still photos accompanied by a scribe to document damage, date, and time to ensure timely processing of insurance claims.)

Phase 2: Secondary Recovery

A. Operations

1. Determine the overall condition of the terminal and note damage.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

2. Custodial supervisor to determine extent of water saturation to the carpet and determine whether or not an industrial service is required.
 3. Contact local mosquito control agency and request assistance for breeding areas.
 4. Establish a program for environmental services based on existing conditions.
 5. Arrange for contractors to make functional repairs.
 6. Request the Department of Natural Resources conduct an environmental and animal assessment on the airport.
 7. Coordinate with TSA and ensure screening equipment is operational and can be calibrated.
 8. Reestablish security measures in preparation of the resumption of scheduled passenger service.
 9. Test the access control system and verify function of cameras.
 10. Contact Airline GM's as to the resumption of air service.
 11. Contact all tenant managers as to the expected resumption of air service.
- B. Maintenance
12. Determine general condition of the terminal, noting all damage.
 13. Board up broken windows.
 14. Remove standing water.
 15. If water is found within the terminal, expect problems with mold, fungus and other related issues associated with standing water. Evaluate carpet replacement and report findings to Director of Operations.
 16. Remove locks and clamp devices from jet ways and ensure they are properly aligned.
 17. Bury dead animals in non saturated soil.
 18. Arrange for contractors to make repairs.
 19. Remove fallen/damaged exterior light fixtures/signs to maintenance area for repairs.
 20. Inspect and clean up any debris at TSA Security Checkpoint as well as EDS and remove visqueen.
 21. Position remote air conditioning units and large fans near the Concourse.
- C. Public Safety Department
22. Patrol and secure residential, industrial, and airfield tenant areas.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

23. Contact vehicle towing company to remove damaged vehicles from access roads to remote parking lots.
24. Coordinate issuance of NOTAM's with Airfield Operations Manager.
25. Designate locations for Federal and State Emergency Management.
26. Post "Condemned – Do Not Enter" signs on buildings condemned by Engineering or URS. The buildings will be spray painted with a large red X.

D. Administration

27. Notify insurance companies.
28. Contact airline managers to determine status of the resumption of flights.
29. Contact Airline Station Managers and determine if a Critical Response team is available for support.
30. Designate a Purchasing employee to pick up supplies for Administrative purposes.

E. Engineering

31. Establish buildings that are unsafe for occupation and spray paint a red X over the doors.
32. Once buildings are inspected and or condemned, report status to Executive Director and Airport Operations.
33. Coordinate terminal repairs with URS consultant and maintenance.

Phase 3: Repairs and Financial Recovery

A. Operations

1. Review plans for terminal repairs and coordinate with Engineering.
2. Review all EMAC mission numbers, recovery team invoices and verify against laptop data for accuracy.
3. Transfer disaster data storage to Accounting.
4. Schedule internal and external lessons learned briefings and make adjustments to the disaster plan(s).

B. Maintenance

5. Verify that work orders associated with disaster recovery have been isolated from pre-disaster work orders.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

6. Verify work orders within the system are accurate; contain date, time and description of work performed.
 7. Attempt to sell debris to an independent salvage company.
 8. Maintenance Manager to coordinate repairs through airport staff.
- C. Public Safety Department
9. Conduct an assessment and determine the number of stop signs, traffic lights, road signs, speed limit signs and detour signs require replacement. Order for overnight delivery.
 10. Submit work order for Grounds to install signage and list as a priority.
 11. Prepare to dismantle the barricades at the direction of the Executive Director and coordinate with Maintenance.
 12. Submit expenses associated with the disaster such as overtime, additional security personnel, barricades, and road signs. Ensure documentation exists in the data base to substantiate expenses.
- D. Administration
13. Conduct review with CEMA to determine the flow of reimbursable expenses associated with the disaster.
 14. Cross reference mission numbers with expenses from recovery teams and prepare for submission to FEMA.
 15. Sort pictures of disaster damage to the respective reimbursable expense and submit to FEMA. Ensure date, time and location of picture is documented.
 16. Provide ledger to document the date of reimbursement
- E. Engineering
17. Review requirements necessary to obtain FAA Disaster Relief Grants.
 18. File the necessary documents to obtain FAA Disaster Relief Grants.
 19. Coordinate with Maintenance to ensure terminal repairs/construction meet the required standards.

[End of Impacted Airport Recovery Checklist]

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

Impacted Airport Damage Assessment Checklist

Phase 1: Initial Recovery

A. Senior Management/Operations

23. Activate Incident Command System (ICS), establish the Emergency Operations Center (EOC), designate staffing, laptops, and coordinate with the Mobile Command Post//Incident Command, as applicable.
24. Complete *WESTDOG Airport Damage Assessment Checklist*. Obtain airfield condition report from Airfield Operations personnel including status of airfield lighting, fixtures and other airfield needs for the WESTDOG bridge line call
25. Contact WESTDOG Incident Coordinator (WIC) and prepare for arrival of WESTDOG Assessment Team.
26. Brief federal partners (FAA Tower/TRACON, TSA, CBP) on the conditions of the airport.
27. Notify TSA of any Changed Condition Affecting Security.
28. Develop back-up security program in the event power is not restored or access control system fails. Coordinate with Law Enforcement and TSA.
29. Verify staffing and equipment of ARFF.
30. Assess status of fuel supplies. Acquire alternative supply of unleaded and diesel fuel, if necessary.
31. Select location for Emergency Federal and State Command Centers, Forestry Service, and other agencies which may assist.
32. Have key personnel utilize 800 MHZ radios if tower is intact. Other communication devices such as cell phones may be ineffective.
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Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

40. Request assistance from DOT to ensure all Jet A and fuel deliveries arrive unimpeded.
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43. Prepare Contingency Plan for arrival of VIP's, including Air Force One.
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B. Maintenance

47. Obtain generator for the Fuel Farm for dispensing of Jet A.
48. Determine location of debris piles and advise the EOC.
49. Barricade downed power lines.
50. Provide generator power and 500 gal water supply container to the ice machine.
51. Shut off water supply lines to public areas and post warnings.
52. Clear debris from airport access roads to the terminal.
53. Coordinate the posting of stop signs and directional signs on barricades with law enforcement specific to areas where traffic lights and stop signs are down.
54. Dump debris in designated dumpsites separating wood, trees and shrubs, from construction material such as aluminum, steel, and concrete. Notify EOC of location of designated dump sites.

C. Airfield Operations

55. Conduct complete airfield inspection (lights, pavement erosion, fences etc.).
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58. Make all necessary repairs to runways, taxiways and apron areas.
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Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

D. Public Safety

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73. Executive Director and Commissioners review the need to meet with Congressional Representatives in Washington, D.C.
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Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

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Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

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C. Public Safety Department

55. Patrol and secure residential, industrial, and airfield tenant areas.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

56. Contact vehicle towing company to remove damaged vehicles from access roads to remote parking lots.
57. Coordinate issuance of NOTAM's with Airfield Operations Manager.
58. Designate locations for Federal and State Emergency Management.
59. Post "Condemned – Do Not Enter" signs on buildings condemned by Engineering or URS. The buildings will be spray painted with a large red X.

D. Administration

60. Notify insurance companies.
61. Contact airline managers to determine status of the resumption of flights.
62. Contact Airline Station Managers and determine if a Critical Response team is available for support.
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66. Coordinate terminal repairs with URS consultant and maintenance.

Phase 3: Repairs and Financial Recovery

A. Operations

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21. Review all EMAC mission numbers, recovery team invoices and verify against laptop data for accuracy.
22. Transfer disaster data storage to Accounting.
23. Schedule internal and external lessons learned briefings and make adjustments to the disaster plan(s).

B. Maintenance

24. Verify that work orders associated with disaster recovery have been isolated from pre-disaster work orders.

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

25. Verify work orders within the system are accurate; contain date, time and description of work performed.
26. Attempt to sell debris to an independent salvage company.
27. Maintenance Manager to coordinate repairs through airport staff.

C. Public Safety Department

28. Conduct an assessment and determine the number of stop signs, traffic lights, road signs, speed limit signs and detour signs require replacement. Order for overnight delivery.
29. Submit work order for Grounds to install signage and list as a priority.
30. Prepare to dismantle the barricades at the direction of the Executive Director and coordinate with Maintenance.
31. Submit expenses associated with the disaster such as overtime, additional security personnel, barricades, and road signs. Ensure documentation exists in the data base to substantiate expenses.

D. Administration

32. Conduct review with CEMA to determine the flow of reimbursable expenses associated with the disaster.
33. Cross reference mission numbers with expenses from recovery teams and prepare for submission to FEMA.
34. Sort pictures of disaster damage to the respective reimbursable expense and submit to FEMA. Ensure date, time and location of picture is documented.
35. Provide ledger to document the date of reimbursement

E. Engineering

36. Review requirements necessary to obtain FAA Disaster Relief Grants.
37. File the necessary documents to obtain FAA Disaster Relief Grants.
38. Coordinate with Maintenance to ensure terminal repairs/construction meet the required standards.

[End of Impacted Airport Damage Assessment Checklist]

Western Airports Disaster Operations Group (WESTDOG) Airports Mutual Aid Plan

Deploying Airport Response and Assistance Checklist

Deploying Personnel – Items to consider:

Sleeping system (sleeping bag & pillow)
Undergarments
Socks
Wash cloth and towel (2 sets)
Personal hygiene kit
Raingear and or Gore-tex pants/jacket
Gloves
Airport ID cards/Driver's license
Personal medications
Alarm clock
Shower shoes
Sunglasses
"Cutter" bug repellent
Purell hand wash sanitizing liquid
Flashlight with extra batteries
Sunscreen
Padlocks (2 sets)
Baby wipes (unscented—bugs love scented)
Baby powder/foot powder (again, baby powder—unscented)
Personal first aid kit
Phone calling card

Spare set of eyeglasses
Mosquito netting for sleeping area if outside

Variable conditions to consider when developing your packing list. Plan for hardships, keep climate of area being deployed to in mind.

Water disruption – no tap water
Power outage – poor vision/no air conditioning
Limited food availability
Extreme heat and humidity
Housing shortage – sleep in shelters on cots
Working conditions – long working hours
Limited health care access – extreme emotional stress
Travel conditions - transportation limitations – sharing rides
Air quality – asthma/breathing
Lifting limitations – 50 lb. items

DO NOT BRING:

Firearms, pyrotechnics, large knives, hard to secure items, high-dollar items

New Hampshire Mutual Aid Enabling Law

New Hampshire Statutes
CHAPTER 53-A
AGREEMENTS BETWEEN GOVERNMENT UNITS

Section 53-A:1

- 53-A:1 Purpose. – It is the purpose of this chapter to permit municipalities and counties to make the most efficient use of their powers by enabling them to cooperate with other municipalities and counties on a basis of mutual advantage and thereby to provide services and facilities in a manner and pursuant to forms of governmental organization that will accord best with geographic, economic, population and other factors influencing the needs and development of local communities.
- Source. 1963, 275:14. 1974, 15:1. 1977, 238:1, eff. Aug. 19, 1977.

Section 53-A:2

- 53-A:2 Public Agency Defined. – For the purposes of this chapter, the term "public agency" shall mean any political subdivision of this state or of any adjoining state and any quasi-municipal corporation, including but not limited to school districts, village districts, regional water districts, and special districts.
- Source. 1963, 275:14. 1977, 238:1, eff. Aug. 19, 1977. 2003, 281:11, eff. July 18, 2003.

Section 53-A:3

- 53-A:3 Joint Exercise of Powers. – Any power or powers, privileges or authority exercised or capable of exercise by a public agency of this state may be exercised jointly with any other public agency of this state. Such authority shall include, but not be limited to, the power to enter into agreements to share tax revenues resulting from local economic development efforts and with respect to cities and towns, the power to form the entities and conduct the activities provided for in RSA 162-G.
 - I. Any 2 or more public agencies may enter into agreements with one another for joint or cooperative action pursuant to this chapter. Appropriate action by ordinance, resolution or other action pursuant to law of the governing bodies of the participating public agencies shall be necessary before any such agreement may enter into force.
 - II. Any such agreement shall specify the following:
 - (a) Its duration;
 - (b) The precise organization, composition and nature of any separate legal or administrative entity created thereby together with the powers delegated thereto, provided such entity may be legally created;
 - (c) Its purpose;

C-2 Airport-to-Airport Mutual Aid Programs

(d) The manner of financing the joint or cooperative undertaking and of establishing and maintaining a budget therefore;

(e) The method to be employed in accomplishing the partial or complete termination of the agreement and for disposing of property upon such termination;

(f) Any other necessary and proper matters.

III. In the event that the agreement does not establish a separate legal entity to conduct the joint or cooperative undertaking, the agreement shall, in addition to items enumerated in paragraph II, contain the following:

(a) Provision for an administrator or a joint board responsible for administering the joint or cooperative undertaking. In the case of a joint board all public agencies party to the agreement shall be represented.

(b) The manner of acquiring, holding and disposing of real and personal property used in the joint or cooperative undertaking.

IV. No agreement made pursuant to this chapter shall relieve any public agency of any obligation or responsibility imposed upon it by law except to the extent of actual and timely performance thereof by a joint board or other legal or administrative entity created by an agreement made hereunder. Said performance may be offered in satisfaction of the obligation or responsibility.

V. Every agreement made hereunder shall, prior to and as a condition precedent to its entry into force, be submitted to the attorney general who shall determine whether the agreement is in proper form and compatible with the laws of this state. The attorney general shall approve any agreement submitted to him hereunder unless he shall find that it does not in substance meet the conditions set forth herein and shall detail in writing addressed to the governing bodies of the public agencies concerned the specific respects in which the proposed agreement substantially fails to meet the requirements of law. Failure to disapprove an agreement submitted hereunder within 30 days of its submission shall constitute approval thereof.

- Source. 1963, 275:14. 1969, 126:1. 1971, 474:2. 1974, 15:2. 1977, 82:1; 238:1. 1993, 328:5. 1994, 331:2, eff. Aug. 7, 1994.

Section 53-A:3-a

- 53-A:3-a Public Works Mutual Aid Agreements. – Public agencies may enter into agreements under this chapter for reciprocal emergency management aid and assistance and other public works programs, including provisions for the furnishing and exchanging of supplies, equipment, facilities, personnel, and services. Any such agreement shall be subject to the provisions of this section and to all provisions of this chapter that are not inconsistent with this section.

I. Such an agreement may provide for the manner in which the agreement may be amended and that additional entities may become parties to the agreement.

II. Unless otherwise prohibited or restricted by such an agreement, a private entity providing public services that would otherwise be provided by a public agency, including but not limited to a privately owned water or wastewater utility, may become a party to the agreement and participate in the implementation of it in the same manner as a public agency.

III. The agreement may create a board of directors or other body to govern and administer the agreement and the program of mutual aid established thereby. The membership, powers, and duties of any governing body so established shall be as set forth in the agreement. Except as provided in the agreement, there shall be no requirement that all parties to the agreement be represented on such body.

IV. The agreement may include provisions by which each municipality or private entity indemnifies the other municipality or private entity and its officers, employees, and agents against any liability arising out of the indemnifying municipality's or private entity's negligent or otherwise wrongful conduct. No agreement shall be written or construed to require the state or any state agency to defend or indemnify any other entity.

V. All functions performed under such an agreement are governmental functions, and the parties performing such functions shall be entitled to the same immunities and exemptions provided in RSA 21-P:41.

- Source. 2010, 159:1, eff. Aug. 16, 2010.

Section 53-A:4

- 53-A:4 Filing of Agreement. – Prior to its entry into force, an agreement made pursuant to this chapter shall be filed with the clerk of each municipality and with the secretary of state. An action shall be maintainable against any public agency whose default, failure of performance, or other conduct caused or contributed to the incurring of damage or liability by the other public agencies jointly.
- Source. 1963, 275:14. 1977, 238:1, eff. Aug. 19, 1977.

Section 53-A:5

- 53-A:5 Approval by State Officers. – In the event that an agreement made pursuant to this chapter shall deal in whole or in part with the provision of services or facilities with regard to which an officer or agency of the state government has constitutional or statutory powers of control, the agreement shall, as a condition precedent to its entry into force, be submitted to the state officer or agency having such power of control and shall be approved or disapproved by him or it as to all matters within his or its jurisdiction in the same manner and subject to the same requirements governing the action of the attorney general pursuant to RSA 53-A:3, V. This requirement of submission and approval shall be in addition to and not in substitution for the requirement of submission to and approval by the attorney general.
- Source. 1977, 238:1, eff. Aug. 19, 1977.

Section 53-A:6

- 53-A:6 Funds. – The respective counties, towns, cities and other governmental units involved in any agreements as set forth in this chapter are hereby authorized to appropriate the funds necessary to carry out their contractual obligations thus incurred. In cases involving the expenditure of capital funds they are authorized to borrow such funds under the terms of the municipal finance act, RSA 33, as amended, and to issue bonds in accordance with the provisions of such act or to set up a capital reserve fund for such purposes under the provisions of RSA chapters 34 or 35.
- Source. 1977, 238:1, eff. Aug. 19, 1977.

Section 53-A:7

- 53-A:7 Former Districts Unaffected. – In municipalities which acted under the prior law, the agreement formed remains effective so far as it conforms with the chapter and may be continued accordingly without requiring review or approval by the attorney general.
- Source. 1977, 238:1, eff. Aug. 19, 1977.

Section 53-A:8

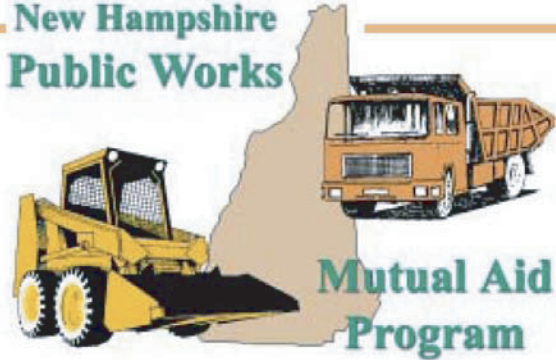
- 53-A:8 Severability. – If any portion of this chapter shall be held to be invalid, such decision shall not affect the validity of the remaining portions of this chapter.
- Source. 1977, 238:1, eff. Aug. 19, 1977.

<http://www.gencourt.state.nh.us/rsa/html/NHTOC/NHTOC-III-53-A.htm>



APPENDIX D

New Hampshire Public Works MAP Requester's Checklist



**New Hampshire
Public Works**

**Mutual Aid
Program**

REFERENCE SHEET

Requesting Aid:

1. Request assistance only when local city/town resources are deemed inadequate.
2. Communicate request directly to one or more providers on the Mutual Aid Resource List.
 - a. Use resource list to determine who aid will be requested of.
3. Follow-up request in writing.
4. Request should address: (as applicable)
 - a. Description of affected area; condition/damage
 - b. I.D. service functions needed, be specific
 - c. Specify infrastructure affected; i.e. water, sewer
 - d. Describe aid and assistance needs; duration, supplies
 - e. Facility needs; i.e. shelters, staging areas for incoming goods
 - f. Meeting time and place for recipient and provider
5. Contact State and Federal assistance if needed.

Providing Aid:

1. Determine if you have adequate resources
2. Notify recipient that you can respond, both verbal and in writing.
3. Designate a lead person or supervisor sent to assist with incident and to work with recipient representative.
 - a. Assign work, establish work schedules
 - b. Provides communication equipment for provider employees
 - c. Maintains daily time records, logs of equipment hours, and other expenses
 - d. Makes progress reports to recipient
4. Give 24 hour notice of intent to end assistance
5. Document Costs:
 - a. All payroll costs, including fringe benefits
 - b. Employee expenses, travel to/from area, food, housing, etc.
 - c. Use of equipment, including fuels, supplies and repairs caused from providing assistance.
 - d. General supplies or materials provided



APPENDIX E

New Hampshire Public Works MAP Requester's Letter

(Refer to Section IV)

«Date»

«Name of Provider»

«Address of Provider»

Dear *«Provider Contact»*;

This letter is to request aid under the New Hampshire Public Works Mutual Aid Program, pursuant to the Mutual Aid and Assistance Agreement adopted by your governing board.

The *«Town/City of»* requests mutual aid for a disaster that *«Is Imminent/Is In Progress/Has Occurred»*. *«Description of Disaster»* (try to limit to three sentences).

The services requested are *«Specify Equipment, Personnel, Materials, and Supplies»*. The services will be required for *«Length of Time»*, beginning *«Date When Assistance Should Arrive»*.

Please have your designated personnel meet *«Your Contact Person»* at *«Specify Location»* at *«Specify Time»* on *«Specify Date»*.

Sincerely,

Name of Authorized Recipient Representative

Title of Authorized Recipient Representative



APPENDIX F

Sample State Mutual Aid Compacts

The following model mutual aid and assistance agreement can be found at American Water Works Association website: <http://apps.awwa.org/eBusMAIN/Default.aspx?TabID=296> at the tab titled “Sample WARN Agreement.”

Model Mutual Aid and Assistance Agreement for Intrastate Water/Wastewater Agency Response Network (WARN)

This Model Agreement contains procedures and standards for a water and wastewater utility Mutual Aid and Assistance Program. The Model is based on existing water and wastewater utility Mutual Aid and Assistance agreements implemented in California, Florida, Texas, Louisiana, South Carolina, Oregon, Georgia, and Pennsylvania. While the Model shares some similarities with each of the eight agreements, it is a unique document in and of itself.

Creating an agreement for Mutual Aid and Assistance involves a number of policy decisions. The Model Agreement proposes specific approaches to Mutual Aid and Assistance Program issues; however, reasonable minds will differ as to whether the approaches presented in the model are the best. Accordingly, notes are included for each provision of the Model Agreement. These notes highlight significant issues that arise in the drafting of a mutual aid and assistance Program and how the Model Agreement approaches those issues. The notes also explain why certain provisions are included in the Model Agreement.

Representatives of the water and wastewater industry can use this Model Agreement as a tool to facilitate discussion on drafting an Intrastate Mutual Aid and Assistance agreement that best illustrates their needs. However, while each intrastate steering committee may revise portions of this Agreement, it is important to note that this Model Agreement allows for inclusion and eventual connection with a national interstate mutual aid and assistance agreement. Because mutual aid and assistance programs require standardized operational procedures, consistency between the intrastate agreements is critical. Thus, major modifications to this Agreement would preclude using it for connection with an interstate program for mutual aid and assistance program.

AGREEMENT

This Agreement is made and entered into by public and private Water and Wastewater Utilities that have, by executing this Agreement, manifested their intent to participate in an Intrastate Program for Mutual Aid and Assistance.

Statutory Authority – (cite authorizing state statute, if any) This Agreement is authorized under Section XXX of the (state revised statutes on mutual aid) which provides that Water and Wastewater Utilities may contract with each other to provide services.

Note

Water and wastewater utilities may need statutory authority to enter into agreements for Mutual Aid and Assistance. If there is no statutory authority, a legal question arises as to whether such authority is necessary for a water and wastewater Mutual Aid and Assistance agreement. Agreements in California, Louisiana South Carolina and Oregon reference statutory authority. The Florida and Texas Agreements do not.

ARTICLE I. PURPOSE

Recognizing that emergencies may require aid or assistance in the form of personnel, equipment, and supplies from outside the area of impact, the signatory utilities hereby establish an Intrastate Program for Mutual Aid and Assistance. Through the Mutual Aid and Assistance Program, Members coordinate response activities and share resources during emergencies. This Agreement sets forth the procedures and standards for the administration of the Intrastate Mutual Aid and Assistance Program.

Note on Article I

Article I briefly describes why water and wastewater utilities established a Program for Mutual Aid and Assistance and the purpose of the Agreement. Inclusion of this Article recognizes the spirit and intent of the Mutual Aid and Assistance Program.

ARTICLE II. DEFINITIONS

- A. Authorized Official – An employee or officer of a Member utility that is authorized to:
1. Request assistance;
 2. Offer assistance;
 3. Refuse to offer assistance or
 4. Withdraw assistance under this agreement.
- B. 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 a Mutual Aid and Assistance Program Member to fully manage and mitigate internally.
- C. Members – Any public or private Water or Wastewater Utility that manifests intent to participate in the Mutual Aid and Assistance Program by executing this Agreement.
1. Associate Member – Any non utility participant, approved by the State Steering Committee, that provides a support role for the WARN program, for example State Department of Public Health, or associations, who are members of the Regional or State Steering Committees 1 and do not officially sign the WARN agreement.
 2. Requesting Member – A Member who requests aid or assistance under the Mutual Aid and Assistance Program.

3. Responding Member – A Member that responds to a request for aid or assistance under the Mutual Aid and Assistance Program.
 4. Non-Responding Member - A Member or Associate Member that does not provide aid or assistance during a Period of Assistance under the Mutual Aid and Assistance Program.
- 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 or Associate Member.
- E. Period of Assistance – A specified period of time when a Responding Member assists a Requesting Member. The period commences when personnel, equipment, or supplies depart from Responding Member’s facility and ends when the resources return to their facility (portal to portal). All protections identified in the agreement apply during this period. The specified Period of Assistance may occur during response to or recovery from an emergency, as previously defined.
- F. National Incident Management System (NIMS): A national, standardized approach to incident management and response that sets uniform processes and procedures for emergency response operations.

Note on Article II

These terms and corresponding definitions are drawn from the eight existing water and wastewater agreements for Mutual Aid and Assistance. Only the definition for emergency is noteworthy. The Model Agreement specifies a definition of an emergency that includes disasters that “could reasonably be” beyond the control of the participating utility. As explained in the Note for Article V below, this permits a participating utility to request assistance prior to the onset of a disaster. The request for aid does NOT require a declaration of an emergency by the local or state agencies, and the aid may be provided during the emergency response or recovery phases.

The term confidential information and Article XIV has been included to address the sharing of potentially security sensitive information in order to facilitate an appropriate response and recovery from an incident.

ARTICLE III. **ADMINISTRATION**

The Mutual Aid and Assistance Program shall be administered through Regional Committees, as needed, and a Statewide Committee. The purpose of a Regional Committee is to provide local coordination of the Mutual Aid and Assistance Program before, during, and after an emergency. The designated regions are consistent with the existing public health or emergency management regions of the state and include (list the regions - for example: one for the Southern Region Members, one for the Northern Region Members, one for the Western Region Members, and one for the Eastern Region Members). Each Region Committee, under the leadership of an elected Chairperson, shall meet annually to address Mutual Aid and Assistance Program issues. Each Region Committee shall also meet annually to review emergency preparedness and response procedures. The Chairperson of each Regional Committee represents their Regional Committee’s interests on the Statewide Committee. In addition to representing the interests of the Members, the Statewide Committee includes representatives from (list other organizations that may have a role to play in the Mutual Aid and Assistance Program, e.g., public health, emergency

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management, Rural Water Association, American Water Works Association, etc.). Under the leadership of the Chair, the Statewide Committee members shall plan and coordinate emergency planning and response activities for the Mutual Aid and Assistance Program.

Note on Article III

The Model Agreement conceptualizes a Mutual Aid and Assistance Program administered through regional committees and a statewide committee. Article III formalizes this approach. The concept is drawn from a provision in California's Agreement which establishes a committee system for program administration. The Model Agreement outlines administering the program through regional or "local" committees that could promote coordination and help resolve program issues. However, the sample agreement recognizes that a committee system for Program administration may be too elaborate for some states. There are other, less formal ways to ensure efficient operation of a Mutual Aid and Assistance Program. For example, the Mutual Aid and Assistance agreement could require participating utilities to develop operational and planning procedures. The main objective is to have a well-developed system for Mutual Aid and Assistance whether through establishment of a committee system or a less formal approach. The more organized the utilities are, the less apt emergency response agencies will step in.

ARTICLE IV. PROCEDURES

In coordination with the Regional Committees, emergency management and public health system of the state, the Statewide Committee shall develop operational and planning procedures for the Mutual Aid and Assistance Program. These procedures shall be reviewed at least annually and updated as needed by the Statewide Steering Committee.

Note on Article IV

Article IV recognizes that an agreement by itself may be insufficient to cover the range of issues that arise in Mutual Aid and Assistance Programs. To have an efficient Program, participating utilities may need to supplement the Mutual Aid and Assistance agreement with a Program guidance document that includes detailed operational and planning procedures. To supplement the agreement, participating utilities develop a Mutual Aid and Assistance Program Manual and a Mutual Aid and Assistance Handbook.

ARTICLE V. REQUESTS FOR ASSISTANCE

- A. **Member Responsibility:** Members shall identify an Authorized Official and alternates; provide contact information including 24-hour access, and maintain resource information that may be available from the utility for mutual aid and assistance response. Such contact information shall be updated annually or when changes occur, provided to the State Steering Committee.

In the event of an Emergency, a Member's Authorized Official may request mutual aid and assistance from a participating Member. Requests for assistance can be made orally or in writing. When made orally, the request for personnel, equipment, and supplies shall be prepared in writing as soon as practicable. Requests for assistance shall be directed to the Authorized Official of the participating

Member. Specific protocols for requesting aid shall be provided in the required procedures (Article IV).

- B. Response to a Request for Assistance – Members of the agreement are not obligated to respond to a request. After a Member receives a request for assistance, the Authorized Official evaluates whether or not to respond, whether resources are available to respond, or if other circumstances would hinder response. Following the evaluation, the Authorized Representative shall inform, as soon as possible, the Requesting Member whether it will respond. If the Member is willing and able to provide assistance, the Member shall inform the Requesting Member about the type of available resources and the approximate arrival time of such assistance.
- C. Discretion of Responding Member’s Authorized Official – Execution of this Agreement does not create any duty to respond to a request for assistance. When a Member receives a request for assistance, the Authorized Official shall have sole and absolute discretion as to whether or not to respond, or the availability of resources to be used in such response. An Authorized Member’s decisions on the availability of resources shall be final.

Note on Article V

1. The Model Agreement sets a low threshold for when Members can request mutual aid and assistance. Article V permits requests for mutual aid and assistance in the event of an “Emergency.” An “Emergency” under Article II is defined as “an event that is, or is likely to be, beyond the control of the services, personnel, equipment, and facilities of a Mutual Aid and Assistance Program Member.” This definition has two noteworthy characteristics. First, the use of the word “event,” rather than “disaster,” broadens the situations in which Members can request mutual aid and assistance. Second, an Emergency includes events that are “likely to be” beyond the control of the participating utility. By including the “is likely to be” language, participating utilities can request mutual aid and assistance before an event overwhelms their resources. This approach envisions situations where pre-event response would be necessary to protect human health and property. The Florida and Texas Agreements do not allow for pre-event assistance requests.

2. Article V permits oral and written requests for assistance; however, when made orally, the requesting member must put the request in writing as soon as practicable. This approach balances the need to make a quick and prompt request with the need for accuracy.

3. The Model Agreement does not provide specific details on the type of information that must be provided when a participating utility requests assistance. This can be provided in the protocols that support the agreement. This approach is in contrast to the Florida and Texas Agreements that do list the information that must be provided when a member makes a request for assistance. Those agreements also require a responding member to provide certain information to the requesting member. Again, the Model Agreement adopted a different approach. Article V only requires responding members to indicate what resources will be provided and when the resources will arrive at the requesting member’s facility.

4. The Model Agreement provides participating utilities with absolute discretion when deciding whether to respond a request for assistance. This is consistent with all four existing water and wastewater Mutual Aid and Assistance agreements.

ARTICLE VI.
RESPONDING MEMBER PERSONNEL

- A. National Incident Management System - When providing assistance under this Agreement, the Requesting Utility and Responding Utility shall be organized and shall function under the National Incident Management System.
 - B. Control - While employees so provided may be under the supervision of the Responding Member, the Responding Member's employees come under the direction and control of the Requesting Member, consistent with the NIMS Incident Command System to address the needs identified by the Requesting Member. The Requesting Member's Authorized Official shall coordinate response activities with the designated supervisor(s) of the Responding Member(s). The Responding Member's designated supervisor(s) must keep accurate records of work performed by personnel during the specified Period of Assistance.
 - C. Food and Shelter – Whenever practical, Responding Member personnel must be self sufficient for up to 72 hours. When possible, the Requesting Member shall supply reasonable food and shelter for Responding Member personnel. If the Requesting Member is unable to provide food and shelter for Responding personnel, the Responding Member's designated supervisor is authorized to secure the resources necessary to meet the needs of its personnel. Except as provided below, the cost for such resources must not exceed the State per diem rates for that area. To the extent Food and Shelter costs exceed the State per diem rates for the area, the Responding Member must demonstrate that the additional costs were reasonable and necessary under the circumstances. Unless otherwise agreed to in writing, the Requesting Member remains responsible for reimbursing the Responding Member for all reasonable and necessary costs associated with providing food and shelter, if such resources are not provided.
 - D. Communication – The Requesting Member shall provide Responding Member personnel with radio equipment as available, or radio frequency information to program existing radio, in order to facilitate communications with local responders and utility personnel.
 - E. Status - Unless otherwise provided by law, the Responding Member's officers and employees retain the same privileges, immunities, rights, duties and benefits as provided in their respective jurisdictions.
 - F. Licenses and Permits – To the extent permitted by law, Responding Member personnel that hold licenses, certificates, or permits evidencing professional, mechanical, or other skills shall be allowed to carry out activities and tasks relevant and related to their respective credentials during the specified Period of Assistance.
 - G. Right to Withdraw - The Responding Member's Authorized Official retains the right to withdraw some or all of its resources at any time for any reason in the Responding Member's sole and absolute discretion. Notice of intention to withdraw must be communicated to the Requesting Member's Authorized Official as soon as soon as is practicable under the circumstances.
1. The National Incident Management System (NIMS) provides a consistent nationwide approach that allows federal, state, local and tribal governments as well as private sector and nongovernmental organizations to work together to manage incidents and disasters of all kinds.

To be eligible federal emergency management assistance, water and wastewater mutual aid and assistance programs must meet NIMS standards for emergency preparedness and response.

2. The Model Agreement promotes “home” supervisory control over personnel. This approach recognizes that personnel will likely work better with their regular supervisors. To ensure an efficient response, Article VI requires responding member supervisors to coordinate with the requesting member’s authorized official.

3. Article VI requires the requesting member to supply food and shelter to responding member personnel. This may be too onerous given that the requesting member will be faced with an emergency when it makes a request for Mutual Aid and Assistance. Accordingly, Article VI permits the requesting member to reimburse the responding member for food and shelter costs rather than securing such provisions.

4. Article VI includes a provision that allows the responding member to withdraw some or all of its resources at anytime. This approach limits the commitment of the responding member. If a situation arose in the responding member’s facility, resources could be withdrawn as appropriate. The Model Agreement promotes assistance because participating utilities would be less likely to withhold resources out of concern that they could not respond to needs at their own facilities.

5. Licensing and permitting authority will most likely not be an issue for intrastate mutual aid. However, this Agreement is drafted to permit assistance under the Interstate Emergency Management Assistance Compact and an Interstate Mutual Aid and Assistance Program for water and wastewater utilities, if such a program were established (see Article XXI). Because state issued licensing and permitting credentials vary, it is important to clarify what actions and tasks responding member personnel can take when participating in interstate mutual aid and assistance. The licensing and permitting provision allows the maximum utilization of the professional skills held by responding member personnel. However, it does provide responding member personnel with authority to conduct activities or tasks that may only be completed by those holding locally issued professional credentials.

ARTICLE VII.

COST- REIMBURSEMENT

The Requesting Member shall reimburse the Responding Member for each of the following categories of costs incurred during the specified Period of Assistance as agreed in whole or in part by both parties; provided, that any Responding Member may assume in whole or in part such loss, damage, expense, or other cost, or may loan such equipment or donate such services to the Requesting Member without charge or cost.

- A. Personnel – The Responding Member shall be reimbursed by the Requesting Member for personnel costs incurred for work performed during the specified Period of Assistance. Responding Member personnel costs shall be calculated according to the terms provided in their employment contracts or other conditions of employment. The Responding Member’s designated supervisor(s) must keep accurate records of work performed by personnel during the specified Period of Assistance. Requesting Member reimbursement to the Responding Member could consider all personnel costs, including salaries or hourly wages, costs for fringe benefits, and indirect costs.

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- B. **Equipment** – The Requesting Member shall reimburse the Responding Member for the use of equipment during the specified Period of Assistance, including, but not limited to, reasonable rental rates, all fuel, lubrication, maintenance, transportation, and loading/unloading of loaned equipment. All equipment shall be returned to the Responding Member in good working order as soon as is practicable and reasonable under the circumstances. As a minimum, rates for equipment use must be based on the Federal Emergency Management Agency’s (FEMA) Schedule of Equipment Rates. If a Responding Member uses rates different from those in the FEMA Schedule of Equipment Rates, the Responding Member must provide such rates orally or in writing to the Requesting Member prior to supplying the equipment. Mutual agreement on which rates are used must be reached in writing prior to dispatch of the equipment. Reimbursement for equipment not referenced on the FEMA Schedule of Equipment Rates must be developed based on actual recovery of costs. If Responding Member must lease a piece of equipment while its equipment is being repaired, Requesting Member shall reimburse Responding Member for such rental costs.
- C. **Materials and Supplies** – The Requesting Member must reimburse the Responding Member in kind or at actual replacement cost, plus handling charges, for use of expendable or non-returnable supplies. The Responding Member must not charge direct fees or rental charges to the Requesting Member for other supplies and reusable items that are returned to the Responding Member in a clean, damage-free condition. Reusable supplies that are returned to the Responding Member with damage must be treated as expendable supplies for purposes of cost reimbursement.
- D. **Payment Period** – The Responding Member must provide an itemized bill to the Requesting Member for all expenses incurred by the Responding Member while providing assistance under this Agreement. The Responding Member must send the itemized bill not later than (90) ninety dates following the end of the Period of Assistance. The Responding Member may request additional periods of time within which to submit the itemized bill, and Requesting Member shall not unreasonably withhold consent to such request. The Requesting Member must pay the bill in full on or before the forty-fifth (45th) day following the billing date. The Requesting Member may request additional periods of time within which to pay the itemized bill, and Responding Member shall not unreasonably withhold consent to such request, provided, however, that all payment shall occur not later than one-year after the date a final itemized bill is submitted to the Requesting Member.
- E. **Records** - Each Responding Member and their duly authorized representatives shall have access to a Requesting Member’s books, documents, notes, reports, papers and records which are directly pertinent to this Agreement for the purposes of reviewing the accuracy of a cost bill or making a financial, maintenance or regulatory audit. Each Requesting Member and their duly authorized representatives shall have access to a Responding Member’s books, documents, notes, reports, papers and records which are directly pertinent to this Agreement for the purposes of reviewing the accuracy of a cost bill or making a financial, maintenance or regulatory audit. Such records shall be maintained for at least three (3) years or longer where required by law.

Note on Article VII

1. Mutual Aid programs established in the 1950s did not have cost reimbursement procedures. Rather, program members would provide assistance at no charge, with the understanding that assistance would be provided to them when they were in need. For those utilities that wish to abide by that principle, the initial statement of Article VII allows the requesting and responding member to determine which resources could be exchanged without cost. Because public

resources cannot normally be provided to private organizations, this process is appropriate only when the assistance is exchanged between private utilities.

2. For those utilities that seek reimbursement for services, Article VII reflects the cost reimbursement procedures set forth in the four existing water and wastewater agreements for Mutual Aid and Assistance. To qualify for FEMA cost-reimbursement, this Article must be included in a mutual aid agreement.

3. In general, private organizations cannot receive public funds. This rule prevents gifts of private funds to private organizations. However, public funds can be used to reimburse private organizations for costs incurred as a result of providing assistance to a public entity as long as the costs are identified. Accordingly, Article VII requires an itemized bill for all expenses incurred during a Period of Assistance.

4. The Model Agreement suggests procedures include a penalty provision for unpaid bills. Providing a penalty provision will promote timely reimbursement to the requesting member.

ARTICLE VIII. **DISPUTES**

If any controversy or claim arises out of, or relates to, the execution of the Agreement, including, but not limited to, alleged breach of the Agreement, the disputing Members shall first attempt to resolve the dispute by negotiation, followed by mediation and finally shall be settled by arbitration in accordance with the Rules of the American Arbitration Association. Any court of competent jurisdiction may enter the judgment rendered by the arbitrators as final judgment that is binding on the parties.

Note on Article VIII

Article VIII sets forth a two-tiered process for handling disputes. First, members must try negotiation. If unsuccessful, then the matter must be resolved through arbitration. Arbitration is much faster and less expensive than traditional civil litigation. The Rules of the American Arbitration Association are widely recognized and often cited in arbitration clauses. However, a dispute resolution provision could include specific procedures for arbitration rather than require use of procedures developed by the American Arbitration Association. The Florida and Texas Agreements take this approach.

ARTICLE IX. **REQUESTING MEMBER'S DUTY TO INDEMNIFY**

The Requesting Member shall assume the defense of, fully indemnify and hold harmless, the Responding Member, its officers and employees, from all claims, loss, damage, injury and liability of every kind, nature and description, directly or indirectly arising from Responding Member's work during a specified Period of Assistance. The scope of the Requesting Member's duty to indemnify includes, but is not limited to, suits arising from, or related to, negligent or wrongful use of equipment or supplies on loan to the Requesting Member, or faulty workmanship or other negligent acts, errors or omissions by Requesting Member or the Responding Member personnel.

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The Requesting Member's duty to indemnify is subject to, and shall be applied consistent with, the conditions set forth in Article X.

Note on Article IX

1. Article IX sets forth a comprehensive indemnity provision. The provision requires the requesting member to indemnify responding members, and their officers and, employees. This requirement protects responding members from the costs associated with civil suits that may arise from, or are related to, providing Mutual Aid and Assistance. The Model Agreement allows an indemnity provision that would encourage participating utilities to provide assistance in the event of an emergency.

2. However, it is important to recognize that Article IX places an added burden on members that request assistance. The duty to indemnify, along with other requesting member obligations set forth in the Model Agreement, may deter participating utilities from utilizing the Mutual Aid and Assistance Program. An alternative approach is provided in the Florida and Texas Agreements. Those agreements require each member to bear the risks associated with participating in the Mutual Aid and Assistance Program. This includes the risk of facing civil liability that arises from, or is related to, providing Mutual Aid and Assistance. This approach reduces the burdens on members that request assistance under the Mutual Aid and Assistance Program.

ARTICLE X. SIGNATORY INDEMNIFICATION

In the event of a liability, claim, demand, action, or proceeding of whatever kind or nature arising out of a specified Period of Assistance, the Members who receive and provide assistance shall have a duty to defend, indemnify, save and hold harmless all Non-Responding Members, their officers, agents and employees from any liability, claim, demand, action, or proceeding of whatever kind or nature arising out of a Period of Assistance.

Note on Article X

A lawsuit or similar action that arises from or is related to a Mutual Aid and Assistance response may name all participating utilities as defendants regardless of their involvement in the transaction or occurrence that gave rise to the suit. Article X protects non-responding members from costs associated lawsuits or similar actions. This protection would encourage participation in the Mutual Aid and Assistance Program. Water and wastewater utilities would not incur additional liability by participating in the Mutual Aid and Assistance Program.

ARTICLE XI. WORKER'S COMPENSATION CLAIMS

The Responding Member is responsible for providing worker's compensation benefits and administering worker's compensation for its employees. The Requesting Member is responsible for providing worker's compensation benefits and administering worker's compensation for its employees.

Note on Article XI

Most state law requires the employer to provide and manage worker's compensation for their employees.

This article recognizes that the Responding Member has knowledge of the potential risks associated with deployment while providing resources to the Requesting Member(s) and the community it serves. If a member is unwilling to accept such risk they are not obligated to provide aid and assistance under the terms of this agreement.

ARTICLE XII. NOTICE

A Member who becomes aware of a claim or suit that in anyway, directly or indirectly, contingently or otherwise, affects or might affect other Members of this Agreement shall provide prompt and timely notice to the Members who may be affected by the suit or claim. Each Member reserves the right to participate in the defense of such claims or suits as necessary to protect its own interests.

Note on Article XII

Article XII recognizes that Members of the Agreement need to know about claims or suits that affect, or might affect, them. The Article also preserves the right of a Member to defend itself in any claim or suit that affects its interests.

ARTICLE XIII. INSURANCE

Members of this Agreement shall maintain an insurance policy or maintain a self insurance program that covers activities that it may undertake by virtue of membership in the Mutual Aid and Assistance Program.

Note on Article XIII

1. Article XIII requires members to carry insurance to protect against risks associated with participation in the Mutual Aid and Assistance Program. This provision provides a secure means of covering risks associated with participation in the Mutual Aid and Assistance Program.

2. A requirement to carry insurance could be an alternative to the indemnity provisions provided in Articles IX and X. That is, rather than place the burden on the Requesting Member to indemnify the responding member; the mutual aid and assistance agreement could provide that all members bear the risks of their own actions. The Florida and Texas Agreements take this approach; however these agreements do not require participating utilities to obtain insurance.

ARTICLE XIV. CONFIDENTIAL INFORMATION

To the extent provided by law, any Member or Associate Member shall maintain in the strictest confidence and shall take all reasonable steps necessary to prevent the disclosure of any Confidential Information disclosed under this Agreement. If any Member, Associate Member,

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third party or other entity requests or demands, by subpoena or otherwise, that a Member or Associate Member disclose any Confidential Information disclosed under this Agreement, the Member or Associate Member shall immediately notify the owner of the Confidential Information and shall take all reasonable steps necessary to prevent the disclosure of any Confidential Information by asserting all applicable rights and privileges with respect to such information and shall cooperate fully in any judicial or administrative proceeding relating thereto.

Note on Article XIV

Many state laws were updated following 9/11 to address the management of confidential information or security sensitive information. Therefore it may be appropriate for parties to this agreement to establish protocols for handling such information to facilitate the rapid recovery of the impacted utility.

**ARTICLE XV.
EFFECTIVE DATE**

This Agreement shall be effective after the Water and Wastewater Utility's authorized representative executes the Agreement and the applicable Regional Committee Chair receives the Agreement. The Regional Committee Chair shall maintain a list of all Members in the respective region. The Statewide Committee Chair shall maintain a master list of all members of the Mutual Aid and Assistance Program.

Note on Article XV

Article XV provides a standard approach on the process for participation in the Mutual Aid and Assistance Program.

**ARTICLE XVI.
WITHDRAWAL**

A Member may withdraw from this Agreement by providing written notice of its intent to withdraw to the applicable Regional Committee Chair and the Statewide Chair. Withdrawal takes effect 60 days after the appropriate officials receive notice. Withdrawal from this Agreement shall in no way affect a Requesting Member's duty to reimburse a Responding Member for cost incurred during a Period of Assistance, which duty shall survive such withdrawal.

Note on Article XVI

Article XVI recognizes that a Member may decide to withdraw from Mutual Aid and Assistance Program.

**ARTICLE XVII.
MODIFICATION**

No provision of this Agreement may be modified, altered or rescinded by individual parties to the Agreement. Modifications to this Agreement may be due to programmatic operational changes to support

the agreement, legislative action, creation of an interstate aid and assistance agreement, or other developments. Modifications require a simple majority vote of Members within each region and a unanimous agreement between the regions. The Statewide Committee Chair must provide written notice to all Members of approved modifications to this Agreement. Approved modifications take effect 60 days after the date upon which notice is sent to the Members.

Note on Article XVII

Article XVII recognizes that members may want to modify the Program agreement. There may also be circumstances that require modification of the Program agreement. For example, creation of an interstate water and wastewater utility Mutual Aid and Assistance Program may require agreement modifications.

ARTICLE XVIII. SEVERABILITY

The parties agree that if any term or provision of this Agreement is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and provisions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the Agreement did not contain the particular term or provision held to be invalid.

Note on Article XVIII

Conflict with one article of the agreement does not void the entire agreement.

ARTICLE XIX. PRIOR AGREEMENTS

This Agreement supersedes all prior Agreements between Members to the extent that such prior Agreements are inconsistent with this Agreement.

Note on Article XIX

Members of the Mutual Aid and Assistance Program may already have assistance agreements in place with utilities. Article XIX ensures that existing assistance agreements do not interfere with the operation of the intrastate Mutual Aid and Assistance Program.

ARTICLE XX. PROHIBITION ON THIRD PARTIES AND ASSIGNMENT OF RIGHTS/DUTIES

This Agreement is for the sole benefit of the Members and no person or entity must have any rights under this Agreement as a third party beneficiary. Assignments of benefits and delegations of duties created by this Agreement are prohibited and must be without effect.

Note on Article XX

Article XX covers issues of contract law that may interfere with the operation of the Mutual Aid and Assistance Program. The prohibition on third-party beneficiaries limits all rights and benefits under the agreement to participating utilities. Thus, a local government could not assert rights under this agreement as a third-party beneficiary. Article XX also prohibits the assignment of benefits created by the agreement to third parties. In other words, a participating utility could not assign its ability to request mutual aid and assistance to a non-participating utility. Prohibiting the delegation of duties ensures that only the participating utilities are involved in the Mutual Aid and Assistance Program.

ARTICLE XXI.

INTRASTATE AND INTERSTATE MUTUAL AID AND ASSISTANCE PROGRAMS

To the extent practicable, Members of this Agreement shall participate in Mutual Aid and Assistance activities conducted under the State of XXX Intrastate Mutual Aid and Assistance Program and the Interstate Emergency Management Assistance Compact (EMAC). Members may voluntarily agree to participate in an interstate Mutual Aid and Assistance Program for water and wastewater utilities through this Agreement if such a Program were established.

Note on Article XXI

At least 13 states have an overarching statewide mutual aid program. Article XXI requires coordination with the statewide mutual aid program, if one exists. Additionally, Article XXI permits participation in an interstate water and wastewater mutual aid program if one were established.

Now, therefore, in consideration of the covenants and obligations set forth in this Agreement, the Water and Wastewater Utility listed here manifests its intent to be a Member of the Intrastate Mutual Aid and Assistance Program for Water and Wastewater Utilities by executing this Agreement on this _____ day of _____ 20XX.

Water/Wastewater Utility: _____

By: _____

By: _____

Title: _____

Title _____

Please Print Name

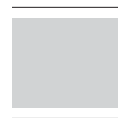
Please Print Name

Approved as to form and legality

By: _____

Attorney for Utility

Please Print Name



APPENDIX G

Utilities Helping Utilities–Manual



UTILITIES HELPING UTILITIES: AN ACTION PLAN FOR MUTUAL AID AND ASSISTANCE NETWORKS FOR WATER AND WASTEWATER UTILITIES

By Kevin Morley, American Water Works Association and Ray Riordan, California Utilities Emergency Association

An ounce of prevention is worth a pound of cure.

- Benjamin Franklin



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Preface

With the development of the enclosed Joint Policy Statement on Mutual Aid and Assistance Networks for water and wastewater utilities (p. iii), this white paper provides guidance on creating and implementing a mutual aid and assistance program within any of the states and territories that have not yet created such a program. With special thanks to the existing Water and Wastewater Agency Response Networks (WARN) for leading the effort, the following material was developed by reviewing the key elements of the existing networks.

The existing mutual aid and assistance programs mentioned in this paper include:

- California Water/Wastewater Agency Response Network (CalWARN), established in 1992, www.calwarn.org.
- Florida Water/Wastewater Agency Response Network (FlaWARN), established in 2001, www.flawarn.org.
- Texas Water/Wastewater Agency Response Network (TxWARN), established in 2005, www.txwarn.org.
- Louisiana Water/Wastewater Agency Response Network (LaWARN), established in 2006, www.lawarn.org (site to be developed).
- Washington Association of Sewer & Water Districts Mutual Aid Program, established in 1994, www.waswd.org.

The American Water Works Association acknowledges the following reviewers for their input and contribution:

Chairs and Representatives for the existing WARN programs:

California WARN	Martin Falarski, Chair
Florida WARN	Scott Kelly, Chair
	Gary Williams, Vice Chair
Louisiana WARN	Don Broussard, Co-Chair
	Patrick Credeur, Co-Chair
Texas WARN	Mike Howe, Committee Member

US Environmental Protection Agency	Debbie Newberry, Chief, Security Assistance Branch, Water Security Division
	John Whitler, Threat Specialist, Security Assistance Branch, Water Security Division

Association of State Drinking Water Administrators	Bridget O’Grady, Program Manager
--	----------------------------------

Information from the following documents was integrated into portions of this paper with permission from the source:

- EPA 625R-05-002, *Security Information Collaborative: A Guide for Water Utilities*, 2004.
- Riordan, Raymond A., Mutual Aid and Emergency Response for Water Utilities, *Jour. AWWA*, May 1995.

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Utilities Helping Utilities

Joint Policy Statement on Mutual Aid & Assistance Networks

The water sector is committed to a “Utilities Helping Utilities” concept and is taking steps to encourage utilities and local/state governments to establish intrastate mutual aid and assistance networks. The purpose of these networks is to provide a method whereby water/wastewater utilities that have sustained damages from natural or man-made events could obtain emergency assistance in the form of personnel, equipment, materials, and other associated services as necessary, from other water/wastewater utilities. The objective is to provide rapid, short-term deployment of emergency services to restore the critical operations of the affected water/wastewater utility.

A pre-established agreement among a network of utilities can complement and enhance local capabilities to prepare for and respond to a broad range of threats, both natural and man-made. The establishment of such intrastate mutual aid and assistance networks is a core principle of the National Preparedness Goal developed by the Department of Homeland Security.

Formalizing the existing capability to provide mutual aid and assistance provides the water/ wastewater sector with a degree of resiliency against natural or man-made disaster to ensure continuity of service to our sector’s customers.

It is essential that all partners in the water and wastewater community work together to support this concept. We encourage our members to discuss this concept with peers and take the steps necessary to establish an intrastate mutual aid and assistance network.

Mutual Aid Joint Policy Statement
February 15, 2006



Overview

Events such as 9/11, the 1994 Northridge earthquake, the 1997 Red River flood, and more recently Hurricane Katrina in 2005 identified a need for water and wastewater utilities to create intra-state mutual aid and assistance programs because:

- Utilities require specialized resources to sustain operations;
- Government response agencies and other critical infrastructure rely on water supplies;
- Utilities must provide their own support until state and federal resources are available;
- Large events impact regional areas, making response from nearby utilities impractical;
- Disasters impact utility employees and their families, creating greater need for relief;
- Agreements must be established pre-event for federal reimbursement; and
- Promoting mutual aid/assistance meets FY06 Department of Homeland Security requirements.

The need for establishing such a capability is driven by the threat of both natural and human-caused events. The establishment of intrastate mutual aid and assistance networks within each state across the nation can help reduce the impact of such events

and expedite recovery efforts of water and wastewater utilities, a national critical infrastructure as identified by the Homeland Security Presidential Directive (HSPD) 7.

The “Utilities Helping Utilities” concept is about creating an opportunity to enhance water and wastewater utility resiliency in response to disasters during the response and recovery phases. A mutual aid and assistance network is designed to provide a mechanism whereby water and wastewater utilities that face threatened or specific damages from a natural or human-caused event could quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services, as necessary, from other water/wastewater utilities using a master or omnibus mutual aid and assistance agreement signed by member utilities. The primary objective is to facilitate rapid, short-term deployment of emergency support to restore critical operations at the affected water/wastewater utility.

A utilities helping utilities, or peer-to-peer, approach to incident response and recovery is the most effective and efficient way to help a utility bring its systems back to normal operations within the shortest time frame possible. Although there is variability in the technical operations from one utility to another, the basic concepts, language,

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standards, regulations, personnel skills, and certification are relatively consistent, especially within a given state. Accessing the technical skills of utility field crews and operators from like utilities can allow employees affected by the events to manage their families' needs during a difficult time. The key ingredient for putting a utility back in operation is quickly inserting skilled, certified, technical utility crews into the field to address the emergency. The bottom line for the mutual aid and assistance networks described in this report is how to organize and marshal the technical skills unique to the water and wastewater sector to provide a rapid response and recovery capability at the local and state levels.

A signed mutual aid and assistance agreement does not obligate a utility to provide or receive aid but provides a tool for use should events dictate a need. Having an agreement in place prior to an emergency can also enhance planning and prioritization by agencies responding to requests for help. Among many basic benefits of having or participating in a mutual aid and assistance network, key benefits include:

- ***Increased planning and coordination.*** Agreements facilitate and complement local and regional joint planning for incident response, and such agreements meet federal grant requirements. The networking prior to an emergency helps utilities identify the people involved.
- ***Enhanced access to specialized resources.*** The basic function of the agreement is to quickly bring specialized utility resources to bear when and where they are needed. Agreements ensure the timely arrival of vital water and wastewater equipment and personnel with the

support of the appropriate authorities.

- ***Expedited arrival of aid.*** The federal and state government resources cannot address utility needs immediately. Mutual aid agreements streamline procedural steps so that resources can be easily requested and arrive in a timely manner.
- ***Reduced administrative conflict.*** Agreements clarify liability, reimbursement, and other administrative matters that could impede response in the absence of an agreement.
- ***Increased hope.*** As noted in past after-action reports from many disasters, after suffering loss of all critical infrastructures, the restoration of water and wastewater service provides a sense of comfort and hope that a “return to normal” is not far away.

Emergencies transcend political jurisdictional boundaries, and intergovernmental coordination is essential for protecting lives and property and for facilitating the efficient use of available assets, both public and private. As noted in the Joint Policy Statement, the national water and wastewater associations are committed to the “Utilities Helping Utilities” concept and encourage utilities and local/state governments to establish intrastate mutual aid and assistance networks.

Checklist of Actions to Start a Mutual Aid and Assistance Network

1. Identify Interest in Starting a Program

- Identify water and wastewater utility partners who are known industry leaders and discuss need for initiating a mutual aid and assistance program and potential benefits.
- Conduct phone conference/informal meeting to discuss strategy to start up the program.
- Establish an Initial Leadership Team.
- Contact authors and contributors to this paper or existing WARN programs for suggestions.

2. Form an Initial Leadership Team

- Contact various additional utilities, associations, or agencies that may play a role in the effort.
- Facilitate meetings with a core group to:
 - Identify purpose of the program (see appendix 1 for ideas).
 - Set a date, time, and location for an initial brainstorming session with this small group.
 - At the meeting, review common goals for the program and identify interest of this smaller group to lead an effort to educate fellow utilities and gather membership.
- Identify possible leadership team membership criteria:
 - Public vs. private.
 - Large and small utility, any that will help get the “ball rolling.”
 - Contractors that provide delivery and treatment services.
 - Wholesale utility, distribution utilities, etc.
- Identify upcoming association or training programs that offer a chance to educate utilities on the new program and invite attendees to meetings.
- Identify primacy agency involvement.
- Identify which state or local emergency preparedness and response agencies to include.

3. Prepare a Kickoff Session

- The Initial Leadership Team may consider including the primacy agency, federal and state partners, and appropriate associations in the planning of the Kickoff Session, as they may be able to provide logistical and organizational support.
- Plan a regional or larger meeting of those utilities, associations, and response agencies that are targets for membership:
 - Prepare basic agenda materials:
 - Provide education about the intent and purpose of mutual aid and assistance.
 - Provide lessons learned from successful programs.
 - Invite potential speakers on a variety of topics that facilitate mutual aid.
 - Send out an announcement to targeted members with a date, time, and location identified (consider inviting upper management of the target utilities).
 - Request a reply to identify a potential number of attendees.
 - Identify a central location, with enough space to support the number expected (to save costs, consider a large meeting room available to public agency gatherings).
- In managing the meeting, allow for questions and answers, as the strength of the program will depend on the types of questions asked and the interest in responses.
- Manage a post meeting review to identify next steps.

4. Establish a Steering Committee

- Identify committee membership (be willing to modify membership as system evolves). Consider:
 - Representatives from each state region (as appropriate).
 - Utility owner/operators (which may overlap with state association representative).
 - Professional association representation that can provide field response support (American Water Works Association, National Rural Water Association, Water Environment Federation, sanitation association, etc.).
 - State water and wastewater primacy agency (state health, environmental protection, etc.).
 - State emergency preparedness and response and/or homeland security agency.
 - US Environmental Protection Agency region representation.
- Confirm the mutual aid and assistance membership criteria established by the Initial Leadership Team. Who are the target members in the program, e.g., water and wastewater utility, professional association, contractors, primacy agency, etc.?

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- Identify a leader, e.g., by vote or consensus.
- Identify the Governance of the program and basic operational activities. For example:
 - What role does the steering committee take before, during, and after a disaster? How is the program organized throughout the state? Who acts as the official voice? If representatives are elected, how is this accomplished?
- Identify frequency of steering committee meetings to focus on goals.

5. Identify a Mission for the Program and Steering Committee Goals

- Clarify a purpose, mission, and goals for your intrastate mutual aid and assistance program.
- Identify the program as more than a response program—it supports pre-event preparedness.
- Prepare materials for upper management support:
 - Develop educational materials like brochures on the WARN program (see appendix 5).
 - Develop presentation materials on how the program will help the utility.
- Identify Short-Term Goals to accomplish within one year.

6. Review Use of State Regions

- Determine need to organize the program into regions of the state.
- Invite the state primacy agency and state agency responsible for overall disaster and emergency response in the state to attend discussions:
 - Are state regions a useful tool to organize? If so, does the system use the public health regions, emergency response regions, etc.?
 - Identify how representation at the state Emergency Operations Center is accomplished.
 - Identify support that can be provided by the regions.
 - Discuss the complications of participating in state operations at the region and state levels.

7. Identify Mutual Aid and Assistance Activation Criteria

- Can only those who signed the agreement use the program to request assistance?
- What constitutes an emergency, and how does a member activate the program? When a utility is in need, who do they call? Can they call any member utility directly? Do they contact a facilitator?
- How do you prevent abuse of the program?
- What is the practical method of using the resources of the member utilities?
- Are there forms or procedures that must be used to request assistance?
- Coordinate with state emergency preparedness and response agency regarding Gubernatorial declared emergencies.

8. Draft an Agreement

- Identify parameters for the agreement:
 - Must a member sign the agreement to participate in the program.
 - Identify appropriate legal authorities to establish an agreement.
 - Identify articles of the draft agreement (Appendix 3) that create reactions to possible member utilities.
- Draft an agreement and determine need for legal review.

9. Create Facilitation Tools

- Develop facilitation tools and training and deliver routine workshops on subjects, such as:
 - Protocols to defining damage and resource needs.
 - Linkages with local emergency management authorities.
 - Communication systems.
 - Web-based systems.

10. Maintain the Program

- Identify frequency of regional meetings and annual meetings for the general membership.
- Establish methods for routine communication in between formal meetings to show vitality of the program.
- Identify possible funding to develop or improve communication tools such as Web sites.
- Document successes of the program in action.
- Share lessons learned with other state and interstate mutual aid and assistance programs.

Development of an Intrastate Network

The purpose of this report is to provide the basic building blocks for developing a successful intra-state mutual aid and assistance network. The key elements described here are common to several existing and successful state-level networks that have been established to address the need for water and wastewater mutual aid and assistance. The key elements include:

- Steering Committee
- Pre-Event Support
- Response Protocols
- Mutual Aid and Assistance Agreement
- Facilitation Tools
- Maintenance

Steering Committee

An intrastate (within a state) utility-to-utility program requires the utilities to initiate the development of the mutual aid program. Although there could be hundreds of utilities within a state, a leadership team needs to be assembled to bring together ideas from the potential members, to give focus to how the program develops and unfolds, and to initiate the program. The purpose of a steering committee, comprising the utility members, professional and technical associations, and primacy agencies, is to:

- Identify a clear leadership for the program;
- Focus the direction of how to develop the program;
- Garner support among the utility members;
- Facilitate coordination with and identify specific communication linkages to the existing emergency management structure within the state;
- Provide an identity for the program by specifying membership criteria; and
- Ensure the program meets the needs of its members (the utilities).

In the existing utility mutual aid and assistance programs, the initial leadership teams created regional committees that supported an

overarching state committee. The programs organized themselves according to the “regions” of either the primacy agency support regions or the response regions of the state emergency management organization. Each region elected or identified leaders who participate in the state committee, bringing the issues of the regional members to the state leadership.

The state steering committee should attempt to balance representation from large and small, public and private utilities to capture the different roles each plays in responding to an incident. For example, technical service providers can offer rapid local condition assessments; utility response teams can provide equipment, field crews, lab services, or shop services. To support this effort, representatives of the professional organizations, such as AWWA sections, state rural water associations, state Water Environment Federation associations, and others, as appropriate, should be considered to provide a balanced input to the decisions of the committee.

It is important that key response agencies are included in the planning and development of the program. Partnerships with these other key response agencies are a critical element of any mutual aid and assistance network. For this reason, in the existing programs, the state primacy agency and state emergency management and/or homeland security authorities sit on the state steering committee to provide advice and input. This helps ensure that the mutual aid and assistance network can effectively address all hazards and facilitate coordination with the responding agencies.

For the mutual aid and assistance network to operate effectively, some level of governance must be established. The governance needs to be simple and address how it operates before, during, and after an emergency. From the state steering committee, a single person must be identified as the lead agent or chair for the program. Additionally, someone must administer the program and agreement. The

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tasks could be managed by one leader or shared among several to balance the load. Finally, the linkage of the governance to the emergency management organization needs to include how the mutual aid program maintains communications with network members and the emergency management agency, before, during, and after an incident.

More information on how to form an effective steering committee is presented in appendix 1.

Pre-Event Support

Mutual aid and assistance is not a means to fill a void caused by lack of planning and preparedness. Mutual aid and assistance is intended to support a utility that is near or has exhausted its own resources responding to an event, prior to requesting aid. Efficient mutual aid and assistance response requires pre-event action and support, including each utility preparing plans to effectively use its own available resources, regular communication with the members, training workshops and sessions for its members, and a means for members to network with the city, county, and state response agencies. By providing the opportunity for education and training, the mutual aid and assistance program becomes part of a greater emergency response system by design and helps integrate the utilities and local responders to ensure the utilities meet the requirements for federal grants and reimbursements. For example, understanding and applying the fundamentals of the Incident Command System (ICS) will improve any response as identified by the National Incident Management System (NIMS), the National Response Plan (NRP), and other activities that support HSPD 5 on National Preparedness. Applying the methods and concepts of the Incident Command System is now a federal requirement adopted by all 50 states in 2006.

Participating in training, practicing, and responding to incidents alongside law, fire, and other first responders adds legitimacy for the mutual aid and assistance program. Understanding the fundamentals of ICS will improve any response by establishing clearly

defined roles and responsibilities for various personnel during an incident. To create such a cooperative effort takes outreach to the emergency response and management community and integration at the city, county, and state levels. Support for the effort is possible through regular contact and involvement of the primacy agencies that have contact with emergency response organizations.

Protocols

All emergencies are “local” and require immediate response from those affected by the event. The responding mutual aid and assistance resources from outside the impact zone need to work with a common set of principles when responding to an event while assisting the utility/ies affected by the event. To facilitate an effective response, certain procedures and protocols should be considered and adopted by the member water and wastewater utilities. The protocols would include how to communicate the need for mutual aid, who to communicate with, and how to provide information to the local emergency management authorities. Activating the mutual aid and assistance agreement must be outlined and referenced (not in detail, but generally) in the agreement. Additionally, accessing a current contact list of member utilities and key resources available in the state from other utilities would be critical. These pre-event activities will improve communications and ideally limit the chaos factor related to an incident since roles and responsibilities are defined pre-event.

In most utility mutual aid and assistance agreements, a declaration of a local emergency by the city, county, or the state is not necessary to activate the agreement, yet it is critical to identify how and what emergency data to communicate with the local emergency management groups. To meet this need, member utilities accept the responsibility to conduct a rapid damage assessment of the utility and identify the types of resources and personnel that a responding utility or agency should consider prior to deployment. The process of collecting this information and relaying it to the local and state emergency management groups may be

necessary to be eligible for Federal Emergency Management Agency reimbursement. This is likely one of the most critical elements in the response, because the information directly impacts the efficient allocation and coordination of resources to those in need.

Protocols on how to provide information to the local and state emergency management agencies and that identify who receives the information complete a vital linkage. For coordination purposes, the mutual aid and assistance program needs to identify a specific point of contact at the local and state level, especially during incident response. In each of the existing systems, a specific group has been identified at the State Operations Center to help facilitate priorities for allocating resources, coordinating of information and flow of resources to the impact area, and coordinating response with other response organizations. For example, contact at the State Operations Center with law enforcement could help in allowing crews to reach a destination without having to stop at weigh stations, thereby reducing response time and getting to an area of need sooner. The protocols can also account for the type of information that can be shared with the member utilities before, during, and after an emergency. If the information could allow for the exchange of national security information, the protocols and agreement should identify limitations or directions on how and when the information is shared.

Mutual Aid and Assistance Agreement

Several states have instituted statewide mutual aid legislation that authorizes the state and its political subdivisions to provide emergency aid and assistance for all disciplines (fire, law, medical, etc.) in the event of a threatened or actual major disaster. In most cases, a declaration of an emergency by the local government body or the governor triggers the activation of mutual aid resources. Note that the provisions of these laws do not typically preclude utility participation in a sector-specific mutual aid network. In the case of the water/wastewater network discussed in this report, a request for assistance during an

incident does not have to be triggered by an emergency declaration by the local elected body, the governor, or the President. Gubernatorial declarations may allow access to additional aid for public utilities, while the utility mutual and assistance program may remain independent. As the steering committee is form this latter point will require discussion and coordination with the state emergency preparedness and response agency.

The ultimate goal for the mutual aid and assistance network program is to create a single intra-state agreement from which all utilities operate and to eliminate multiple agreements. Trying to determine which agreement to use if multiple agreements are considered could add confusion during a time of critical need and response. Creating a single omnibus Mutual Aid/Assistance Agreement (MAA) relies on the progression of each of the above elements to put in writing how the program works. The MAA provides the essential framework for how assistance will be provided, outlines response procedures, and addresses issues of insurance and liability. The focus of this report is on building a state-level mutual aid and assistance capability in which utilities are able to request assistance from peers in the absence of a local, state, or national emergency declaration.

The details of an intrastate utility MAA must be developed by the member utilities, using the appropriate state law references, and the agreement must address all hazards (natural and human caused). According to the Department of Homeland Security, to meet federal grant requirements, MAAs need to account for:

- Definitions of key terms;
- Roles and responsibilities of individual parties;
- Procedures for requesting and providing aid;
- Reimbursement and allocation of costs;
- Notification procedures;
- Protocols for interoperable communications;
- Relationships with other jurisdictions;
- Workers' compensation;
- Liability and immunity;

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- Recognition of qualifications and certifications; and
- Sharing agreements.

The bottom line is that an agreement must be in place prior to an incident to:

- Help ensure an effective response and recovery;
- Adequately provide the specialized resources and employee skills that a utility needs for response/recovery; and
- Following a presidential-declared emergency, obtain federal reimbursement as identified in the Stafford Act.

Finally, the MAA must include a provision on how it will be updated. Changes to state law, federal regulations, and reimbursement issues may necessitate the need to evaluate and modify the agreement. Keeping the agreement “alive” requires an ability to revise the agreement.

Based on a review of the existing MAAs in use on a statewide basis, a sample agreement is provided in Appendix 3.

Facilitation Tools

Developing tools for communicating information with members will enhance the program. The tools can take the shape of forms and request procedures that help facilitate the flow of information to the utilities that can provide aid and to the emergency management authorities. In the end, the tools need to be designed to assist in the flow of resources to the utilities in need.

Today, the most popular tool is a Web site. While a Web site is not critical at the outset, it can support the need to share information, post critical data, and facilitate action. To build a useful Web site, each of the previously identified steps needs to take shape.

Maintenance of the Program

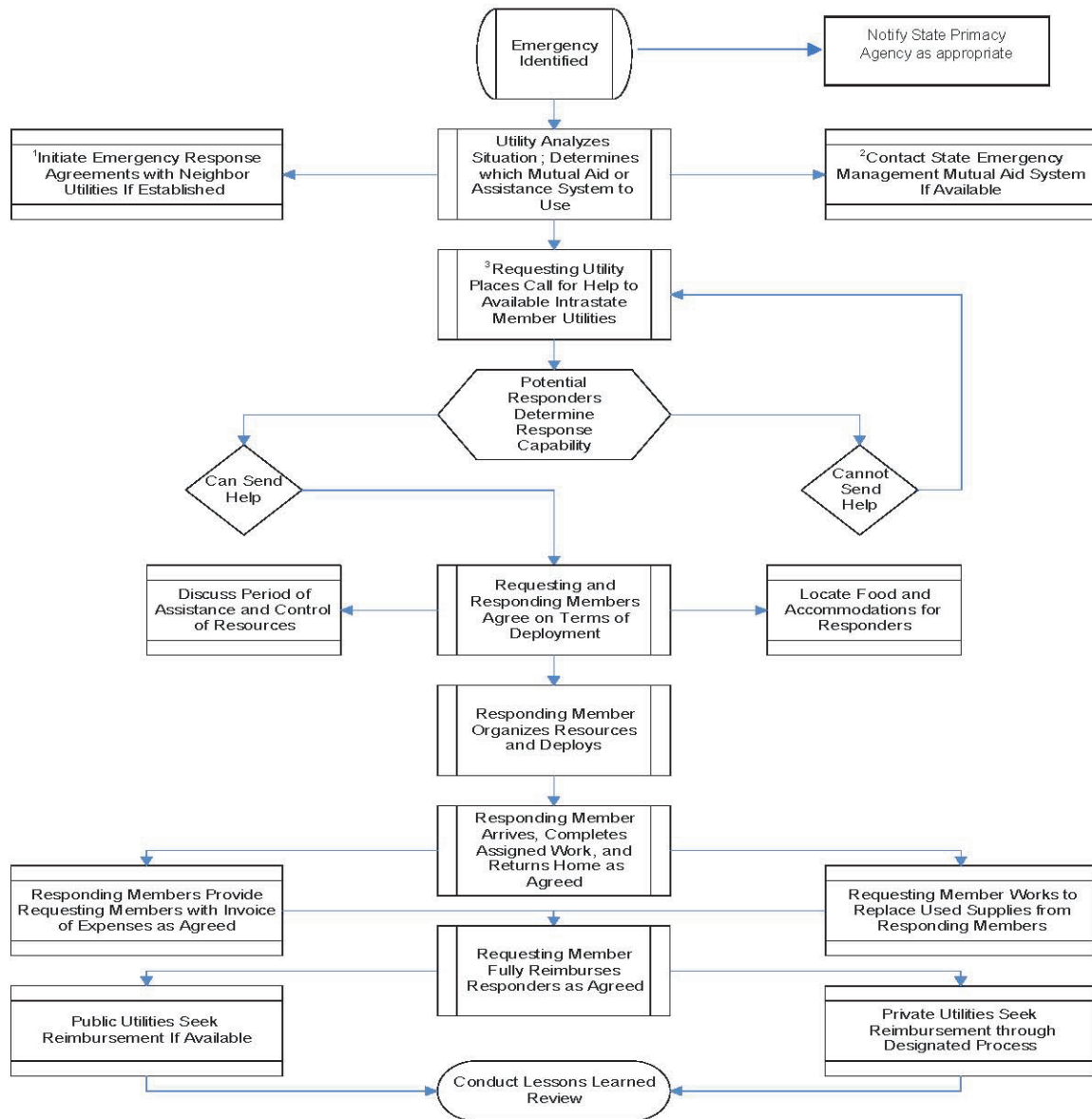
Establishing programs for training and ongoing maintenance of the agreement and program propel the mutual aid and assistance program into a “living and breathing” element of the local and state emergency preparedness and management programs. A regular schedule of meetings between the state and regional committees (perhaps quarterly), an annual (at least) general meeting of the members, and training will help keep the purpose of the program and awareness of how to use the agreement “alive.” These regular meetings and trainings can be “paired up” with the annual professional meetings and workshops developed by AWWA or National Rural Water Association, for example, or other regularly scheduled programs.

Annual review of the agreement for updates in laws, programs, and procedures keeps the members aware of the agreement and helps remind the members to update their plans, contact lists, and other emergency management efforts.

Mutual Aid and Assistance Requests and Response

During an emergency, a utility needs to analyze the situation and determine the best alternatives to address its needs. This could include three possible mutual aid or assistance response scenarios (see flowchart below). First, the utility may call upon neighboring utilities with whom they have pre-written and established

agreements. Second, public utilities have an option to “tap into” the public agency statewide mutual aid and assistance programs if state law and operations allow for such a program. Third, the utility can access the water/wastewater mutual aid and assistance program described in this document.



1,2,3- 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 responder, and the intrastate utilities agreement.

Interstate Mutual Aid and Assistance

The Emergency Management Assistance Compact (EMAC) is the primary tool to exchange resources across state lines. It is a national governor-to-governor interstate mutual aid compact implemented by an act of the US Congress. EMAC facilitates the sharing of resources, personnel, and equipment across state lines during times of disaster and emergency. At this time, all 50 states, the District of Columbia, and two US territories participate in EMAC. The adoption of the EMAC agreement in each state required passage of a bill through each state or territorial legislative body, followed by the governor's signature. The mission of EMAC is to efficiently and effectively share resources between the members (states and territories) during times of disaster or emergency.

The National Emergency Management Association (NEMA) administers the EMAC, following the declaration by the governor of the affected state or territory. Use of EMAC does

not require a presidential declaration. The intent is to allow for the use of state employees to respond to emergency conditions. Some states have provisions in their intrastate mutual aid agreements that allow the state to designate local government employees as agents of the state for purposes of mutual aid, while others do not. For those without such provisions, a vehicle was needed to allow the state to designate local government employees as state assets, thereby facilitating the employment of personnel, ensuring the applicability of EMAC liability and workers' compensation provisions, and simplifying the reimbursement process. Contact your state agency responsible for emergency management for more details.

While practical, the use of EMAC does not require the use of resources from neighboring states before accessing resources and personnel from other states that are part of the EMAC agreement.

Appendix 1

Establishing a Steering Committee and Agreement

A successful program often begins with one person who has the vision and drive to bring together different groups for a common purpose. While the common goal may appear evident, especially because more than one utility provides drinking water and wastewater services to a state, in the end, all utilities have one purpose: serving the customer. Establishing a leadership team and identifying resources to sustain the effort are vital to initiating it, shaping it, and maintaining it. For these reasons, this appendix is designed to outline some of the considerations in establishing a vibrant and sustainable program. The 10 steps to establishing and maintaining a steering committee and agreement are based on the successful existing mutual aid and assistance programs for water and wastewater utilities.

1. Evaluate need, purpose, value, and intent of a mutual aid and assistance program.

Vision beyond an agreement. The mutual aid and assistance program is more than an agreement. It is a way of sharing information before, during, and after an event; it provides a method to plan and train together; it promotes the concepts and use of mutual aid and assistance today and into the future; it links the utility industry into the existing emergency management programs in the state; it promotes an opportunity to share lessons learned in emergency planning, response, and recovery; and it helps share the emergency planning and training requirements needed to obtain grants and reimbursements.

Promote preparedness. A mutual aid and assistance program promotes the development of a team of utility responders ready to help each other, especially since many water utilities share the same water sources. To reach the goal of building a team of like responding utilities, the intent of the program can assist in answering the following questions:

- What do you know about the neighboring utilities?
- What is known about neighboring utilities' vulnerabilities?
- Do neighboring utilities share the same vulnerabilities from the same natural disaster?
- Do the utilities have emergency response plans and practice using them?
- Have the neighboring utilities conducted exercises? What lessons are learned?
- Are neighboring systems similar and reliant upon the same resources in an emergency?
- What systems in other regions share the same need for resources, or could provide the resources needed in an emergency?
- Do neighbor utilities know how to request help from each other or other utilities in the state?
- Are opportunities for regular interactions with member utilities already available? If so, how can utilities leverage the opportunity to learn about each other's emergency response plan and assist each other?
- If neighboring utilities are affected by the same event, how does a damaged utility reach out to unaffected utilities to get assistance?
- What resources among multiple utilities can be shared to assist those in greatest need?
- Do opportunities exist to regularly share the above sources of information with other utilities that they might be able to rely on during an emergency?
- Do you know whom to contact in case of an emergency?
- If a utility serves more than one jurisdiction, who is the contact in each jurisdiction?
- If a utility serves more than one jurisdiction, is it clear who will respond if an emergency arises?

- Are utilities familiar with any response guidelines issued by your local police or fire department?
- Are the police, firefighters, and other emergency personnel familiar with the intentions, response capabilities, priorities, and critical facilities of a utility?
- Are the utilities in need ready to accept mutual aid?

2. Define potential membership and initial leadership team.

Common goals. Mutual aid and assistance programs work best when the members share mutual goals or values. Organizations to include in this new venture will depend on the purpose and intent of the program. The program could focus on one or all of the phases of emergency management: preparedness, training, response, and recovery. For example, if utilities need to know the emergency response plans and resources of other utilities in a region, the membership should focus on a utility membership. If response activities are the focus, public health and emergency management groups need to be included at some level. Regardless of the type of program, it is important to identify the agencies and organizations that share common concerns and can bring additional information, knowledge, and resources to the members.

3. Establish an initial leadership team.

As noted, the program may begin due to the vision and drive of one person to bring different utilities together for a common cause. From this leader, an initial leadership team may evolve. Over time, the leadership team will evolve and even look different from the start. The initial leadership team required to start the program will come from contacts at other utilities that seem to share a common vision and sense of direction. To give credibility to the development of the program, members of the initial leadership team must have the authority to make key decisions for their utility. That authority either can already be a part of that person's position in the utility or may be delegated to him or her by senior management. Before beginning, be sure the initial leadership team includes individuals who possess the skills and drive to bring the program together and the support to continue the journey.

Upper management support. Upper management support is critical to the formation and maintenance of a mutual aid and assistance program. Initially, the financial support to create the program is often in the form of in-kind services by the initial leadership team, and members must take time from other duties and responsibilities to attend meetings and create a strong foundation from which the rest of the program develops. Upper management support for these activities not only ensures that necessary resources are available but also validates the effort and promotes the acceptance of the agreement that is vital to the success of the program.

4. Prepare and conduct a “kickoff” session.

Training and awareness. Calling together the potential membership for the mutual aid and assistance program is an excellent time to explore the benefits of working together and to understand what each member can contribute. This may be the first time that the utilities have heard about mutual aid and assistance, which may require presentations and training on what mutual aid and assistance is about. It should also include representatives of existing and successful programs. (A list of these organizations is included in appendix 6.)

Initial call. At this first general meeting, it is important to identify the areas of common concern and, perhaps, develop a mission statement or set of goals for the program. In selecting who to invite, the initial leadership team may consider inviting utility representatives who are in the “right positions” in their organizations to make decisions for the utility and who are also able to work cooperatively with

others. When reaching out to the utilities, contacting upper management first may be necessary, while clearly stating that participating members should be the persons who work to support the goals of the mutual aid and assistance program.

Meeting preparation. In preparing for the initial meeting, the initial program needs to outline the basic idea behind the movement, the successes of other programs, and the benefit of the program; it should allow for sharing ideas and questions. Questions and comments presented by the utilities present at the session may reveal different philosophies, terminology, concerns, approaches to events, and personal lessons learned. Group dynamics and individual personalities affect the strength of a mutual aid and assistance program and could significantly impact the meeting's outcome.

Forming a unified membership. Allowing the initial meeting to progress through the “group formation” is critical and well documented in management journals. The four stages of group formation or normalization are: form, storm, norm, and perform. Multiple representatives are brought together (form). The group members each express personal views, state positions, identify expectations, and describe future intentions (storm). While perhaps not achieved initially, the group “normalizes” as a direction for the group is presented and agreed upon as long as it includes value in working together (norm). In succession, the group takes actions (perform) based on perceived value, vision for improvement beyond current conditions, and identified goals.

Post meeting notes and action. Following the initial meeting is the time to capture who the likely candidates would be for expanding the leadership team; identifying key players; specifying resources available at this time; documenting additional members to include; and immediate actions to take to show progress. Follow up the meeting with acknowledgment to those who came and invitations to those to include in the leadership of the program.

5. Establish a state steering committee.

Membership. A successful steering committee can help ensure development of a mutual aid program today and over the long term. The steering committee structure should consider including some level of representation from the following:

- Representatives from each region (as appropriate)
- Utility owner/operators (which may overlap with state association representative)
- Professional association representation (American Water Works Association, National Rural Water Association, Water Environment Federation, sanitation association, etc.)
- State water and wastewater primacy agency (state health, environmental protection, etc.)
- State emergency management and/or homeland security agency
- US Environmental Protection Agency region representation

Representation on the state steering committee would be mentioned in the formal agreement.

Size and participation. The level of participation by individual members tends to be directly related to the stake their organizations have in the collaboration. Although ex-officio-type members may be appropriate, for the most part, each member should feel he or she has an equal stake in the collaboration. The state steering committee needs to be large enough and include enough people to do its work, yet it should not be so big that committee meetings become unproductive. Experience shows that committees of 8 to 12 persons work very well.

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Identified leader. A chair or leader of the state steering committee should be elected by the membership of the committee. Nominees for the chair could be based on the leadership shown in developing the program, knowledge base in how the mutual aid and assistance program operates, understanding of the relationship between the various member utilities and the emergency response organizations, etc. The process of deciding the chair would be mentioned in the agreement.

Governance. A method of how the program would be governed needs to be considered. Although there is a chair or leader, does it make sense to have a vice-chair, an administrator, or other distinctive leaders? Will decisions be made via a majority vote, input from the general members, or others? Mutual aid and assistance networks are voluntary organizations, so consensus may be necessary for the committees to act as a group. Answers to questions such as those noted would be mentioned in the agreement.

6. Set a mission for the program and steering committee goals.

Clarify a purpose, mission, and goals. Now that the interest is clear, take the time to articulate a clear purpose, mission, and goals for your intrastate mutual aid and assistance program. Be clear that the program is more than a response program. The intent of a mutual aid and assistance program is to support pre-event preparedness and educate the members about how to use the program, the correct protocols, and the process for ensuring proper documentation.

Prepare materials. Take the time to create legible, readable, and specific materials to ensure upper management support. Develop education materials like brochures on the WARN program (see appendix 5). Develop presentation materials on how the program will help the utility.

Meeting frequency. The successful mutual aid and assistance networks meet regularly. Face-to-face meetings are best, especially at the beginning of the process. Initially, monthly meetings of the steering committee may be necessary followed by quarterly sessions as activities are completed. The meetings should be set on regular days such as the third Wednesday of the month for a specific time. Location of the meetings can vary. Rotating the meeting locations means each organization contributes to the cost of meeting rooms and refreshments (if provided) and helps each member feel that his or her organization is a full member of the group.

Short- and long-term goals. The state steering committee (and regional committees if established) would ensure success and completion of critical tasks. The committee should establish some short-term and long-term goals and, perhaps, identify some projects that will benefit the members. Doing so will ensure that the work of the committee evolves with the changing nature of emergency preparedness, management, response, and recovery.

Examples of Short-Term Goals:

- Clarify membership criteria
- Identify key professional or technical associations
- Identify primacy agency and emergency management agency involvement
- Establish governance
- Identify regions as needed
- Prepare draft agreement

7. Identify need for regional support.

Managing a large number of utilities. Identifying a need for regional support relies on how the individual state is organized by the state health and/or emergency management departments. For some states—such as California, with more than 12,000 water utilities alone—to handle all member needs through one committee would be impractical; however, only about 200 of these utilities provide over 90% of the services in the state. Focusing on these 200 utilities provided the most significant aid to the customers. Likewise, Florida has more than 8,000 utilities. Having one leadership group to manage the statewide program with such a large number of utilities would require enormous resources. With input from the appropriate emergency response and primacy organizations, the initial leadership team may need to determine how to best organize the regions (i.e., which counties or parishes are part of which regions). This determination will include the optimal way to establish communication with local emergency response agencies, so they too can understand, learn, and develop support for the developing mutual aid and assistance program for the water and wastewater utilities.

Regional committees. As appropriate, regional committees that support and provide representation on the state steering committee may be required. The membership of the regional committees may mimic what is done at the state level or simply establish a means of representation by the member utilities. A chair or leader of the region should be a representative from a member utility elected by a majority of the utility members to represent the regional interests.

8. Draft an agreement.

Based on input from the steering committee, take the time to craft an agreement that meets the needs of the legal staff at the utilities that make up the steering committee. To facilitate results, a draft agreement is provided in appendix 3 of this document. The key elements of the agreement as identified in the overview section of this paper are included in the draft agreement. As the first draft is circulated for comment, be aware that an agreement can (and has in existing programs) be modified based on changes made at the utilities by state legislation or federal requirements.

9. Create facilitation tools (long-term goals).

The life of the program will depend on the future development of the program and the engagement of the member utilities in understanding the changes and engaging in the updated changes and systems. As the system grows and matures, new issues will evolve, especially after responding to a disaster or emergency event. The future of the program development may focus around:

- Database management of emergency contacts
- Protocols on defining damage and resource needs
- Linkages with local emergency management authorities
- Communication systems
- Web-based systems
- Obtaining grant funds for developing the program
- Document successes of the program in action
- Share lessons learned with other state and interstate mutual aid and assistance programs.

Each of the above listed items will take resources and efforts to develop and maintain.

10. Maintain the committee and program.

Committee meetings. Not every mutual aid and assistance network holds regular committee meetings. The frequency depends on its requirements, the workload of its participants outside the group, and its current circumstances. Once the steering committee has been established, it may reduce its meeting schedule to every other month or even every quarter, or it may decide to meet more often as circumstances dictate.

Keep current. The answers to the questions listed in step 1 might be different today than they would have been years ago and they may be different 3 or 4 years from now. The lessons learned about responding to human-caused or natural disasters evolve, as do the potential responses because of technology, education, and new programs. Personnel in each member organization, and the responsibilities associated with them, may change. The individuals who fill positions today may retire or move on to other opportunities. Keeping current on key contacts is critical to ensure the network works during response to an event.

Annual general meeting. Without regular contact with neighboring utilities, police and fire departments, and the public health community, challenges to a unified and coordinated response develop. The greatest benefit of the program is to maintain a regular, at least annual, contact with the membership through training and information sharing. The goal of the steering committee is to “pump life” into the mutual aid and assistance network over the long run. As circumstances change, the network of utilities must be made aware, educated, and trained on what to do. Annual general membership meetings are a great vehicle for making sure there is at least one meeting a year. For those in hurricane country, a meeting in May could prepare and remind member utilities on what to do and how to access mutual aid and assistance and on the methods to follow to be sure help can arrive during the hurricane season of June 1 to October 15.

Establish an agenda for each meeting. An agenda focuses and manages the discussion. The participants know what to expect and are prepared. The chair of the committee typically prepares an agenda for each meeting, but members may contribute additional topics for discussion.

Communicate between regular meetings. E-mail is an effective way for the members to relay information and stay in touch between meetings. Regular telephone calls, list servers, and one-on-one meetings also help members maintain contact, especially when groups meet less often than once a month. Assist in notifying senior managers about activities and interest in the program. After all, senior management must support the process by giving staff the resources, time, and authority to participate fully in the networks.

Commit staff time to emergency preparedness. In the post-9/11 and Hurricane Katrina world, preparedness is an integral part of providing safe drinking water. The state steering and regional committees need to lead and cheer other utilities on while making preparedness a reality in all utilities. With the sole purpose of providing safe drinking water, utilities should have staff members whose responsibilities include emergency preparedness and security and who can take the lead when working with emergency responders, including other utilities or public health officials.

Make the best use of your resources. Most network activities will be carried out by the people who belong to the group. The primary activity will likely be the regular periodic meetings, whose costs will be borne by the member organizations. The network may also decide to sponsor other activities or programs. The individual organizations involved may pay for some of these programs as part of their regular operations. The approach each state steering committee takes will depend on local circumstances, including the financial resources of the participating organizations.

Financing the program. All four of the existing programs began without funding. The collaboration of those utilities interested in the mutual aid and assistance network provided in-kind services to the program (employee time and salaries, minor expense costs, etc.). The use of existing resources was leveraged to provide the necessary support. While most of the programs used in-kind funds to support the development of facilitation and communication tools, some programs were successful in applying for and obtaining grants to develop future facilitation tools such as Web sites or other communication tools.

Appendix 2

Signatories of the Joint Policy Statement on Mutual Aid and Assistance Networks

[American Water Works Association \(AWWA\)](#)

AWWA represents water systems of all sizes and ownership types. Its more than 57,000 members represent the full spectrum of the drinking water community, including treatment plant operators and managers, scientists, environmentalists, manufacturers, academicians, engineers, and regulators. Membership includes 4,000 utilities that supply water to approximately 180 million North Americans.

[Association of Metropolitan Water Agencies \(AMWA\)](#)

AMWA is an organization of the largest publicly owned drinking water systems in the United States. AMWA's membership serves more than 120 million Americans from Alaska to Puerto Rico with drinking water.

[Association of State Drinking Water Administrators \(ASDWA\)](#)

ASDWA is the professional association serving state drinking water programs and representing them before Congress, the US Environmental Protection Agency (USEPA), and other professional organizations. Membership includes administrators from the 50 states, territories, and the District of Columbia.

[Association of State and Interstate Water Pollution Control Administrators \(ASIWPCA\)](#)

ASIWPCA members are the state, interstate, and territorial officials who are responsible for the implementation of surface water protection programs throughout the nation. Membership includes officials from the 50 states, territories, and the District of Columbia.

[National Association of Clean Water Agencies \(NACWA\)](#)

NACWA represents the interests of more than 300 public agencies and organizations that serve the majority of the sewered population in the United States. Members collectively treat and reclaim more than 18 billion gallons of wastewater daily.

[National Association of Water Companies \(NAWC\)](#)

NAWC represents the private and investor-owned water utility industry. Its members provide drinking water to 22 million people across the United States.

[National Rural Water Association \(NRWA\)](#)

NRWA represents small and medium-sized water systems. NRWA's mission is to provide support services to state associations that have more than 24,550 water and wastewater systems as members.

[Water Environment Federation \(WEF\)](#)

WEF is composed of individual members and member associations representing engineers, public and private plant operators and managers, students, laboratory technicians, wastewater consultants, retired wastewater professionals, and public officials.

Appendix 3

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Sample Mutual Aid and Assistance Agreement

This Model Agreement contains procedures and standards for a water and wastewater utility Mutual Aid and Assistance Program. The Model is based on existing water and wastewater utility Mutual Aid and Assistance agreements implemented in California, Florida, Texas, and Washington. While the Model shares some similarities with each of the four agreements, it is a unique document in and of itself.

Creating an agreement for Mutual Aid and Assistance involves a number of policy decisions. The Model Agreement proposes specific approaches to Mutual Aid and Assistance Program issues; however, reasonable minds will differ as to whether the approaches presented in the model are the best. Accordingly, notes are included for each provision of the Model Agreement. These notes highlight significant issues that arise in the drafting of a mutual aid and assistance Program and how the Model Agreement approaches those issues. The notes also explain why certain provisions are included in the Model Agreement.

Representatives of the water and wastewater industry can use this Model Agreement as a tool to facilitate discussion on drafting an Intrastate Mutual Aid and Assistance agreement that best illustrates their needs. However, while each intrastate steering committee may revise portions of this Agreement, it is important to note that this Model Agreement allows for inclusion and eventual connection with a national interstate mutual aid and assistance agreement. Because mutual aid and assistance programs require standardized operational procedures, consistency between the intrastate agreements is critical. Thus, major modifications to this Agreement would preclude using it for connection with an interstate program for mutual aid and assistance program.

AGREEMENT

This Agreement is made and entered into by public and private Water and Wastewater Utilities that have, by executing this Agreement, manifested their intent to participate in an Intrastate Program for Mutual Aid and Assistance.

Statutory Authority (cite authorizing state statute, if any) This Agreement is authorized under Section XXX of the (state revised statutes on mutual aid), which provides that Water and Wastewater Utilities may contract with each other to provide services.

Note

Water and wastewater utilities may need statutory authority to enter into agreements for Mutual Aid and Assistance. If there is no statutory authority, a legal question arises as to whether such authority is necessary for a water and wastewater Mutual Aid and Assistance agreement. Both the California and Washington Agreements reference statutory authority. The Florida and Texas Agreements do not.

ARTICLE I. PURPOSE

Recognizing that emergencies may require assistance in the form of personnel, equipment, and supplies from outside the area of impact, the signatory utilities established an Intrastate Program for Mutual Aid and Assistance. Through the Mutual Aid and Assistance Program, Members coordinate response activities and share resources during emergencies. This Agreement sets forth the procedures and standards for the administration of the Intrastate Mutual Aid and Assistance Program.

Note on Article I

Article I briefly describes why water and wastewater utilities established a Program for Mutual Aid and Assistance and the purpose of the Agreement. Inclusion of this Article recognizes the spirit and intent of the Mutual Aid and Assistance Program.

ARTICLE II. DEFINITIONS

A. Emergency—A natural or manmade event that is, or is likely to be, beyond the control of the services, personnel, equipment, and facilities of a Mutual Aid and Assistance Program Member.

B. Member—Any public or private Water or Wastewater Utility that manifests intent to participate in the Mutual Aid and Assistance Program by executing this Agreement.

C. Authorized Official—An employee of a Member that is authorized by the Member's governing board or management to request assistance or offer assistance under this Agreement.

D. Requesting Member—A Member who requests assistance under the Mutual Aid and Assistance Program.

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

F. Period of Assistance—A specified period of time when a Responding Member assists a Requesting Member. The period commences when personnel, equipment, or supplies depart from a 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.

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

Note on Article II

These terms and corresponding definitions are drawn from the four existing water and wastewater agreements for Mutual Aid and Assistance. Only the definition for emergency is noteworthy. The Model Agreement specifies a definition of an emergency that includes disasters that are "likely to be" beyond the control of the participating utility. As explained in the Note for Article V, this permits a participating utility to request assistance prior to the onset of a disaster. The request for aid does NOT require a declaration of an emergency by the local or state agencies, and the aid may be provided during the emergency response or recovery phases. This approach is consistent with the California and Washington Agreements but differs from the Florida and Texas Agreements, which limit requests for Mutual Aid and Assistance to post-disaster periods.

ARTICLE III. ADMINISTRATION

The Mutual Aid and Assistance Program shall be administered through Regional Committees, as needed, and a Statewide Committee. The purpose of a Regional Committee is to provide local coordination of the Mutual Aid and Assistance Program before, during, and after an emergency. The designated regions are consistent with the existing public health or emergency management regions of the state and include (list the regions, for example, one for the Southern Region Members, one for the Northern Region Members, one for the Western Region Members, and one for the Eastern Region Members). Each Region Committee, under the leadership of an elected Chairperson, shall meet annually to address Mutual Aid and Assistance Program issues. Each Regional Committee shall also meet annually to review emergency preparedness and response procedures. The Chairperson of each Regional Committee represents their Regional Committee's interests on the Statewide Committee. In addition to representing the interests of the Members, the Statewide Committee includes representatives from (list other organizations that may have a role to play in the Mutual Aid and Assistance Program, e.g., public health, emergency management, Rural Water Association, American Water Works Association, etc.). Under the leadership of the Chair, the Statewide Committee members shall plan and coordinate emergency planning and response activities for the Mutual Aid and Assistance Program.

Note on Article III

The Model Agreement conceptualizes a Mutual Aid and Assistance Program administered through regional committees and a statewide committee. Article III formalizes this approach. The concept is drawn from a provision in California's Agreement that establishes a committee system for program administration. The Model Agreement outlines administering the program through regional or "local" committees that could promote coordination and help resolve program issues. However, the sample agreement recognizes that a committee system for Program administration may be too elaborate for some states. There are other, less formal ways to ensure efficient operation of a Mutual Aid and Assistance Program. For example, the Mutual Aid and Assistance agreement could require participating utilities to develop operational and planning procedures. The main objective is to have a well-developed system for Mutual Aid and Assistance whether through establishment of a committee system or a less formal approach. The more organized the utilities are, the less apt emergency response agencies are to step in.

ARTICLE IV. PROCEDURES

In coordination with the Regional Committees, emergency management, and the public health system of the state, the Statewide Committee shall develop operational and planning procedures for the Mutual Aid and Assistance Program. These procedures shall be updated at least annually.

Note on Article IV

Article IV recognizes that an agreement by itself may be insufficient to cover the range of issues that arise in Mutual Aid and Assistance Programs. To have an efficient Program, participating utilities may need to supplement the Mutual Aid and Assistance agreement with a Program guidance document that includes detailed operational and planning procedures. This is the approach taken by the Washington Mutual Aid and Assistance Program. That Program has a Mutual Aid and Assistance agreement that sets forth general procedures and standards. To supplement the agreement, participating utilities developed a Mutual Aid and Assistance Program Manual and a Mutual Aid and Assistance Handbook.

ARTICLE V. REQUESTS FOR ASSISTANCE

Member Responsibility: Members shall identify an Authorized Official and alternates; provide contact information including 24-hour access; and maintain resource information made available by the utility for mutual aid and assistance response.

In the event of an Emergency, a Member's Authorized Official may request mutual aid and assistance from a participating Member. Requests for assistance can be made orally or in writing. When made orally, the request for personnel, equipment, and supplies shall be prepared in writing as soon as practicable. Requests for assistance shall be directed to the Authorized Official of the participating Member. Specific protocols for requesting aid shall be provided in the required procedures (Article IV).

Response to a Request for Assistance: After a Member receives a request for assistance, the Authorized Official evaluates whether resources are available to respond to the request for assistance. Following the evaluation, the Authorized Representative shall inform, as soon as possible, the Requesting Member whether it has the resources to respond. If the Member is willing and able to provide assistance, the Member shall inform the Requesting Member about the type of available resources and the approximate arrival time of such assistance.

Discretion of Responding Member's Authorized Official: Execution of this Agreement does not create any duty to respond to a request for assistance. When a Member receives a request for assistance, the Authorized Official shall have absolute discretion as to the availability of resources. An Authorized Member's decisions on the availability of resources shall be final.

Notes on Article V

1. The Model Agreement sets a low threshold for when Members can request mutual aid and assistance. Article V permits requests for mutual aid and assistance in the event of an "Emergency." An "Emergency" under Article II is defined as "an event that is, or is likely to be, beyond the control of the services, personnel, equipment, and facilities of a Mutual Aid and Assistance Program Member." This definition has two noteworthy characteristics. First, the use of the word "event," rather than "disaster," broadens the situations in which Members can request mutual aid and assistance. Second, an Emergency includes events that are "likely to be" beyond the control of the participating utility. By including the "is likely to be" language, participating utilities can request mutual aid and assistance before an event overwhelms their resources. This approach envisions situations where pre-event response would be necessary to protect human health and property. The Florida and Texas Agreements do not allow for pre-event assistance requests.

2. Article V permits oral and written requests for assistance; however, when made orally, the requesting member must put the request in writing as soon as practicable. This approach balances the need to make a quick and prompt request with the need for accuracy.

3. The Model Agreement does not provide specific details on the type of information that must be provided when a participating utility requests assistance. This can be provided in the protocols that support the agreement. This approach is in contrast to the Florida and Texas Agreements that do list the information that must be provided when a member makes a request for assistance. Those agreements also require a responding member to provide certain information to the requesting member. Again, the Model Agreement adopted a different approach. Article V only requires responding members to indicate what resources will be provided and when the resources will arrive at the requesting member's facility.

4. The Model Agreement provides participating utilities with absolute discretion when deciding whether to respond to a request for assistance. This is consistent with all four existing water and wastewater Mutual Aid and Assistance agreements.

ARTICLE VI.

RESPONDING MEMBER PERSONNEL

National Incident Management System: When providing assistance under this Agreement, the Requesting Utility and Responding Utility shall be organized and shall function under the National Incident Management System.

Control: Responding Member personnel shall remain under the direction and control of the Responding Member. The Requesting Member's Authorized Official shall coordinate response activities with the designated supervisor(s) of the Responding Member(s). Whenever practical, Responding Member personnel must be self sufficient for up to 72 hours.

Food and Shelter: The Requesting Member shall supply reasonable food and shelter for Responding Member personnel. If the Requesting Member fails to provide food and shelter for Responding personnel, the Responding Member's designated supervisor is authorized to secure the resources necessary to meet the needs of its personnel. The cost for such resources must not exceed the State per diem rates for that area. The Requesting Member remains responsible for reimbursing the Responding Member for all costs associated with providing food and shelter, if such resources are not provided.

Communication: The Requesting Member shall provide Responding Member personnel with radio equipment as available, or radio frequency information to program existing radio, in order to facilitate communications with local responders and utility personnel.

Status: Unless otherwise provided by law, the Responding Member's officers and employees retain the same privileges, immunities, rights, duties, and benefits as provided in their respective jurisdictions.

Licenses and Permits: To the extent permitted by law, Responding Member personnel who hold licenses, certificates, or permits evidencing professional, mechanical, or other skills shall be allowed to carry out activities and tasks relevant and related to their respective credentials during the specified Period of Assistance.

Right to Withdraw: The Responding Member’s Authorized Official retains the right to withdraw some or all of its resources at any time. Notice of intention to withdraw must be communicated to the Requesting Member’s Authorized Official as soon as possible.

Notes on Article VI

1. The National Incident Management System (NIMS) provides a consistent nationwide approach that allows federal, state, local, and tribal governments as well as private sector and nongovernmental organizations to work together to manage incidents and disasters of all kinds. To be eligible for federal emergency management assistance, water and wastewater mutual aid and assistance programs must meet NIMS standards for emergency preparedness and response.

2. The Model Agreement promotes “home” supervisory control over personnel. This approach recognizes that personnel will likely work better with their regular supervisors. To ensure an efficient response, Article VI requires responding member supervisors to coordinate with the requesting member’s authorized official.

3. Article VI requires the requesting member to supply food and shelter to responding member personnel. This may be too onerous given that the requesting member will be faced with an emergency when it makes a request for Mutual Aid and Assistance. Accordingly, Article VI permits the requesting member to reimburse the responding member for food and shelter costs rather than securing such provisions.

4. Article VI includes a provision that allows the responding member to withdraw some or all of its resources at any time. This approach limits the commitment of the responding member. If a situation arose in the responding member’s facility, resources could be withdrawn as appropriate. The Model Agreement promotes assistance because participating utilities would be less likely to withhold resources out of concern that they could not respond to needs at their own facilities.

5. Licensing and permitting authority will most likely not be an issue for intrastate mutual aid. However, this Agreement is drafted to permit assistance under the Interstate Emergency Management Assistance Compact and an Interstate Mutual Aid and Assistance Program for water and wastewater utilities, if such a program were established (see Article XIX). Because state-issued licensing and permitting credentials vary, it is important to clarify what actions and tasks responding member personnel can take when participating in interstate mutual aid and assistance. The licensing and permitting provision allows the maximum utilization of the professional skills held by responding member personnel. However, it does provide responding member personnel with authority to conduct activities or tasks that may only be completed by those holding locally issued professional credentials.

ARTICLE VII. COST REIMBURSEMENT

Unless otherwise mutually agreed in whole or in part, the Requesting Member shall reimburse the Responding Member for each of the following categories of costs incurred while providing aid and assistance during the specified Period of Assistance.

Personnel: Responding Member personnel are to be paid for work completed during a specified Period of Assistance according to the terms provided in their employment contracts or other conditions of employment. The Responding Member designated supervisor(s) must keep accurate records of work performed by personnel during the specified Period of Assistance. Requesting Member reimbursement to the Responding Member must consider all personnel costs, including salaries or hourly wages, costs for fringe benefits, and indirect costs.

Equipment: The Requesting Member shall reimburse the Responding Member for the use of equipment during a specified Period of Assistance. As a minimum, rates for equipment use must be based on the Federal Emergency Management Agency's (FEMA) Schedule of Equipment Rates. If a Responding Member uses rates different from those in the FEMA Schedule of Equipment Rates, the Responding Member must provide such rates in writing to the Requesting Member prior to supplying resources. Mutual agreement on which rates are used must be reached in writing prior to dispatch of the equipment. Reimbursement for equipment not referenced on the FEMA Schedule of Equipment Rates must be developed based on actual recovery of costs.

Materials and Supplies: The Requesting Member must reimburse the Responding Member in kind or at actual replacement cost, plus handling charges, for use of expendable or non-returnable supplies. The Responding Member must not charge direct fees or rental charges to the Requesting Member for other supplies and reusable items that are returned to the Responding Member in a clean, damage-free condition. Reusable supplies that are returned to the Responding Member with damage must be treated as expendable supplies for purposes of cost reimbursement.

Payment Period: The Responding Member must provide an itemized bill to the Requesting Member for all expenses it incurred as a result of providing assistance under this Agreement. The Requesting Member must send the itemized bill not later than ninety (90) days following the end of the Period of Assistance. The Requesting Member must pay the bill in full on or before the forty-fifth (45th) day following the billing date. Unpaid bills become delinquent upon the forty-sixth (46th) day following the billing date, and, once delinquent, the bill accrues interest at the rate of prime, as reported by the Wall Street Journal, plus two percent (2%) per annum.

Notes on Article VII

1. Mutual Aid programs established in the 1950s did not have cost reimbursement procedures. Rather, program members would provide assistance at no charge, with the understanding that assistance would be provided to them when they were in need. For those utilities that wish to abide by that principle, the initial statement of Article VII allows the requesting and responding member to determine which resources could be exchanged without cost. Because public resources cannot normally be provided to private organizations, this process is appropriate only when the assistance is exchanged between private utilities.
2. For those utilities that seek reimbursement for services, Article VII reflects the cost reimbursement procedures set forth in the four existing water and wastewater agreements for Mutual Aid and Assistance. To qualify for FEMA cost reimbursement, this Article must be included in a mutual aid agreement.
3. In general, private organizations cannot receive public funds. This rule prevents gifts of private funds to private organizations. However, public funds can be used to reimburse private organizations for costs incurred as a result of providing assistance to a public entity as long as the costs are identified. Accordingly, Article VII requires an itemized bill for all expenses incurred during a Period of Assistance.
4. The Model Agreement suggests that procedures include a penalty provision for unpaid bills. Providing a penalty provision will promote timely reimbursement to the requesting member.

ARTICLE VIII. DISPUTES

Any controversy or claim arising out of, or relating to, this Agreement, including, but not limited to, alleged breach of the Agreement, shall be settled by arbitration in accordance with the Rules of the American Arbitration Association. Any court of competent jurisdiction may enter the judgment rendered by the arbitrators as final judgment that is binding on the parties.

Note on Article VIII

Article VIII sets forth a two-tiered process for handling disputes. First, members must try negotiation. If unsuccessful, then the matter must be resolved through arbitration. Arbitration is much faster and less expensive than traditional civil litigation. The Rules of the American Arbitration Association are widely recognized and often cited in arbitration clauses. However, a dispute resolution provision could include specific procedures for arbitration rather than require use of procedures developed by the American Arbitration Association. The Florida and Texas Agreements take this approach.

ARTICLE IX. REQUESTING MEMBER'S DUTY TO INDEMNIFY

The Requesting Member shall assume the defense of, fully indemnify and hold harmless, the Responding Member, its officers and employees, from all claims, loss, damage, injury, and liability of every kind, nature, and description, directly or indirectly arising from Responding Member's work during a specified Period of Assistance. The scope of the Requesting Member's duty to indemnify includes, but is not limited to, suits arising from, or related to, negligent or wrongful use of equipment or supplies on loan to the Requesting Member, or faulty workmanship or other negligent acts, errors, or omissions by Requesting Member or the Responding Member personnel.

The Requesting Member's duty to indemnify is subject to, and shall be applied consistent with, the conditions set forth in Article X.

Notes on Article IX

1. Article IX sets forth a comprehensive indemnity provision. The provision requires the requesting member to indemnify responding members and their officers and employees. This requirement protects responding members from the costs associated with civil suits that arise from, or are related to, providing Mutual Aid and Assistance. The Model Agreement allows an indemnity provision that would encourage participating utilities to provide assistance in the event of an emergency.

2. However, it is important to recognize that Article IX places an added burden on members that request assistance. The duty to indemnify, along with other requesting member obligations set forth in the Model Agreement, may deter participating utilities from utilizing the Mutual Aid and Assistance Program. An alternative approach is provided in the Florida and Texas Agreements. Those agreements require each member to bear the risks associated with participating in the Mutual Aid and Assistance Program. This includes the risk of facing civil liability that arises from, or is related to, providing Mutual Aid and Assistance. This approach reduces the burdens on members that request assistance under the Mutual Aid and Assistance Program.

ARTICLE X.
SIGNATORY INDEMNIFICATION

In the event of a liability, claim, demand, action, or proceeding of whatever kind or nature arising out of a specified Period of Assistance, the Members who receive and provide assistance shall indemnify and hold harmless those Members whose involvement in the transaction or occurrence that is the subject of such claim, action, demand, or other proceeding is limited to execution of this Agreement.

Note on Article X

A lawsuit or similar action that arises from or is related to a Mutual Aid and Assistance response may name all participating utilities as defendants regardless of their involvement in the transaction or occurrence that gave rise to the suit. Article X protects non-responding members from costs associated with lawsuits or similar actions. This protection would encourage participation in the Mutual Aid and Assistance Program. Water and wastewater utilities would not incur additional liability by participating in the Mutual Aid and Assistance Program.

ARTICLE XI.
WORKER'S COMPENSATION CLAIMS

The Responding Member is responsible for providing worker's compensation benefits and administering worker's compensation. The Requesting Member shall reimburse the Responding Member for all costs, benefits, and expenses associated with worker's compensation and other claims that arise from or are related to providing assistance under this Agreement. Reimbursement shall be made on a quarterly basis, or on other terms mutually agreed upon by the Requesting Member and Responding Member.

Note on Article XI

Responding member personnel will effectively be working for the requesting member during a period of assistance. Accordingly, Article XI provides that the requesting member is responsible for worker's compensation claims filed by responding member personnel if such claims arise from or are related to providing assistance to the requesting member under the Mutual Aid and Assistance Program.

ARTICLE XII.
NOTICE

A Member who becomes aware of a claim or suit that in any way, directly or indirectly, contingently or otherwise, affects or might affect other Members of this Agreement shall provide prompt and timely notice to the Members who may be affected by the suit or claim. Each Member reserves the right to participate in the defense of such claims or suits as necessary to protect its own interests.

Note on Article XII

Article XII recognizes that Members of the Agreement need to know about claims or suits that affect, or might affect, them. The Article also preserves the right of a Member to defend itself in any claim or suit that affects its interests.

ARTICLE XIII. **INSURANCE**

Members of this Agreement shall maintain an insurance policy that covers activities that it may undertake by virtue of membership in the Mutual Aid and Assistance Program. The scope of the policy must include, at a minimum, coverage for employee faulty workmanship and other negligent acts, errors, or omissions and coverage for meeting the indemnity conditions provided in Articles IX and X.

Notes on Article XIII

1. Article XIII requires members to carry insurance to protect against risks associated with participation in the Mutual Aid and Assistance Program. This provision provides a secure means of covering risks associated with participation in the Mutual Aid and Assistance Program.
2. A requirement to carry insurance could be alternative to the indemnity provisions provided in Articles IX and X. That is, rather than place the burden on the requesting member to indemnify the responding member, the mutual aid and assistance agreement could provide that all members bear the risks of their own actions. The Florida and Texas Agreements take this approach; however, these agreements do not require participating utilities to obtain insurance.

ARTICLE XIV. **EFFECTIVE DATE**

This Agreement shall be effective after the Water and Wastewater Utility's authorized representative executes the Agreement and the applicable Regional Committee Chair receives the Agreement. The Regional Committee Chair shall maintain a list of all Members in the respective region. The Statewide Committee Chair shall maintain a master list of all members of the Mutual Aid and Assistance Program.

Note on Article XIV

Article XIV provides a standard approach on the process for participation in the Mutual Aid and Assistance Program. In contrast, the Washington Agreement requires a utility to adopt or authorize the program agreement by resolution. The utility must then execute the agreement and send it to the Washington Association of Sewer and Water Districts.

ARTICLE XV. **WITHDRAWAL**

A Member may withdraw from this Agreement by providing written notice of its intent to withdraw to the applicable Regional Committee Chair and the Statewide Chair. Withdrawal takes effect 60 days after the appropriate officials receive notice.

Note on Article XV

Article XV recognizes that a Member may decide to withdraw from a Mutual Aid and Assistance Program.

ARTICLE XVI. **MODIFICATION**

No provision of this Agreement may be modified, altered, or rescinded by individual parties to the Agreement. Modifications to this Agreement may be due to programmatic operational changes to support the agreement. Modifications require a simple majority vote of Members within each region and a unanimous agreement between the regions. The Statewide Committee Chair must provide written notice to all Members of approved modifications to this Agreement. Approved modifications take effect 60 days after the date upon which notice is sent to the Members.

Note on Article XVI

Article XVI recognizes that members may want to modify the Program agreement. There may also be circumstances that require modification of the Program agreement. For example, creation of an interstate water and wastewater utility Mutual Aid and Assistance Program may require agreement modifications.

ARTICLE XVII. **PRIOR AGREEMENTS**

This Agreement supersedes all prior Agreements between Members to the extent that such prior Agreements are inconsistent with this Agreement.

Note on Article XVII

Members of the Mutual Aid and Assistance Program may already have assistance agreements in place with utilities. Article XVII ensures that existing assistance agreements do not interfere with the operation of the intrastate Mutual Aid and Assistance Program.

ARTICLE XVIII. **PROHIBITION ON THIRD PARTIES AND ASSIGNMENT OF RIGHTS/DUTIES**

This Agreement is for the sole benefit of the Members and no person or entity must have any rights under this Agreement as a third-party beneficiary. Assignments of benefits and delegations of duties created by this Agreement are prohibited and must be without effect.

Note on Article XVIII

Article XVIII covers issues of contract law that may interfere with the operation of the Mutual Aid and Assistance Program. The prohibition on third-party beneficiaries limits all rights and benefits under the agreement to participating utilities. Thus, a local government could not assert rights under this agreement as a third-party beneficiary. Article XVIII also prohibits the assignment of benefits created by the agreement to third parties. In other words, a participating utility could not assign its ability to request mutual aid and assistance to a non-participating utility. Prohibiting the delegation of duties ensures that only the participating utilities are involved in the Mutual Aid and Assistance Program.

ARTICLE XIX.
INTRASTATE AND INTERSTATE MUTUAL AID AND ASSISTANCE PROGRAMS

To the extent practicable, Members of this Agreement shall participate in Mutual Aid and Assistance activities conducted under the State of XXX Intrastate Mutual Aid and Assistance Program and the Interstate Emergency Management Assistance Compact (EMAC). Members may voluntarily agree to participate in an interstate Mutual Aid and Assistance Program for water and wastewater utilities through this Agreement if such a Program were established.

Note on Article XIX

At least 13 states have an overarching statewide mutual aid program. Article XIX requires coordination with the statewide mutual aid program, if one exists. Additionally, Article XIX permits participation in an interstate water and wastewater mutual aid program if one were established.

Now, therefore, in consideration of the covenants and obligations set forth in this Agreement, the Water and Wastewater Utility listed here manifests its intent to be a Member of the Intrastate Mutual Aid and Assistance Program for Water and Wastewater Utilities by executing this Agreement on this _____ day of _____ 2006.

Water/Wastewater Utility: _____

By: _____
Title: _____

By: _____
Title: _____

Please Print Name

Please Print Name

Appendix 4

National Incident Management System Mutual Aid Agreement Requirements

No.	NIMS Requirements	Model Agreement 7 pages w/o notes	CalWARN 4 pages www.calwarn.org	FlaWARN 6 pages www.flawarn.org	TxWARN 5 pages www.txwarn.org	WA 2 pages
1	Provide definitions of key terms used in the agreement	Article II defines 8 key terms that are used in the agreement	Article III defines emergency; definitions are found throughout	Article II defines 8 terms	Article IV defines 9 terms, including use of NIMS	Article II defines an emergency
2	Specify roles and responsibilities of individual parties	Article II defines member role; Article III outlines committee responsibilities; Article V defines requester role; Article VI defines resource control	Article II defines committee role; Articles VI, VII, and VIII define lender and borrower roles	Article III defines the role and responsibility of damaged utility and assisting utility	Article III defines member role; Article V defines damaged utility and assisting utility role and use of NIMS	Does not address
3	Procedures for requesting and providing assistance	Article V provides for this	Article IV defines the procedure	Article III defines the procedure	Article V defines the procedure	Article I addresses this
4	Procedures, authorities, and rules for payment; reimbursement and allocation of costs	Article VII defines this	Articles VI, VII, VIII, and IX define the procedures	Article IV defines the procedures	Article VI defines the procedure	Article VIII addresses this
5	Notification procedures	Article V defines this	Article IV defines the procedure	Article III defines the procedure	Article V defines the procedure	Does not address
6	Protocols for interoperable communications	Articles III and VI address personnel reporting relationship; Article VI addresses technology	Article IV addresses contacting coordination groups; technical issues are not addressed	Article III describes what to communicate; technical issues are not addressed	Article V describes what to communicate; technical issues are not addressed	Does not address
7	Relationships with other agreements among jurisdictions	Article XVII covers existing agreements for mutual aid	Article XVI recognizes other agreements; Article IV defines coordination with other organizations	Does not address; this is only an agreement; participants do not have to sign it	Does not address; allows modification of agreement through Article VIII	Does not address
8	Workers' compensation	Article XI covers the requirement	Article XII addresses this	Does not address	Does not address	Does not address
9	Treatment of liability and immunity	Articles IX and X provide for this	Article X addresses liability; Article XI addresses indemnification; no discussion on insurance	Article V addresses insurance; each utility bears own risk	Article VIII addresses insurance; each utility bears own risk	Article VI addresses indemnification; Article VII addresses insurance
10	Recognition of qualifications and certifications	Article VI provides for this	Does not address	Does not address	Does not address	Does not address
11	Sharing agreements, as required	Article II states all public or private utilities are included; Article XVIII does not allow third party	Article I includes all utilities; Article XIV does not allow transfer	Does not address	Does not address	Article XII does not allow third party

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Pertinent Non-NIMS Requirements						
No.	NIMS Requirements	Model Agreement	CalWARN	FlaWARN	TxWARN	WA
12	Provision of insurance	Article XIII provides for this	Does not address	Article V addresses this	Article VII addresses this	Article VII addresses this
13	Term of the agreement	Article XIV provides for this	Article XV provides for this	Does not address	Article IX addresses this	Article X addresses this
14	Arbitration	Article VIII provides for this	Article XVIII addresses this	Article VI addresses this	Article X addresses this	Does not address
15	Termination	Article XV provides for this	Article XIV addresses this	Does not address	Article X addresses this	Article XI addresses this
16	Coordination link with jurisdictions	Article IV addresses development of procedures that would include linkage to response system	Article IV addresses this	Does not address	Does not address	Does not address
17	Administration or governance	Article III addresses this	Article II addresses this	Does not address	Does not address	Does not address
18	Use of NIMS	Articles II and VI address this	Articles II and VI address this	Does not address	Article V addresses this	Does not address
19	Duty to respond to request	Article V addresses this	Article V addresses this	Article III addresses this	Article V addresses this	Article III addresses this
20	Control of resources	Article VI addresses this	Article VIII addresses this—under control of requester	Article III addresses under responder control	Article V addresses this—under responder control	Article IV addresses this—under responder control
21	Allowance and process for agreement modifications	Article XVI addresses this	Article XIII addresses this	Does not address	Does not address	Does not address

Appendix 5 Sample Water/Wastewater Agency Response Network (WARN) Information Flyer

MISSION

The mission of a WARN network is to support and promote statewide emergency preparedness, disaster response, and mutual assistance matters for public and private water and wastewater utilities for natural and human caused events.

PURPOSE

The WARN network provides water and wastewater utilities with:

- A mutual assistance agreement and process for sharing emergency resources among water and wastewater agencies statewide.
- A mutual assistance program consistent with other statewide mutual aid and assistance programs and the National Incident Management System.
- The resources to respond and recover more quickly from a natural or human caused disaster.
- A forum for developing and maintaining emergency contacts and relationships.

PARTICIPATION

The WARN Omnibus Mutual Assistance Agreement is available to all public and private water and wastewater utilities in the state.

AGREEMENT

All actions, recommendations, etc. are made in accordance with the articles of the WARN Mutual Aid and Assistance Agreement.



WHAT IS A WARN?

A Water Agency Response Network (WARN) is a network of utilities helping utilities to:

- Prepare for the next natural or human caused emergency
- Organize response according to established requirements
- Share personnel and other resources statewide by agreement

Past disaster response and lessons learned tell us that:

- Utility operations are specialized
- Utilities must be self-sufficient and fill the gap between disaster onset and arrival of other government aid
- Customers can live with power and phone interruptions, not without water
- Water restoration provides hope

WHAT CAN A WARN DO FOR YOU?

In order to be eligible for federal grants and reimbursements before, during and after an emergency, by the end of Fiscal Year 2006, all local, state and tribal governments, associations and non-governmental and private organizations are to:

- Adopt the National Incident Management System (NIMS)
- Support the development of interstate mutual aid programs
- Integrate response at the field, local and state levels of government

A WARN program will help facilitate meeting these requirements.

Water/Wastewater

Agency

Response

Network

Utilities Helping Utilities

WHAT'S INVOLVED?

The seven steps to a successful WARN program include:

1. Identify your WARN program purpose
2. Identify your WARN membership
 - General Membership
 - Steering Committee
3. Identify pre-event support needs
4. Develop response protocols
 - Define how to activate and use the WARN system
5. Create a mutual aid and assistance agreement
 - Draft sample is available
6. Develop facilitation tools
7. Program maintenance

SUPPORT

To support the effort to create WARN programs in your state, eight national associations met and agreed to support a WARN program in every state in the nation. The Joint Policy Statement of Mutual Aid and Assistance Networks included:

- National Rural Water Association
- American Water Works Association
- Association of Metropolitan Water Agencies
- Water Environmental Federation
- National Association of Clean Water Agencies
- Association of State Drinking Water Authorities
- Association of State and Interstate Water Pollution Control Administrators
- National Association of Water Companies

WARN BENEFITS

- No Cost to participate.
- Increased planning and coordination
- Enhances access to specialized resources
- A single agreement provides access to all member utilities statewide.
- Provides insurance for access to resources during an emergency without pre-contractual limitations or retainer fees.
- Expedites arrival of aid
- Signators have a pre-established relationship under which they are able to share resources during an emergency at the discretion of each participating agency.
- Is consistent with National Incident Management System (NIMS).
- Provides a list of emergency contacts and phone numbers.
- Reduces administrative conflict
- Agreement contains indemnification and workers' compensation provisions to protect participating utilities, and provides for reimbursement of costs, as needed.
- Avoid federal bureaucracy
- Increases hope that recovery comes quickly

WHO DO YOU INVOLVE?

- Utility Owner/Operators
- Professional Association Representation (AWWA, NRWA, WEF, Sanitation Association, etc)
- State Water and Wastewater Primacy Agency (State Health, Environmental Protection, etc.)
- State Emergency Management and/or Homeland Security Agency
- US EPA Region representation

Appendix 6

Existing Water and Wastewater Agency Response Network Contacts

The following contacts are provided to allow potential intrastate mutual aid and assistance program leaders to contact others involved with the development of the current and successful Water/Wastewater Agency Response Networks (WARN) across the nation.

The contacts are listed alphabetically by network affiliation based on those networks in place before March 2006.

California Water/Wastewater Agency Response Network (CalWARN)

Martin Falarski, Chair
Construction Manager
East Bay Municipal Utility District
375 Eleventh Street
Oakland, CA 94583
falarski@ebmud.com
510.287.1233

Raymond Riordan, State Committee Member
Certified Emergency Manager
California Utilities Emergency Association
2662 Marsh Drive
San Ramon, CA 94583
rayriordan@comcast.net
925.830.9180

Florida Water/Wastewater Agency Response Network (FlaWARN)

Don Broussard, Co-Chair
Water Operations Manager
Lafayette Utility Systems
P.O. Box 4017-C
Lafayette, LA 70502
aitch2oh@lus.org
337.291.5901

Patrick Credeur, Co-Chair
Executive Director
Louisiana Rural Water Association
P.O. Box 180
Kinder, LA 70648
pclrwa@centurytel.net
800.256.2591

Texas Water/Wastewater Agency Response Network (TxWARN)

Mike Howe, State Committee Member
Texas AWWA, Executive Director
P.O. Box 80150
Austin, TX 78708
mikehowe@tawwa.org
512.238.9292

Washington Association of Sewer & Water Districts

Hal Schlomann, Executive Director
2800 South 192nd Street, Suite 104
SeaTac, WA 98188-5164
halschlomann@waswd.org
206-246-1299

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Headquarters Office

6666 West Quincy Avenue
Denver, CO 80235
PH 303.794.7711
FX: 303.794.1140
<http://www.awwa.org>

Government Affairs Office

1401 New York Avenue, NW, Suite 640
Washington, DC 20005
PH: 202.628.8303
FX: 202.628.2846



APPENDIX H

Checklist for Airports Requesting Aid (per Time Phase)

Checklist for Airports Requesting Aid (Per Time Phase)

Action	Responsibility	Done
Preparedness Activities		
Be aware of available assistance	Airport senior management	<input type="checkbox"/>
Participate in airport-to-airport mutual aid programs (optional)	Airport senior management	<input type="checkbox"/>
Build relationships with the local emergency operations center (EOC)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Designate mutual aid coordinator or focal point	Airport director	<input type="checkbox"/>
Document airport facilities and systems as built	Airport senior management and consulting engineers and architects	<input type="checkbox"/>
Document disaster access points	Airport security	<input type="checkbox"/>
Create a catalog of specific equipment used at the airport	Operations, maintenance, and facilities	<input type="checkbox"/>
Incorporate an airport-to-airport mutual aid program in the airport emergency plan (AEP)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Establish security access procedures for incoming aid team	Airport security manager and federal security director (FSD)	<input type="checkbox"/>
Drill and exercise airport-to-airport mutual aid procedures	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Obtain approval of participation in an airport-to-airport mutual aid organization (optional)	Airport counsel and owner’s counsel	<input type="checkbox"/>
Create delegation of authority letters (optional)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Create reimbursement contracts (optional)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>

H-2 Airport-to-Airport Mutual Aid Programs

Pre-Disaster		
Track incident forecasts	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Review contact lists	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Action	Responsibility	Done
Review procedures for requesting aid	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Make preliminary contact with airport-to-airport mutual aid program coordinator (optional)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Post-Disaster		
Evaluate needs	Airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Develop specific aid request, or as specific as circumstances allow	Airport mutual aid coordinator	<input type="checkbox"/>
Request aid to the airport-to-airport mutual aid program	Airport mutual aid coordinator, confirmed by the airport director if locally required	<input type="checkbox"/>
Update the status of the airport and systems	Airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Update aid requests	Airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Conduct an after-action review	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Develop and apply lessons learned	Senior management	<input type="checkbox"/>



APPENDIX I

Checklist for Airports Volunteering Aid (per Time Phase)

Checklist for Airports Volunteering Aid (Per Time Phase)

Action	Responsibility	Done
Preparedness Activities		
Get clear authorization from airport director or his or her designee	Airport director or designee	<input type="checkbox"/>
Assure that all members of aid teams are volunteers	Airport director and airport senior management	<input type="checkbox"/>
Be aware of available assistance	Airport senior management	<input type="checkbox"/>
Participate in airport-to-airport mutual aid programs (optional)	Airport senior management	<input type="checkbox"/>
Build relationships with the local emergency operations center (EOC)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Designate mutual aid coordinator or focal point	Airport director	<input type="checkbox"/>
Create a catalog of specific equipment used at the airport	Operations, maintenance, and facilities	<input type="checkbox"/>
Incorporate an airport-to-airport mutual aid program in the airport emergency plan (AEP)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Establish security access documentation procedures for outgoing aid team	Airport security manager and federal security director (FSD)	<input type="checkbox"/>
Drill and exercise airport-to-airport mutual aid procedures	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Verify/resolve liability questions for particular type and location of disaster	Airport counsel and owner's counsel	<input type="checkbox"/>
Obtain approval of participation in an airport-to-airport mutual aid organization (optional)	Airport counsel and owner's counsel	<input type="checkbox"/>
Create delegation of authority letters (optional)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>

I-2 Airport-to-Airport Mutual Aid Programs

Action	Responsibility	Done
Create reimbursement contracts (where reimbursement not covered by interstate or intrastate compacts or laws)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Identify aid teams—leaders, members, skills, training and equipment (optional but recommended)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Train aid teams	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Establish communications protocols to be used by a deployed team and provide team with appropriate equipment	Emergency managers, communications manager, or IT manager	<input type="checkbox"/>
Pre-Disaster		
Track incident forecasts	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Review contact lists	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Review procedures for volunteering aid	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Make preliminary contact with airport-to-airport mutual aid program coordinator (optional)	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Establish accounting procedures for expenditures and equipment including documentation system	Airport mutual aid coordinator, aid team leader, and airport accounting department	<input type="checkbox"/>
During Disaster Response		
DO NOT SELF-DEPLOY! Wait for instructions to deploy from the MAP coordinator	Airport director and MAP coordinator	<input type="checkbox"/>
Assure that deployment does not impact operational effectiveness of volunteering airport	Airport director, senior airport management, airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
If an interstate response, obtain a FEMA/EMAC mission number through the local emergency management agency and state emergency management agency.	Airport mutual aid coordinator	<input type="checkbox"/>

Action	Responsibility	Done
Evaluate capabilities against needs being communicated by MAP coordinator	Airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Assure that team members have appropriate qualifications and training for duties expected at the impacted airport	Airport mutual aid coordinator, airport emergency management, public safety, operations, or maintenance staff, as appropriate	<input type="checkbox"/>
Assure that team members are prepared to function in a NIMS/ICS environment during response	Airport director, senior airport management, airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Make sure aid team has any specialized repair or replacement equipment that has been requested	Airport mutual aid coordinator, team leader	<input type="checkbox"/>
Develop specific aid offer, or as specific as circumstances allow	Airport mutual aid coordinator	<input type="checkbox"/>
Submit aid offer to MAP coordinator. See Appendix A of this Guidebook for 2011-2013 contact points of existing MAPs. Use the Form to Volunteer Assistance shown in Appendix M.	Airport mutual aid coordinator, confirmed by the airport director if locally required	<input type="checkbox"/>
Update the status of the impacted airport and systems	Airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Track aid requests	Airport mutual aid coordinator, airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Conduct an after-action review upon return of airport's team	Airport emergency management, public safety, or operations staff, as appropriate	<input type="checkbox"/>
Develop and apply lessons learned	Senior management	<input type="checkbox"/>
Post-Disaster		
Participate in MAP after-action review	Airport staff as directed by airport director	<input type="checkbox"/>
Assist in development of MAP lessons learned	Airport staff as directed by airport director	<input type="checkbox"/>
Complete reimbursement process	Airport mutual aid coordinator, finance director, accounting department	<input type="checkbox"/>



APPENDIX J

Security Access Procedures

The procedures for allowing access by airport-to-airport mutual aid program aid team members into secure areas of the receiving airport must satisfy all TSA requirements and the airport security program of the receiving airport. In the interviews for this project, the following methods were found:

Approach	Credentials Basis	Time Delay
Use national biometric identity information sharing system	Not legal at present time	Not applicable
Full Security Identification Display Area (SIDA) vetting process	Standard background check by receiving airport, approval by receiving FSD	Normally 4 days
Rapid response alternative for vetting written into airport security program	Verification documentation from sending airport, approval by receiving FSD, confirmation by sending FSD.	1–4 days
Coordinate with TSA for <u>temporary amendment to airport security program</u> to allow other airport’s credential to give access to specified areas.	Use copy of badge. Approval of receiving FSD, confirmation by sending FSD.	Less than 1 day
Accept sending airport credentials	Verification documentation from sending airport, approval by receiving FSD, confirmation by sending FSD	Less than 1 day
Accept telephonic/fax of badge verification from sending airport for 72–96 hours interim access to give long enough for normal process	Verification documentation from sending airport, approval by receiving FSD, confirmation by sending FSD	Less than 1 day
Honor sending airport badge, add unique local sticker	Sending airport’s badge	None
Escorts and temporary badges	Not applicable	None
Joint local-outside teams (actually special case of escorts)	Not applicable	None
No credentials needed if airport closed and security area not secure	Not applicable	None



APPENDIX K

Model Delegation Letter

AIRPORT-TO-AIRPORT MUTUAL AID PROGRAM ADVANCE LETTER OF DELEGATION

FROM: _____
 Name Title Airport

TO: _____
 Name Title Airport

SUBJECT: TEMPORARY DELEGATION OF AUTHORITY

Subject to satisfying all Part 139 and Part 1542 requirements and certification by your home airport of your qualifications, you are hereby authorized to perform the following duties at _____ Airport:

for the period of _____ to _____.

Signed: _____ Date: _____

ACCEPTED

Signed: _____ Date: _____



APPENDIX L

Assistance Request Form

[Name of Airport-to-Airport Mutual Aid Program]

Request for Assistance

Date: _____

Local time: _____ Zulu time: _____

Requesting airport name: _____

Three-letter airport identifier: _____

Name and title of airport representative requesting assistance:

Best available way to contact you?

Cell number: _____

Satellite phone number: _____

Emergency operations center (EOC) primary number: _____

EOC secondary number: _____

Office number: _____

Alternate airport representative name: _____

Cell number: _____

EOC primary number: _____

EOC secondary number: _____

Office number: _____

Brief description of emergency (e.g., facility damage, injuries, and effect on commercial air service):

Adapted from WESTDOG. (2007, November). *WESTDOG Mutual Aid Plan: "Airports Helping Airports."*



APPENDIX M

Form to Volunteer Assistance

[Name of Airport-to-Airport Mutual Aid Program]

Assistance Volunteered

Date: _____

Local time: _____ Zulu time: _____

Volunteering airport name: _____

Three-letter airport identifier: _____

Name and title of airport representative volunteering assistance:

Best available way to contact you?

Cell number: _____

Satellite phone number: _____

Emergency operations center (EOC) primary number: _____

EOC secondary number: _____

Office number: _____

Alternate airport representative name: _____

Cell number: _____

EOC primary number: _____

EOC secondary number: _____

Office number: _____

Brief description of aid being offered:

Need in request	Aid offered - Personnel	Aid offered - equipment or parts	Earliest time available



A P P E N D I X N

Airport-to-Airport Mutual Aid Program Situation Report

[Name of Airport-to-Airport Mutual Aid Program]

SITUATION REPORT (SITREP)

Activation date: _____ Day: _____

Date of this report: _____

Report number: _____

Universal time (UTC) and local time of this report: _____/_____

Issuing party (lead airport name, number, and e-mail):

Impacted airport(s) current operational status:

Mutual aid resource deployment update:

Additional pertinent information:

Next conference call (UTC time, phone number, and PIN):

E-mail distribution:

All program affiliates

Impacted airport(s)

Deputy lead airport

Unified command entities (e.g., local, state, and federal). Specify:

Other parties (specify):

Adapted from WESTDOG. (2007, November). *WESTDOG Mutual Aid Plan: "Airports Helping Airports."*

Glossary of Acronyms

AAAE	American Association of Airport Executives
AAR	After-Action Report
ABQ	Albuquerque International Sunport
AC	Advisory Circular
ACI	Airports Council International
ACI-NA	Airports Council International—North America
ACRP	Airport Cooperative Research Program
AEP	Airport Emergency Plan
AGS	Augusta Regional Airport
ALEAN	Airport Law Enforcement Agency Network
APA	Centennial Airport
APPA	American Public Power Association
APWA	American Public Works Association
ARFF	Aircraft Rescue and Fire Fighting
ASP	Airport Security Program
ATC	Air Traffic Control
ATL	Hartsfield-Jackson Atlanta International Airport
ATM	Automated Teller Machine
AWWA	American Water Works Association
BOS	Boston Logan International Airport
BPT	Jack Brooks Regional Airport
BQK	Brunswick Golden Isles Airport
CAOA	Colorado Airport Operators Association
CARST	Colorado Aviation Recovery Support Team
CBP	U.S. Customs and Border Protection
CDC	Centers for Disease Control and Prevention
CEO	Chief Executive Officer
CHS	Charleston International Airport
COB	Continuity of Business
COOP	Continuity of Operations
COS	Colorado Springs Airport
DCA	Ronald Reagan Washington National Airport
DFW	Dallas-Ft. Worth International Airport
DHS	U.S. Department of Homeland Security
DoD	U.S. Department of Defense

O-2 Airport-to-Airport Mutual Aid Programs

DOG	Disaster Operations Group
DTW	Detroit Metropolitan Wayne County Airport
EMAC	Emergency Management Assistance Compact
EOC	Emergency Operations Center
FAA	Federal Aviation Administration
FAT	Fresno Yosemite International Airport
FEMA	Federal Emergency Management Agency
FSD	Federal Security Director
GA	General Aviation
GPT	Gulfport-Biloxi International Airport
HOU	William P. Hobby Airport
HVAC	Heating, Ventilating, and Air Conditioning
IAD	Dulles International Airport
IAH	George Bush Intercontinental Airport
IAMU	Iowa Association of Municipal Utilities
ICS	Incident Command System
IT	Information Technology
JAX	Jacksonville International Airport
JFK	John F. Kennedy International Airport
KEC	Kansas Electric Cooperatives
LAS	McCarran International Airport
LCH	Lake Charles Regional Airport
MAP	Mutual Aid Program
MCI	Kansas City International Airport
MCO	Orlando International Airport
MEM	Memphis International Airport
MHT	Manchester-Boston Regional Airport
MIA	Miami International Airport
MLB	Melbourne International Airport
MOA	Memorandum of Agreement
MOB	Mobile Regional Airport
MOU	Memorandum of Understanding
MPUA	Missouri Public Utility Alliance
MSP	Minneapolis-St. Paul International Airport
MSY	Louis Armstrong New Orleans International Airport
NAS	National Airspace System
NEMA	National Emergency Management Association
NGO	Non-Governmental Organization
NHPW	New Hampshire Public Works
NHPWMAP	New Hampshire Public Works Mutual Aid Program
NIMS	National Incident Management System
NORTHCOM	U.S. Northern Command
NOTAM	Notice To Airmen
NPIAS	National Plan of Integrated Airport Systems
PBI	Palm Beach International Airport
PDX	Portland International Airport
PHL	Philadelphia International Airport
PHX	Phoenix Sky Harbor International Airport

PNS	Pensacola Regional Airport
POC	Point of Contact
RNO	Reno-Tahoe International Airport
SAN	San Diego International Airport
SAR	Search and Rescue
SAT	San Antonio International Airport
SAV	Savannah/Hilton Head International Airport
SEADOG	Southeast Airports Disaster Operations Group
SGF	Springfield-Branson National Airport
SITREP	Situation Report
SOP	Standard Operating Procedure
SUN	Friedman Memorial Airport
TSA	Transportation Security Administration
UASI	Urban Areas Security Initiative
USAR	Urban Search and Rescue
WESTDOG	Western Airports Disaster Operations Group
YYC	Calgary International Airport

Abbreviations and acronyms used without definitions in TRB publications:

AAAE	American Association of Airport Executives
AASHO	American Association of State Highway Officials
AASHTO	American Association of State Highway and Transportation Officials
ACI-NA	Airports Council International-North America
ACRP	Airport Cooperative Research Program
ADA	Americans with Disabilities Act
APTA	American Public Transportation Association
ASCE	American Society of Civil Engineers
ASME	American Society of Mechanical Engineers
ASTM	American Society for Testing and Materials
ATA	American Trucking Associations
CTAA	Community Transportation Association of America
CTBSSP	Commercial Truck and Bus Safety Synthesis Program
DHS	Department of Homeland Security
DOE	Department of Energy
EPA	Environmental Protection Agency
FAA	Federal Aviation Administration
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
HMCRP	Hazardous Materials Cooperative Research Program
IEEE	Institute of Electrical and Electronics Engineers
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
ITE	Institute of Transportation Engineers
NASA	National Aeronautics and Space Administration
NASAO	National Association of State Aviation Officials
NCFRP	National Cooperative Freight Research Program
NCHRP	National Cooperative Highway Research Program
NHTSA	National Highway Traffic Safety Administration
NTSB	National Transportation Safety Board
PHMSA	Pipeline and Hazardous Materials Safety Administration
RITA	Research and Innovative Technology Administration
SAE	Society of Automotive Engineers
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (2005)
TCRP	Transit Cooperative Research Program
TEA-21	Transportation Equity Act for the 21st Century (1998)
TRB	Transportation Research Board
TSA	Transportation Security Administration
U.S.DOT	United States Department of Transportation