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## Remarks and Instructions

The complete manual, revision packages, and individual chapters can be accessed at [www.wsdot.wa.gov/publications/manuals/m76-33.htm](http://www.wsdot.wa.gov/publications/manuals/m76-33.htm).

Please contact Joe Schmit at 360-705-7838 or [schmitj@wsdot.wa.gov](mailto:schmitj@wsdot.wa.gov) with comments, questions, or suggestions for improvement to the manual.

The *Disaster Plan M 54-11* has been renamed and is now *Emergency Operations Plan M 54-11*.

Please recycle your current copy of the *Disaster Plan M 54-11* and replaced it with the new *Emergency Operations Plan M 54-11*.

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Approved By

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**Washington State  
Department of Transportation**

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# **Emergency Operations Plan**

M 54-11.01

May 2011

**Maintenance**

Office of Emergency Management

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## ***Acronym List***

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CAD	Computer Aided Dispatch (WSP CAD)
CCTV	Closed Circuit Television
COP	Common Operating Picture
COOP	Continuity of Operations Plan
EMWG	Emergency Management Working Group
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EMD	Emergency Management Division
FEMA	Federal Emergency Management Agency
FHWA	Federal Highway Administration
HAR	Highway Advisory Radio
HQ	Headquarters
ICS	Incident Command System
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
PASP	Pre-Activity Safety Plan
PCMS	Portable Changeable Message Sign
PIO	Public Information Officer
REOC	Region Emergency Operations Center
SEOC	State Emergency Operations Center
TCP	Traffic Control Point
TMC	Traffic Management Center
TTX	Table Top Exercise
VMS	Variable Message Sign
WSDOT	Washington State Department of Transportation
WSF	Washington State Ferries
WSP	Washington State Patrol





**Assumptions** – Statements of conditions accepted as true and that have influence over the development of a system. In emergency management, assumptions provide context, requirements, and situational realities that must be addressed in system planning and development and/or system operations. When these assumptions are extended to specific operations, they may require re-validation for the specific incident.

**Attack** – A hostile action taken against the United States by foreign forces or terrorists, resulting in the destruction of or damage to military targets, injury or death to the civilian population, or damage to/ destruction of public and private property.

**Checklist** – Written (or computerized) enumeration of actions to be taken by an individual or organization meant to aid memory rather than provide detailed instruction.

**Contamination** – The undesirable deposition of chemical, biological, or radiological material on the surface of structures, areas, objects, or people.

**Dam** – A barrier built across a watercourse for the purpose of impounding, controlling, or diverting the flow of water.

**Damage Assessment** – The process used to appraise or determine the number of injuries and deaths, damage to public and private property, and status of key facilities and services (e.g., hospitals and other health care facilities, fire and police stations, communications networks, water and sanitation systems, utilities, and transportation networks) resulting from a man-made or natural disaster.

**Disaster** – An occurrence of a natural catastrophe, technological accident, or human-caused event that has resulted in severe property damage, deaths, and/or multiple injuries. As used in this guide, a “large-scale disaster” is one that exceeds the response capability of the local jurisdiction and requires state, and potentially Federal, involvement. As used in the Stafford Act, a “major disaster” is “any natural catastrophe 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 [the] Act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.” (Stafford Act, Sec. 102(2), 42 USC 5122(2)).

**Earthquake** – The sudden motion or trembling of the ground produced by abrupt displacement of rock masses, usually within the upper 10 to 20 miles of the Earth’s surface. March 2009 B-3 APPENDIX B: GLOSSARY AND LIST OF ACRONYMS Comprehensive Preparedness Guide 101.

**Emergency** – An emergency is defined as any natural, man-made, or technological incident or event that requires a response to protect life, assets, or service delivery. Emergencies include, but are not limited to, major disasters, terrorist attacks, terrorist threats, civil unrest, wildland and urban fires, floods, hazardous materials spills, radiological and nuclear materials release, aircraft accidents, earthquakes, tornadoes, winter storms, tsunamis, war-related disasters, public health and medical emergencies, catastrophic infrastructure failure and other occurrences requiring an emergency response.

**Emergency Operations Center** – The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, medical services), by jurisdiction (e.g., Federal, State, regional, tribal, city, county), or by some combination thereof.

**Emergency Plan** – The plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards. It describes how people and property will be protected; details who is responsible for carrying out specific actions; identifies the personnel, equipment, facilities, supplies, and other resources available; and outlines how all actions will be coordinated.

**Emergency Support Function** – Used by the Federal Government and many state governments as the primary mechanism at the operational level to organize and provide assistance. ESFs align categories of resources and provide strategic objectives for their use. ESFs utilize standardized resource management concepts such as typing, inventorying, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

**Evacuation** – The organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

- **Spontaneous Evacuation** – Residents or citizens in the threatened areas observe an emergency event or receive unofficial word of an actual or perceived threat and, without receiving instructions to do so, elect to evacuate the area. Their movement, means, and direction of travel are unorganized and unsupervised.
- **Voluntary Evacuation** – This is a warning to persons within a designated area that a threat to life and property exists or is likely to exist in the immediate future. Individuals issued this type of warning or order are NOT required to evacuate; however, it would be to their advantage to do so.
- **Mandatory or Directed Evacuation** – This is a warning to persons within the designated area that an imminent threat to life and property exists and individuals MUST evacuate in accordance with the instructions of local officials. Before March 2009.

**Evacuees** – All persons removed or moving from areas threatened or struck by a disaster.

**Flood** – A general and/or temporary condition of partial or complete inundation of normally dry land areas from overflow of inland or tidal waters, unusual or rapid accumulation or runoff of surface waters, or mudslides/mudflows caused by accumulation of water.

**Hazard Mitigation** – Any action taken to reduce or eliminate the long-term risk to human life and property from hazards. The term is sometimes used in a stricter sense to mean cost-effective measures to reduce the potential for damage to a facility or facilities from a disaster event.

**Hazardous Material** – Any substance or material that, when involved in an accident and released in sufficient quantities, poses a risk to people’s health, safety, and/or property. These substances and materials include explosives, radioactive materials, flammable liquids or solids, combustible liquids or solids, poisons, oxidizers, toxins, and corrosive materials.

**Incident Command System** – A standardized on-scene emergency management construct specifically designed to provide an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure and designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.

**Jurisdiction** – Multiple definitions are used. Each use depends on the context:

- A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., City, County, Tribal, State, or Federal boundary lines) or functional (e.g., law enforcement, public health).
- A political subdivision (Federal, State, County, Parish, Municipality) with the responsibility for ensuring public safety, health, and welfare within its legal authorities and geographic boundaries.

**Mitigation** – Activities providing a critical foundation in the effort to reduce the loss of life and property from natural and/or manmade disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

**National Incident Management System (NIMS)** – A set of principles that provides a systematic, proactive approach guiding government agencies at all levels, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment.

**Recovery** – The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post incident reporting; and development of initiatives to mitigate the effects of future incidents.

**Standard Operating Procedure (SOP)** – A complete reference document or an operations manual that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.

**Terrorism** – As defined in the Homeland Security Act of 2002, activity that involves an act that is dangerous to human life or potentially destructive of critical infrastructure or key resources; is a violation of the criminal laws of the United States or of any State or other subdivision of the United States; and appears to be intended to intimidate or coerce a civilian population, to influence the policy of a government by intimidation or coercion, or to affect the conduct of a government by mass destruction, assassination, or kidnapping.

**Tornado** – A local atmospheric storm, generally of short duration, formed by winds rotating at very high speeds, usually in a counter-clockwise direction. The vortex, up to several hundred yards wide, is visible to the observer as a whirlpool-like column of winds rotating about a hollow cavity or funnel. Winds may reach 300 miles per hour or higher.

**Tsunami** – Sea waves produced by an undersea earthquake. Such sea waves can reach a height of 80 feet and can devastate coastal cities and low-lying coastal areas.

**Warning** – The alerting of emergency response personnel and the public to the threat of extraordinary danger and the related effects that specific hazards may cause. A warning issued by the National Weather Service (e.g., severe storm warning, tornado warning, tropical storm warning) for a defined area indicates that the particular type of severe weather is imminent in that area.

**Watch** – Indication by the NWS that, in a defined area, conditions are favorable for the specified type of severe weather (e.g., flash flood, severe thunderstorm, tornado, tropical storm).

**WebEOC** – A web-based emergency communications sharing application.

# Emergency Operations Plan

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## Introduction

The Washington State Department of Transportation (WSDOT) Emergency Operations Plan (hereafter referred to as EOP) identifies policies, responsibilities and procedures during a major emergency situation. This plan supersedes all other previous emergency plan documents (i.e. The WSDOT Disaster Plan.) This EOP becomes effective as of the date signed by the Secretary of the Department of Transportation. The WSDOT EOP is the standard for WSDOT emergency preparedness, mitigation, response and recovery activities.

The information below lists major state and federal laws, rules and executive orders which provide the legal authority for the plan. This is not a complete list of all the laws and rules that affect WSDOT disaster preparedness and response. The list simply shows the basis for WSDOT's key emergency management responsibilities.

- Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended.
- Homeland Security Presidential Directive/HSPD-5
- Washington State Comprehensive Emergency Management Plan
- Chapter [38.52.030](#) Revised Code of Washington (RCW) Emergency Management.
- Presidential Executive Order 12656
- U.S. Department of Transportation Order [1900.8](#)

## Purpose

The primary mission of WSDOT is to keep people and the economy moving by operating and improving the state's transportation systems vital to our taxpayers and communities. This EOP describes WSDOT's preparedness for response to, and recovery from, any emergency that affects the state transportation system. No plan can replace common sense and good judgment. This plan and its procedures document the overall WSDOT Emergency Management Program. The EOP is meant to provide guidance to ensure prompt, safe, effective response to, and management of, emergencies.

## Plan Format

The WSDOT Emergency Operations Plan is organized into two parts:

1. **Basic Plan** – an “All-Hazards” framework for WSDOT to follow during time of emergency. It also assigns responsibilities for WSDOT’s emergency planning and response.
2. **Supporting Appendices** – focus on WSDOT key personnel responsibilities, tasks, and operational actions that pertain to the performance of a specific emergency operations function. The following are the supporting appendices to this plan:
  - [Appendix A](#) Standard Operating Procedures
  - [Appendix B](#) Emergency Detour Route Plan
  - [Appendix C](#) Training and Exercises
  - [Appendix D](#) Continuity of Operations Plan (COOP)
  - [Appendix E](#) Emergency Relief Procedures Manual

## Planning Assumptions

- During a major emergency, the priorities are to protect life, the environment, and property
- WSDOT will act only within its designated authority
- WSDOT will assist local jurisdictions through existing agreements or through a Governor’s Proclamation of Emergency
- Without help, WSDOT may not have sufficient resources to cope with a major disaster
- WSDOT will prioritize repair and restoration of essential services and vital transportation infrastructure
- WSDOT will use contractors and private sector resources in response and recovery efforts
- WSDOT, Washington State Ferries (WSF), the United States Coast Guard (USCG), the Washington State Patrol (WSP) and other first responders will use a unified command for highway/ferry incident response

## EOP Maintenance

The WSDOT Office of Emergency Management, in partnership with the WSDOT Emergency Management Working Group (EMWG) will review the EOP annually and revise as needed. Changes will be distributed electronically, with hardcopies sent upon request.



## Concept of Operations

It is vital that WSDOT regions, divisions, programs and employees understand their roles during a disaster. The following section describes the all-hazards framework for WSDOT staff to follow during a disaster.

### **Preparedness Phase**

The preparedness phase consists of building, and maintaining emergency plans and conducting emergency training and exercises. It is a primary goal of the WSDOT Emergency Management Program to maintain a constant state of readiness and the ability to respond and recover from any hazard that threatens the state transportation system.

### **Training and Exercises**

**WSDOT Emergency Responder Training** – WSDOT personnel who respond to emergencies need to understand the actions they must take during emergencies. This requires training that may include, but is not limited to, classroom instruction, required reading, and/or participation in drills and exercises. Emergency response training and the determination of who must attend will be developed and coordinated by the WSDOT Emergency Management Working Group, with oversight from the WSDOT Office of Emergency Management. Further details can be found in [Appendix C](#) Training and Exercises.

Training records for emergency management-related training are maintained by WSDOT Staff Development.

**National Incident Management System (NIMS) and Incident Command System (ICS) Training** – WSDOT employees who have a role in emergency response shall receive training on the National Incident Management System and the Incident Command System. Information concerning whether or not a position requires NIMS and/or ICS training is located in the Training Matrix in found in [Appendix C](#) or by contacting the WSDOT Office of Emergency Management. NIMS and ICS training is conducted by the WSDOT Office of Emergency Management, can be taken online through self-study courses, or through other local sources. The Training and Exercise [Appendix B](#) contains a detailed training matrix which outlines position specific training requirements for Incident Command System/National Incident Management System classes. WSDOT must report that all staff have completed training annually as required by Homeland Security Presidential Directive Five (HSPD-5).

**WebEOC & SharePoint Training** – WSDOT personnel that are assigned to work in an EOC shall receive WebEOC and SharePoint training. This training is designed to familiarize personnel with WSDOT's Common Operating Picture (COP) during emergency/disaster operations.

**Exercises** – To ensure that WSDOT is ready to respond to and recover from any major emergency EOC staff routinely takes part in drills and exercises. Drills and exercises provide an opportunity to assess WSDOTs emergency operations preparedness and personnel and equipment readiness.

WSDOT should, when staff availability and the situation allows, take part in statewide and federal exercises or drills. WSDOT also conducts its own drills or exercises as needed. The WSDOT Emergency Management Working Group will coordinate all internal exercises.

## **Hazard Identification**

Washington is subject to many human-caused and natural hazards. WSDOT has identified the following hazards that pose the greatest potential to adversely affect the state transportation system: earthquake, flood, severe storms, tsunami, wild land fire, volcano, tornado, pandemic influenza, mudslide/landslide, hazardous materials, major accident, terrorism, civil disturbance, radioactive materials release, and infrastructure failure. By defining the hazards most likely to affect the transportation system, WSDOT is able to further create plans and develop concepts to contribute to effective and safe emergency response and recovery.

## **Critical Infrastructure and Key Resources**

The transportation system is a primary lifeline during emergency response and recovery efforts. However, transportation systems can be the primary target of a terrorist act, a secondary target or the delivery method. WSDOT has taken steps to reduce its vulnerability through the development of the Critical Infrastructure Protection Program (CIPP). The Office of Emergency Management is responsible for developing and maintaining the CIPP.

## **Continuity of Operations Planning**

Many WSDOT operations must be performed, or rapidly and efficiently resumed, in an emergency. While the impact of an emergency cannot be predicted, planning for operations under emergency conditions can mitigate its impact on WSDOT service delivery. To that end, WSDOT has prepared a Continuity of Operations Plan (COOP) which can be found under [Appendix D](#).

COOP implementation includes the following:

- The immediate emergency response will be guided by WSDOT’s Emergency Operations Plan.
- If the emergency is expected to have a significant, prolonged service delivery impact, then the COOP may be utilized.
- If an emergency has a significant impact on WSDOT staff, facilities, communications systems, voice and data communications, or information technology infrastructure, the COOP will be utilized.



## **Mitigation Phase**

Mitigation efforts attempt to prevent hazards from developing into disasters or to reduce the effects of disasters when they occur. The mitigation phase differs from the other phases because it focuses on long-term measures for reducing or eliminating risk. The implementation of mitigation strategies can be considered a part of the recovery process if applied after a disaster occurs. The following paragraphs outline some of the hazard mitigation programs currently in place at the WSDOT.

### **Bridge Seismic Retrofit Program**

The Bridge and Structures Office developed Washington's Bridge Seismic Retrofit program in 1990 to address state highway bridge seismic vulnerability. WSDOT has identified its different seismic zones with peak ground accelerations based on United States Geological Survey information.

The Bridge Seismic Retrofit Program is based on the following objectives:

- Minimize risk of bridge collapse.
- Prioritize projects to minimize loss of life and disruption to commerce.
- Accept moderate damage.
- Make optimum use of available funding by addressing lower cost/highest benefit superstructure seismic retrofit needs first, and follow with substructure

For more detailed information contact the WSDOT Capital Program Development Office.

### **Washington State Ferries Terminal Seismic Retrofit Program**

WSF Terminals is addressing seismic vulnerable structures by installing seismic restraints to bridge seats which support our movable bridges.

The Terminal Seismic Retrofit Program is based on the following objectives following a seismic event:

- Minimize risks of Terminal collapse.
- Prioritize projects to minimize loss of life and disruption to commerce.
- Accept moderate damage.
- Make optimum use of available funding by addressing lower cost/highest benefits superstructure seismic retrofit needs first.

For more detailed information contact the WSF Capital Program Terminal Engineering Office.

## **Bridge Scour Mitigation Program**

WSDOT routinely looks for and rehabilitates in-water bridge foundations that are susceptible to erosion due to swift-moving waters. This will prevent and minimize the number of bridge foundation emergencies following major storm events. For more detailed information contact the WSDOT Capital Program Development Office or the 34<sup>th</sup> Edition of the [Gray Notebook](#).

## **Unstable Slopes Mitigation Program**

WSDOT routinely looks for and rehabilitates rock slopes to minimize the number of rock fall events. This program is comprised of two parts; scale loose rock off of lower risk slopes and rehabilitates higher risk slopes by scaling loose rock, bolting large rock masses into the hillside and then covering the slope with wire mesh. For more detailed information contact the WSDOT Capital Program Development Office or go to [www.wsdot.wa.gov/systems/slope](http://www.wsdot.wa.gov/systems/slope).

## **Chronic Environmental Retrofit**

WSDOT tracks all locations where Maintenance has to perform non-routine emergent work to preserve roadway integrity that, in turn, creates an impact to endangered fish. If WSDOT has done work at a site on 3 or more occasions or the risks are high that we will do more at that site, the Highway Construction Program develops projects to permanently fix these locations and eliminate the need for Maintenance to repeatedly return to the site for emergent work. For more detailed information contact the WSDOT Capital Program Development Office or go to [www.wsdot.wa.gov/environment/biology/fp/cedretrofits.htm](http://www.wsdot.wa.gov/environment/biology/fp/cedretrofits.htm).

## **Response Phase**

The response phase includes the mobilization of the necessary emergency services and first responders in the disaster area.

## **Notification**

In the event of a major emergency, information can come to WSDOT from a variety of sources. As the information is received the Office of Emergency Management has the overall responsibility to notify appropriate WSDOT staff and/or external partners.

The most common method of notification is through e-mail or telephone. Additional, redundant systems exist to contact Regions, Divisions and some outside entities. Phone numbers for key personnel are maintained in the Emergency Response Phone List. The Office of Emergency Management has the overall responsibility of controlling, maintaining and distributing this list.

## Situation Assessment and Information Gathering

Following notification of a disaster, WSDOT will consult internal and external partners to gather information and form a rapid assessment of the situation. This will help determine the potential affects the disaster may have on WSDOT infrastructure and resources. Further re-assessment and information gathering will occur continuously throughout the disaster as part of the ongoing operational tempo.

## Common Operational Picture

Critical to effectively managing an event is the establishment of a common operational picture. A common operational picture is a single display of relevant operational information. This will facilitate collaborative operations planning and assists all WSDOT regions and divisions in maintaining situational awareness.

## Standard Operating Procedures (SOPs)

Employees should be familiar with the Standard Operating Procedures (SOP) for incidents. Once an emergency is known, employees should refer to the specific SOP for that tpe of incident. SOPs describe specific activities that are required to safely and effectively respond to and recover from a defined disaster or emergency situation. SOPs do not replace common sense and good judgment.

## Facility Emergency Action Plan

Each major WSDOT facility will have a Facility Emergency Action Plan. These plans will include action plans for natural disasters, facility emergencies, medical emergencies, and security breaches along with evacuation routes, plans for assisting persons with disabilities, and emergency response team plans. When an emergency strikes personnel working in any office or other WSDOT facility will follow the appropriate Facility Emergency Action Plan.

For further details on Facility Emergency Action Plans, (e.g.: content and expected actions) reference the WSDOT Continuity of Operations Plan (COOP).

## Emergency Operations Center (EOC) Activation

Whether at the area, region or headquarters level, there may be a need to activate an Emergency Operations Center (EOC). Activating an EOC will enable a more efficient response and recovery effort by providing support to the responding staff. Notification of the status of an EOC activation (and deactivation) should be clearly communicated to leadership ensure that other EOCs and support organizations such as TMCs are aware of their role in an emergency event. All WSDOT EOCs shall operate according to the guidance provided in this plan.

See Attachment 1 for EOC locations and contact information.

**EOC Activation Levels** – Many disasters have the potential to strike unexpectedly. If a disaster is imminent or has already occurred then the EOC will activate.

**Level I Enhanced Operations (Alert Stage)** – When an incident has occurred, or begins to develop, it may be practical to activate an EOC to a Level I activation. For example, the HQ EOC Level I EOC activities will normally take place from the EOC Situation Room (Emergency Manager’s office). Several operational steps can occur from the day-to-day offices of HQ and traditionally they will include communicating with the Regions or Divisions, gathering information from outside agencies, and identifying available resources but will primarily focus on information and fact gathering.

During this level, normal day-to-day business activities are set aside while focusing attention on the incident at hand. Personnel assigned duties for the EOC need to make arrangements to reschedule appointments and ensure they are available for duties related to the incident. General situations that dictate a EOC Level I activation are:

- Incidents that have occurred in one region without statewide consequence such as urban area winter storms, large landslides or wildfires for example.

**Level II Full Operations (Operational Stage)** – When a significant incident occurs, which requires cross-regional, cross-divisional (such as with WSF, or Aviation) and/or statewide coordination the HQ EOC will transition to Level II. As a general rule, transition from Level I to Level II may occur when:

- One or more region EOCs have been activated.
- The State EOC activates, and/or
- Information indicates the potential for an incident that is or may grow beyond the capability of a single, affected region.

**Level III Statewide Transportation EOC Activation** – EOC Level III activation occurs when a catastrophic incident takes place or is imminent. Examples include natural, technical and human caused disasters that have or may cause severe loss of human life, suffering and widespread damage.

## **EOC Procedures Manual**

Every WSDOT EOC will create an EOC Procedures Manual. Its purpose is to ensure proper procedures are followed during a potentially stressful situation and to document how the EOC functions during an incident or event. This manual should be reviewed and updated annually, or when necessary situations warrant otherwise.

The EOC Procedures Manual will contain the following:

- Updated Personnel/Recall Rosters
- Position Responsibilities
- Activation & Deactivation Procedures
- Concept of Operations (how the EOC operates during an emergency)
- Equipment Information
- Supporting Checklists

## **WebEOC**

WebEOC is a web-based emergency crisis information sharing tool used by many state, local and federal agencies. WSDOT utilizes WebEOC as the method to document and share information internally and externally during emergencies. When activated, all EOCs need to utilize WebEOC.

## **Reporting**

An important aspect of emergency operations is information flow . During an incident, the HQ EOC will create specific reports on a pre-determined frequency. The reports include, but are not limited to. Situation Reports (SITREPs), significant events logs, EOC staffing plans, and Incident Action Plans. In order to ensure accurate, consistent and timely reporting all WSDOT EOC's will utilize WebEOC as the primary method of sending and receiving the information for these reports.

## **Chain of Command and Communications**

During and following an emergency, following the chain of command is vital. Employee accountability is paramount. Field crews and office staff personnel should report their status immediately to their supervisors and up the chain of command. Even though communications should be conducted through normal means whenever possible, it should be assumed that during an emergency the communications infrastructure may be compromised. Redundant communications systems, for example the 800 MHz radio system, satellite phones and text messaging, are assumed to be operations and should be utilized as available.

During each phase of a disaster, it is the responsibility of the affected region(s) and/or division(s) to plan for and determine the most effective and appropriate objectives to manage the disaster. This process should be in coordination with the WSDOT Office of Emergency Management, HQ EOC (if activated) and any involved public or private sector partners.

## **Field Operations**

During a major emergency, WSDOT will continue to operate as a statewide organization with the same chain-of-command and communications used during normal day-to-day operations. Emergency operations may be conducted on a 24-hour basis and could require adjustment of some functions and staffing. Field crews (e.g.: highway maintenance) should follow their pre-established Standard Operating Procedures when responding to emergencies on WSDOT infrastructure.

## Infrastructure Damage Assessment

As soon as it is safe to do so, WSDOT field crews will assemble and conduct preliminary damage assessments of all WSDOT infrastructure within the hazard area. This includes, but is not limited to, WSDOT facilities, state routes, state route bridges, tunnels and lids, ferry terminals and vessels. As crews execute damage assessments, details of findings should be reasonably documented and relayed through the normal chain-of-command as rapidly as possible. Crews should be familiar with, and utilize, alternate communications equipment. Responding crews should, whenever possible, take photographs to thoroughly document the extent of damage both before and after repairs or debris removal are conducted.

**Damage Assessment Kit** – All field personnel responding should maintain these supplies in a readily-available location

- Pre-Activity Safety Plan (PASP)
- Proper Personal Protective Equipment (PPE)
- First aid kit
- Notepads, pens, and pencils
- Caution tape
- Digital or disposable camera(s)
- Flashlight(s) and replacement batteries
- Portable/mobile 800 MHz Radio and replacement batteries

## Unified Command

WSDOT and WSF comply with the National Incident Management System by ensuring that all responders are trained in the Incident Command System. As WSDOT and WSF personnel respond to an emergency, they may serve as the Incident Commander. In a situation that falls under a Unified Command, they will be empowered by leadership to make command decisions. Responding personnel must be well aware that Incident Commander or Unified Command responsibilities may fall on their shoulders and be prepared to assume those leadership positions.

## Essential Services & Vital Functions

During and following an emergency if any essential services or vital functions have been compromised due to an emergency, the department's Continuity of Operations Plan (COOP) will provide framework for further actions. The current WSDOT COOP is attached as a supporting appendix ([Appendix D](#)).

## Job Reassignment

Also during and following an emergency reassignment of staff and adjustment of assigned duties may be needed, to include the sharing and movement of assets between regions. During this period policies, procedures, and work methods may need to be modified or terminated. Operations may be moved to other locations and work hours adjusted. Once the emergency is past, every effort will be made to restore normal operations as soon as possible.

## Recovery Phase

The goal of the recovery phase is to restore the affected area and associated infrastructure to its previous state. This will require integration and coordination with multiple entities both internal and external to WSDOT.

### Identifying Emergency Relief Funding Sources

Following a disaster the Office of Emergency Management will work with the FHWA Emergency Relief and/or FEMA to recover emergency relief funds for damage and work completed in order to support emergency response. The Emergency Relief Procedures Manual, [Appendix E](#) to this plan, and FEMA reimbursement is managed by the Washington State Emergency Management Division.

### Prioritization of Recovery Work

Prior to the transition to the recovery phase WSDOT will work to prioritize which infrastructure is restored. This will require coordination with internal and external partners as well as private contractor personnel.

### Return to Normal

WSDOT will do everything within its authority to ensure the transportation system is restored to its original operating capability as quickly and as safely as possible. This may require re-assignment of personnel, integration with outside federal forces and further coordination and prioritization of recovery work.

### After-Actions Report (AAR)

Immediately following any major emergency or exercise, WSDOT will publish an After Actions Report (AAR). The purpose of an AAR is to formally document what occurred during the specific event with regards to preparedness, response and recovery. AARs shall contain a chapter on Lessons Learned and a Corrective Action Plan. Lessons Learned is knowledge gained through operational experience (actual events or exercises) that indicates either excellence or deficiencies. A Corrective Action Plan lists out each item that needs improvement, the person it is assigned to, and a target completion date for that task.

- Each affected WSDOT Region and/or Division will compile information from the specific incident or exercise and subsequently develop and submit their respective AAR within a reasonable amount of time following a declared disaster to the Office of Emergency Management.
- The WSDOT Office of Emergency Management will develop the final AAR within a reasonable amount of time following a declared disaster or exercise.



## **Organization and Assignment of Responsibilities**

### **Key Position Responsibilities**

#### **Secretary of Transportation**

- Provide information to the Governor.
- Ensure response to any incident in accordance with the Governor's guidance and established department policy.
- Ensure WSDOT coordinates and maintains contact with local, state, and federal agencies, cities, tribal governments, and private partners, to include providing or requesting assistance, as necessary.

#### **Deputy Secretary**

- Acts on behalf of the Secretary of Transportation during the Secretary's absence or as directed by the Secretary.

#### **Chief of Staff**

- Act on behalf of the Secretary of Transportation during the Secretary's absence or as directed by the Secretary.

#### **Chief Engineer, Engineering and Regional Operations**

- Through the HQ EOC, maintain contact with field operations and provide incident information to the Secretary and the Deputy Secretaries.
- Ensure response and damage assessment operations on transportation systems in accordance with the Secretary's guidance and established department policy.

#### **Director of Maintenance Operations**

- Serve as the primary liaison between the EOC and the executive staff in the HQ EOC and support all EOC members, as required.
- Ensure Transportation Equipment Fund equipment and facilities are available for emergency or disaster response.
- Activate EOC when required.
- Notify the executive staff on changing conditions prior to, during and after an emergency

#### **Emergency Manager**

- Ensures the staff and programs are prepared for emergencies and or disasters.
- Ensures the HQ EOC is prepared and operational at all times.

#### **Director of Traffic Operations**

- Serve as the liaison in the HQ EOC and support all EOC members, as required.
- Ensure traffic operations are utilized to assist in major incident response and recovery.
- Activate EOC when required.



### **Assistant State Maintenance Engineer**

- Support or act on the behalf of the Director of Maintenance Operations during the Directors absence or as directed by the Director.
- Serve as additional point of contact with Regional Administrators, Regional Operations Engineers, and State Agency Liaison Officers

### **Communications Director**

- Ensure information is provided to other governmental agencies, media and the public concerning the status of the incident and the condition of the transportation system.
- Provide representative(s) to the WSDOT and State EOC as necessary.

### **State Agency Liaison (SAL)**

- Serve as the primary point of contact with the State Emergency Management Division (EMD). Falls under the responsibility of the WSDOT Emergency Manager
- Ensure trained WSDOT staff report to the State Emergency Operations Center (SEOC) as requested by the Emergency Management Division (EMD) as the WSDOT representative serving as the lead agency for Emergency Support Function 1 - Transportation.
- Ensure trained WSDOT staff report to the SEOC as Emergency Support Function 9 Aviation Search & Rescue, as requested by the EMD.

### **Washington State Ferries (WSF) – Assistant Secretary**

- Provide information to the WSDOT Secretary of Transportation.
- Activate WSF Emergency Operation Center when required.
- Ensure WSF coordinates and maintains contact with local, state, and federal agencies, cities, tribal governments, and private partners, to include providing or requesting assistance, as necessary.
- Ensure WSF personnel respond to the disaster in accordance with the Secretary's guidance, established department policy, and WSF Safety Management System procedures.

### **Public Transportation**

- Provide representative(s) to the HQ EOC as necessary.
- Coordinate with outside public transit providers during evacuation situations or other emergency situations where public transit resources are needed.

### **Traffic Management Centers (TMC)**

- Coordinate communications with field personnel, the public, and other agencies/ TMCs for both routine and emergency response.
- Initiate traffic management actions and alert motorists, public, and internal WSDOT entities to roadway conditions using ITS devices (WebEOC, 800 MHz Radio, CCTV, VMS, HAR, ROADS and 511).

- Utilize WSP CAD to coordinate WSP activities with WSDOT maintenance and emergency crews.
- Maintain records of all significant communication via radio and phone.
- Coordinate with WSDOT Regional Public Information Officer regarding information dissemination of weather, road conditions, closures, pass conditions, accidents, etc.
- Function as the Regional EOC prior to region EOC activation or when Regional EOC is not activated.

#### **Transportation Equipment Fund Manager**

- Maintain a statewide inventory of all WSDOT equipment available for incident response and recovery operations.
- Locate and obtain available equipment from all available sources as requested.
- Coordinate a contact list of mechanical response personnel.
- Provide representative(s) to the HQ EOC as necessary.

#### **Information Technology Director**

- Report any known or anticipated degradation of information technology infrastructure to HQ EOC (when activated) and executive staff.
- Ensure trained IT workstation support personnel are assigned to the HQ EOC when it is activated.
- Provide representative(s) to the HQ EOC as necessary.

#### **Accountability and Finance Director**

- Ensure payroll and other financial systems are operational.
- Provide oversight and technical assistance regarding accounting and financial system issues.
- Provide representative(s) to the HQ EOC as necessary.

#### **Human Resources Director**

- Provide assistance with labor and contract issues.
- Ensure the Employee Assistance Program is utilized to provide service to WSDOT employees as needed.
- Ensure Critical Incident Stress Management team is made available as needed to assist affected persons.
- Provide representative(s) to the HQ EOC as necessary.

#### **Enterprise Risk Management Director**

- Evaluate the impact of outside entities on WSDOT property and ability to resume business functions
- Determine if claims should be filed.

- Ensure claim processes are completed.
- Provide representative(s) to the HQ EOC as necessary.

#### **Systems Analysis and Program Development Manager**

- Provide strategic planning on funding.
- Coordinate contact with federal funding sources.
- Provide representative(s) to the HQ EOC as necessary.

#### **Highways and Local Programs Director**

- Perform a preliminary damage assessment for local highways with local and federal officers.
- Serve as the primary point of contact for a preliminary damage assessment between WSDOT and local agencies.
- Record and report data regarding damage locations, surveys, descriptions, and estimated cost to the System Analysis and Program Development office.
- Upon completion of on-site damage assessments, submit official damage estimates to FHWA.
- Program local agency emergency relief funds with FHWA.
- Provide representative(s) to the HQ EOC as necessary.

#### **State Construction Engineer**

- Assist the regions in maintaining liaison with the Washington State Chapter of the Associated General Contractors of America.
- Maintain liaison with construction and equipment rental companies.
- Provide ad and award contracts as needed.
- Provide qualified staff to assist regions and Bridge Engineering Section in conducting emergency bridge inspections.
- Provide representative(s) to the HQ EOC as necessary.

#### **Freight Systems Division Director**

- Assist HQ and the regions by coordinating with the shipping, trucking and rail communities.
- Maintain communications with the trucking and rail communities.
- Provide representative(s) to the HQ EOC as necessary.

#### **Office of Wireless Technology Manager**

- Ensure communication resources and support (such as communications engineering, personnel, and equipment to support statewide emergency operations) are provided.
- Ensure communication capabilities with the EMD and the HQ EOC are coordinated.

- Ensure staff are assigned to maintain the survivability of, or make repairs to, the wireless communication system.
- Provide representative(s) to the HQ EOC as necessary.

### ***WSDOT Region Responsibilities***

#### **Regional Administrator**

- Ensure the region responds appropriately to all emergency incidents.
- Ensure an EOC is established and maintained and that is activated at an appropriate level during emergencies
- Appoint a region representative to coordinate emergency management issues and be a member of the Emergency Management Working Group.
- Maintain communications with the HQ EOC.
- Coordinate activities for assigning detours and removing roadway debris.
- Coordinate personnel and equipment for emergency engineering functions, including plans, specifications, and cost estimates.
- Perform procedures necessary for accomplishing emergency repair work.
- Coordinate with the Washington State Chapter of the Associated General Contractors of America.
- Provide available personnel and equipment to other regions if requested.
- Report initial damage surveys, including location, description, and estimated cost of the damage, to the HQ EOC.

#### **Regional Maintenance Engineer**

- Serve as a primary point of contact to the region EOC when requested by the region administrator.
- Report all highway conditions to and maintain communication with the Regional Administrator, the Director of Maintenance Operations, and the HQ Emergency Management Office.
- Recommend emergency response strategies to the region administrator.
- Provide assistance to the regional administrator on emergency/disaster response coordination and operations.
- Evaluate preliminary disaster information and determine the extent of damage.
- Determine resources (equipment and personnel) available for emergency/ disaster response operations.
- Assign resources to affected areas.
- Coordinate services required for performing road repairs and implementing traffic control devices (such as signs and barricades).
- Coordinate mobilization of roadway and bridge maintenance personnel and equipment.

- Coordinate emergency traffic control.
- Coordinate emergency inspection for roadway safety and structure integrity.
- Coordinate detour assignments with the region traffic engineer.
- Maintain liaison with local construction and equipment rental companies.
- Coordinate equipment rentals with the regional equipment superintendent.
- Provide initial damage assessment estimates for the functional classified roads.
- Develop standard operating procedures covering responsibilities during emergencies or disasters.

### **Regional Equipment Superintendent**

- Report to the region EOC if possible, or maintain communication with the regional maintenance engineer.
- Maintain a region-wide inventory of available equipment and equipment operators for emergency response and recovery operations.
- Locate available equipment through coordination with regional maintenance superintendents or area supervisors.
- Coordinate activities to provide available equipment to impacted areas.
- Coordinate mechanical response personnel.

### **Maintenance Superintendents**

- Take appropriate actions for emergency operations through direction to crews.
- Maintain an inventory of available equipment and supplies at area offices for use in emergency and recovery operations.
- Maintain communication with the regional maintenance engineer.

## **Agreements and Resources**

### ***Memorandums of Understanding and/or Agreement (MOU/A)***

An MOU or MOA is a document written between parties to cooperatively work together on an agreed-upon project or meet an agreed-upon objective. The purpose of an MOA is to have a written understanding of the agreement.

### **Public Works Emergency Response Mutual Aid Agreement**

The purpose of the Public Works Emergency Response Mutual Aid Agreement is to permit participating agencies to make the most efficient use of their assets by enabling them to coordinate resources and maximize funding reimbursement during disasters/emergencies.

This agreement allows signatory agencies to support each other during disasters/emergencies to protect life and property, when the event is beyond the capabilities of one affected entity. This agreement also provides the mechanism for an immediate response to the Requesting Agency provided the Responding Agency has the necessary resources and expertise available.

## **Sharing Resources**

### **Deploying Resources Internally**

If a disaster overwhelms an area internally, the region and/or division should contact the WSDOT Office of Emergency Management or the HQ EOC (if activated) to request additional resources. The HQ EOC or Office of Emergency Management will then work with other WSDOT regions and/or Divisions to provide the necessary resources. Regions and divisions are encouraged to maintain Memorandums of Agreement/Understanding with neighboring local jurisdictions in order to effectively respond to an emergency.

### **Deploying Resources Externally**

During a state-proclaimed disaster, it is assumed counties and local jurisdictions will be overwhelmed and require support. In order to provide resources to county and/or local jurisdictions, it is understood that the jurisdiction must make a formal request through their respective Emergency Operations Center, which is routed to the State Emergency Operations Center, where it is then sent to the WSDOT Office of Emergency Management or WSDOT HQ EOC if activated. During a major emergency situation, where there is not a Governor's Proclamation, MOU/A's will be followed.

## **Communications**

### **Public Information**

During emergencies WSDOT communications staff will follow the WSDOT Emergency Communications Plan. The goal is to coordinate information that will keep WSDOT employees and external customers informed and prepared for any impacts.

### **Information and Situation Assessment**

It's WSDOT's responsibility to provide timely, accurate and appropriate information to the public. Credible, useful information helps the public prepare for and respond to the emergency. Without good information, the public can't make sound decisions. Being bombarded with conflicting information can be even more dangerous than having no information, so it is critical that the department provide consistent, accurate information. This can be a challenge in an emergency that involves multiple regions, states or jurisdictions. The WSDOT communicators shall work together to coordinate efforts and ensure consistent message dissemination to keep misinformation to a minimum, and work to ensure inconsistencies are resolved before the public hears conflicting information.

For further information regarding the Emergency Communications Plan, contact the WSDOT Communications Office.

## **Communications Systems & Equipment**

WSDOT owns and maintains several communications systems that are assumed to be functional during a disaster. The Office of Wireless Technology is the primary point of contact for further details on the current communications infrastructure. Further emergency communications equipment information can be found in Attachment 2 of this plan.

### **800 MHz Land Mobile Radio System**

WSDOT's primary two-way radio system is a state wide EF-Johnson 800 MHz trunked network. Monthly operability checks are performed on the EOC talk group to ensure the system is functioning properly.

### **Basic Analog Telephone (BAT)**

The BAT phone is a statewide, party line style voice communications system that is carried over WSDOT and Washington State Patrol microwave networks.

### **Satellite Phones**

WSDOT currently has portable and fixed satellite phones throughout the state on the Globalstar and Iridium networks. The location and phone numbers are maintained in the Emergency Response Phone List.

## **WSDOT Emergency Management Program**

### ***Role of the Office of Emergency Management***

The Office of Emergency Management has primary responsibility for WSDOT's Emergency Management Program. It is the overall goal of the Emergency Management Program to improve and sustain capabilities to prepare for, mitigate, respond to, and recover from any potential emergency and/or hazard that threatens Washington's transportation infrastructure and/or WSDOT employees.

### ***Region/Division Emergency Management Programs***

Region/Division Emergency Management Programs support the WSDOT Emergency Management Program by developing specific plans, and standard operating procedures for all potential emergencies and/or hazards. These focus on the improvement, sustainability and recovery of Washington's transportation infrastructure

### ***Emergency Management Working Group***

The WSDOT Emergency Management Working Group (EMWG) consists of the WSDOT HQ Office of Emergency Management staff and (at a minimum):

- One representative from each WSDOT Region, designated by the Region Administrator. Each region representative should have an identified alternate for continuity purposes.
- One member from each WSDOT Division to include the Washington State Ferries, and the Bridge Preservation Office.



- As needed for coordination purposes, outside agencies such as the Washington State Patrol, United States Coast Guard and the Washington State Emergency Management Division.

The WSDOT EMWG shall meet on a frequency deemed necessary by the WSDOT Office of Emergency Management. EMWG members provide input and guidance on development of and updates on the WSDOT Emergency Operations Plan. This includes creation and maintenance of region-specific items. Group members are responsible to ensure region training and exercises (as outlined in [Appendix C](#)), and other mitigation, response and recovery activities are accomplished and tracked to ensure the region's emergency preparedness.



The attached Standard Operating Procedures (SOP) describe activities that are required to safely and effectively respond to and recover from a defined disaster or emergency situation. SOPs do not replace common sense and good judgment. SOPs often describe WSDOT processes that have evolved institutionally over the years or document common practices so that institutional experience is not lost to the organization as a result of staff turnover. It is the ultimate responsibility of each WSDOT Region, Division and Program to create, maintain and utilize SOPs. SOPs shall be reviewed on an annual basis and changes will be routed to the WSDOT Office of Emergency Management.

Washington is subject to many human-caused, technological and natural hazards. WSDOT has identified the following hazards that pose the greatest potential to adversely affect the state transportation system:

- Earthquake
- Flood
- Severe Storms
- Tsunami
- Wild Land Fire
- Civil Disturbance
- Volcano
- Tornado
- Pandemic Influenza
- Mudslide and/or Landslide
- Hazardous Materials Spill/Release
- Major Accident
- Terrorism
- Radioactive Materials Release
- Infrastructure Failure

## Earthquake

### Preparedness Actions

- Conduct an earthquake vulnerability analysis to determine potential damage to building(s), and unreinforced masonry or concrete structures.
- Identify and correct nonstructural hazards, including securing bookcases, computers, and hanging objects on walls.
- Ensure personnel are aware of the potential hazards presented from such an event.
  - Provide training on proper response to an earthquake.
  - Hold twice yearly drills/exercises to ensure all practice on this response.

### Response Actions

- DROP, COVER AND HOLD until the shaking stops, safely evacuate as appropriate.
  - Remind everyone of the concern for aftershocks.
- Make contact with ALL personnel throughout the region or division as soon as possible and obtain status. Report information to WSDOT HQ.
- Allow non-essential personnel to go home to be with their families if it is safe to do so.
- Allow essential personnel to attempt to contact their families to ensure that they are safe.
- Assess damage to facilities and equipment as soon as possible and obtain status. Report information to WSDOT HQ.
- Conduct inspections of the roadways.
  - Deploy crews on pre-determined routes to complete inspections of roads known susceptible to liquefaction or landslides first - BE AWARE of downed power lines!
  - Check for broken pavement due to upheaval or sinking.
  - Determine which roads should be closed, make notification and coordinate with law enforcement as appropriate.
  - Ensure that the date and time of the road closures/restrictions are noted (and updated as they change) on the Statewide Road Closure Log.
- Conduct inspections of bridges.
  - Deploy crews on pre-determined routes to complete inspections of most vulnerable structures first.
  - Check for impact to all parts of structures, buckled pavement next to them, liquefaction of the supporting ground.

- Determine which bridges should be closed, make notification and coordinate with law enforcement as appropriate.
  - Ensure that the date and time of the bridge closures/restrictions are noted (and updated as they change) on the Statewide Bridge Closure Log.
- Conduct inspections of traffic control devices to ensure that they are not dislocated or malfunctioning.
    - Deploy crews on pre-determined routes to complete inspections of most vulnerable or critical devices first.
  - Move resources between Areas to manage current issues.
    - Shuffle resources to ensure that all needs of the entire Region are being met as efficiently as possible.
  - Request additional resources if needed.
    - Determine what is needed or what tasks are unable to be accomplished with current resource levels.
    - Report the need for additional resources to HQ.
  - Make arrangements to share resources with other Regions and/or counties as coordinated through the HQ EOC.
    - If requested to provide resources outside the Region ensure that the work expectations and timelines are clear and that all involved are notified of this information (utilize the Emergency Resource Mobilization Checklist).

## Recovery Actions

- Be prepared for aftershocks.
 

**Note:** Aftershocks can occur not only in the first hours, but days, weeks, or even months after the quake. Be prepared to take cover.
- Determine what damages have occurred and make repairs.
  - Take photos of damage both before and after it is cleaned up.
  - Arrange for emergency contract (or WSDOT response) to repair damage.
  - Create DM and report approximate amount of damage to HQ.
  - Create DDIR packet for FHWA Emergency Relief funding.
- Reopen roads as soon as possible.
  - Provide incentives for contractors if the road is opened sooner.
  - Once it is determined that a road can be safely reopened ensure that all notifications are done (law enforcement, Communicators, HQ).
  - Ensure that the date and time of reopening are noted on the Road Closure Log.
- Replace equipment and/or supplies that may have been used during the response.

## Floods

### Preparedness Actions

- Plan for evacuation if within the hazard area.
  - Create pre-determined guidelines for all WSDOT facilities that indicate at what point each facility must be evacuated if flood waters are rising.
  - As precaution have a pre-determined plan on which equipment if threatened should be moved to which location by whom.
  - Designate a rally point, primary and alternate communications for personnel accountability.
- Keep storm drains clear from debris (snow, ice, fallen leaves, trash etc.)
  - Assign additional crews to this task prior to significant rainfall/snowmelt.
  - Enlist the help of the community to keep the drains clear.
- Report status of preparedness to HQ prior to the event.

### Response Actions

- Allow non-essential personnel to go home to be with their families while it is still safe to do so.
- Allow essential personnel to attempt to contact their families to ensure that they are safe.
- Protect WSDOT facilities and equipment from flood damage.
  - Move equipment to higher ground or sand bag areas to mitigate flood damage.
- Conduct inspections of the roadways.
  - Deploy crews on pre-determined routes to complete inspections of roads known susceptible to flooding first - BE AWARE of downed power lines!
  - Check for deterioration of pavement, erosion.
  - Determine which roads should be closed, make notification and coordinate with law enforcement as appropriate.
  - Ensure that the date and time of the road closures/restrictions are noted (and updated as they change) on the Statewide Road Closure Log.
- Conduct inspections of bridges.
  - Deploy crews on pre-determined routes to complete inspections of most vulnerable structures first.
  - Check for scour and log jams up against the structures.
  - Determine which bridges should be closed, make notification and coordinate with law enforcement as appropriate.

Ensure that the date and time of the bridge closures/restrictions are noted (and updated as they change) on the Statewide Bridge Closure Log.

- Conduct inspections of traffic control devices to ensure that they are not dislocated or malfunctioning.
  - Deploy crews on pre-determined routes to complete inspections of most vulnerable or critical devices first.
- Move resources between Areas to manage current issues.
  - Shuffle resources to ensure that all needs of the entire Region are being met as efficiently as possible.
- Request additional resources if needed.
  - Determine what is needed or what tasks are unable to be accomplished with current resource levels.
  - Report the need for additional resources to HQ.
- Make arrangements to share resources with other Regions and/or counties as coordinated through the HQ EOC.
  - If requested to provide resources outside the Region ensure that the work expectations and timelines are clear and that all involved are notified of this information (utilize the Emergency Resource Mobilization Checklist)

## Recovery Actions

- Determine what damages have occurred and make repairs.
  - Take photos of damage both before and after it is cleaned up.
  - Arrange for emergency contract (or WSDOT response) to repair damage.
  - Create DM and report approximate amount of damage to HQ.
  - Create DDIR packet for FHWA Emergency Relief funding.
- Reopen roads as soon as possible.
  - Provide incentives for contractors if the road is opened sooner.
  - Once it is determined that a road can be safely reopened ensure that all notifications are done (law enforcement, Communicators, HQ).
  - Ensure that the date and time of reopening are noted on the Road Closure Log.
- Replace equipment and/or supplies that may have been used during the response.

## Severe Storms

### Preparedness Actions

- Monitor weather forecasts leading up to an expected storm.
  - Utilize all tools available to you to include National Weather Service, Northwest Weathernet, local media, etc.
- Take protective precautions for equipment, materials \_\_\_\_\_ as appropriate.
  - If equipment can be placed under cover or secured in a way that is protective, do so. Materials may need to be kept in a covered area or moved into a building etc.
- Train staff on the concerns in a winter storm and how to work safely in these conditions.
  - All should understand the possible dangers and what they should do if they find themselves in harm's way.
- Refer to the WSDOT Statewide Snow and Ice Plan for specific steps to take, equipment use, materials and their application both prior to and during a winter storm event.

### Response Actions

- Do not send crews out into the field if conditions are unsafe.
  - Winds should die down to ensure that visibility is good; avalanche danger must be assessed before workers not trained to deal with them are sent into an area.
- If crews are caught out in a winter storm and unable to return to their base location they should get to a safe place, make notification on their personal condition, their location and the current conditions at that location.
- Following the guidance given in the WSDOT Statewide Snow and Ice Plan crews should work to keep the roads open and safely passable. If a road must be closed (unsafe, impassible) ensure that the closure is reported to the TMC.
- Avalanche concerns should be monitored by persons trained in avalanche control. These persons will determine when a road must be closed for avalanche control activities and when it can be reopened. All closures and re-openings will be coordinated with the TMC and the Public Information Officers to ensure that the public is notified.

### Recovery Actions

- Clear debris and make repairs.
- As needed engage contractors to assist with these actions.
- Work with outside resources to coordinate the most efficient way to manage debris on the road, power lines down, emergency vehicle access etc.
- Reopen the roads as soon as safely possible - notify TMC when reopened.
- Tally damage costs and report to HQ.

## Tsunamis

### Preparedness Actions

- Coordinate with State Police and local law enforcement and emergency management on determining the evacuation plan.
- Mark tsunami evacuation routes.
  - Have a regular schedule to check and ensure that these signs are still in place and in the correct locations.
- Ensure personnel who work in a tsunami inundation zone are aware of the potential hazards presented from such an event.
  - Identify assembly areas for each location (for staff and equipment).
  - Provide training on proper response to a tsunami advisory, watch and warning.
  - Hold annual drills/exercises to ensure all practice on this response.

### Response Actions

- When a tsunami warning is issued, move all personnel and equipment to higher ground.
  - Focus on ensuring life safety before protection of property!
- Provide personnel and barricades for state highway traffic control points.
  - Coordinate with State Patrol and local law enforcement on traffic management issues.

### Recovery Actions

- Determine what damages have occurred and make repairs.
  - Take photos of damage both before and after it is cleaned up.
  - Arrange for emergency contract (or WSDOT response) to repair damage.
  - Create DM and report approximate amount of damage to HQ.
  - Create DDIR packet for FHWA Emergency Relief funding.
- Reopen roads as soon as possible.
  - Provide incentives for contractors if the road is opened sooner.
  - Once it is determined that a road can be safely reopened ensure that all notifications are done (law enforcement, Communicators, HQ).
  - Ensure that the date and time of reopening are noted on the Road Closure Log.
- Replace equipment and/or supplies that may have been used or damaged during the response.

## Wildland Fires

### Preparedness Actions

- Ensure that all WSDOT field staff have been given some form of training on expectations and procedures in the event that they are confronted with a wildfire situation.

### Response Actions

- Notification of a fire near or headed toward a state highway.
  - If the TMCs get the info they will forward out the field and the regions.
  - If field staff observe a fire they will contact the TMCs and their supervisors with that info.
  - If HQ gets that info they will send it out to the Disaster Advisory Group (which includes TMCs).
  - Once the region staff are aware of the situation they will ensure that HQ has been notified.
- Accountability for all staff in the vicinity of the fire.
- Roads deemed unsafe due to the proximity of the fire or reduced visibility from the smoke closed.
  - Determine which roads should be closed, make notification and coordinate with law enforcement as appropriate.
- Assist law enforcement with Traffic Control Points to ensure that persons other than first responders do not enter the area of concern.

### Recovery Actions

- Conduct inspections of the roadways once the fire danger has passed.
  - Deploy crews on pre-determined routes to complete inspections of roads that the fire was near - BE AWARE of downed power lines!
  - Determine which roads should remain closed, make notification and coordinate with law enforcement as appropriate.
  - Ensure that the date and time of the road closures/restrictions are noted (and updated as they change) on the Statewide Road Closure Log.
- Conduct inspections of bridges once the fire danger has passed.
  - Deploy crews on pre-determined routes to complete inspections of structures that the fire was near.
  - Determine which bridges should remain closed, make notification and coordinate with law enforcement as appropriate.
  - Ensure that the date and time of the bridge closures/restrictions are noted (and updated as they change) on the Statewide Bridge Closure Log.



- Conduct inspections of traffic control devices to ensure that they are not dislocated or malfunctioning.
  - Deploy crews on pre-determined routes to complete inspections of impacted and/or critical devices first.
- Move resources between Areas to manage current issues.
  - Shuffle resources to ensure that all needs of the entire Region are being met as efficiently as possible.
- Request additional resources if needed.
  - Determine what is needed or what tasks are unable to be accomplished with current resource levels.
  - Report the need for additional resources to HQ.
- Make arrangements to share resources with other Regions and/or counties as coordinated through the HQ EOC.
  - If requested to provide resources outside the Region ensure that the work expectations and timelines are clear and that all involved are notified of this information (utilize the Emergency Resource Mobilization Checklist).

## Civil Disturbance

### Preparedness Actions

- Train staff concerning their response to a civil disturbance.
- Give direction on notification procedures in the event a person is caught in the action or outside of it.

### Response Actions if within the involved location

- Remain calm.
  - The situation you find yourself in may be unnerving however remain calm and observant.
- Make appropriate notifications.
  - As soon as you are aware that you cannot leave the involved area.
- Remain aware of situation and surroundings.
  - Care should be taken to make certain that if possible you do not become involved in the disturbance itself.
- When possible to safely do so, depart the area and once safe make appropriate notification.
  - Depart the area carefully and only on routes that are clearly open.
- Once clear of the danger area assist law enforcement with traffic control.
  - Only assist if in a safe location.

### Response Actions if outside the involved location

- Conduct staff accountability assessment to ascertain if any WSDOT staff are caught in the involved location.
  - Report accountability assessment to Region and HQ.

### Recovery Actions

- Once the disturbance has ended and the area is cleared of all threats inspect roadways, structures and facilities for damage.
- Clean any debris from the roadways and reopen as soon as possible.

## Volcano

### Preparedness Actions

- Plan for evacuation if within a hazard area.
  - Ensure all staff working in volcano prone locations are made aware of this and procedures established if one were to occur.
  - Hold training and exercises on volcano response procedures.
- Monitor information to maintain situational awareness if a volcano eruption is predicted.
  - Assign information tracking to a specific person so that this critical issue is not overlooked.
- If volcanic activity is predicted, report to HQ Regional preparedness for response.

### Response Actions

- Protect WSDOT facilities and equipment from volcano eruption damage.
  - Move or cover equipment to mitigate possible damage.
  - Determine if vehicles can be driven or if modifications must be made to be able to utilize them.
- Conduct inspections of the roadways.
  - As soon as possible deploy crews on pre-determined routes to complete inspections of roads - BE AWARE of downed power lines!
  - Determine which roads should be closed, make notification and coordinate with law enforcement as appropriate.
  - Ensure that the date and time of the road closures/restrictions are noted (and updated as conditions change) on the Statewide Road Closure Log.
- Conduct inspections of bridges.
  - Deploy crews on pre-determined routes to complete inspections of structures most vulnerable to volcanic eruptions and resulting lahars first.
  - Ensure that the date and time of the bridge closures/restrictions are noted (and updated as conditions change) on the Statewide Bridge Closure Log.
- Conduct inspections of traffic control devices to ensure that they are not dislocated or malfunctioning.
  - Deploy crews on pre-determined routes to complete inspections of most vulnerable or critical devices first.
- Move resources between Areas to manage current issues.
  - Shuffle resources to ensure that all needs of the entire Region are being met as efficiently as possible.

- Request additional resources if needed.
  - Determine what is needed or what tasks are unable to be accomplished with current resource levels.
  - Report the need for additional resources to HQ.
- Make arrangements to share resources with other Regions and/or counties as coordinated through the HQ EOC.
  - If requested to provide resources outside the Region ensure that the work expectations and timelines are clear and that all involved are notified of this information (utilize the Emergency Resource Mobilization Checklist).

## Recovery Actions

- Determine what damages have occurred and make repairs.
  - Take photos of damage both before and after it is cleaned up.
  - Arrange for emergency contract (or WSDOT response) to repair damage.
  - Create DM and report approximate amount of damage to HQ.
  - Create DDIR packet for FHWA Emergency Relief funding.
- Reopen roads as soon as possible.
  - Provide incentives for contractors if the road is opened sooner.
  - Once it is determined that a road can be safely reopened ensure that all notifications are done (law enforcement, Communicators, HQ).
  - Ensure that the date and time of reopening are noted on the Statewide Road Closure Log.
- Replace and/or replace equipment and/or supplies that may have been used or damaged during the event or the response.

**Tornado**

Currently under development.

**Pandemic Influenza**

\*\*Refer to the Continuity of Operations Plan, [Appendix B](#).

**Mudslide and/or Landslide**

Currently under development.

**Hazard Materials Release or Spill**

Currently under development.

**Major Accident**

Currently under development.

**Terrorism**

Currently under development.

**Radioactive Materials Release**

Currently under development.

**Infrastructure Failure**

Currently under development.



## Purpose

The purpose of the Emergency Evacuation and Detour Route Appendix is to provide a framework for the establishment of detour routes when it is necessary to re-route traffic from state routes to other state routes or local roads. The goal is to identify detour routes so that traffic can be re-routed safely and efficiently when an emergency occurs on the main route.

## Responsibility for Emergency Detour Route Selection

- A. WSDOT Regions are responsible for preparing detour route plans for state routes. Each Region will work with local, state, tribal and federal partners in the establishment of detour routes.
- B. As detour route plans are established, they will be made available electronically.
- C. Each Region Traffic Engineer should review all detour route plans annually as they are developed.

## Emergency Detour Route Selection Criteria

The following factors should be considered in the selection of emergency detour routes:

- A. The needs of the affected local jurisdictions. Request input when considering potential detour routes.
- B. Length of detour vs. main route (distance and time). Select a route that will allow return to traffic to main route with limited additional travel time and distance.
- C. Capacity of detour route. Select a route that can handle the traffic volume, recognizing that peak hour volumes will likely exceed the capacity of the detour route. If necessary consider a second detour route. If two detour routes are equivalent, choose a state highway over a local jurisdiction.
- D. Consider weight, size, and load restrictions. It may not be possible to reroute all traffic, but is desirable to select a route that can accommodate most traffic. It is important to consider railroad grade crossing, including type of protection, and height and weight limitations by vehicle class or cargo. Consideration should be given to specific requirements for the transport of hazardous materials.
- E. Determine the general suitability of the detour route. Avoid residential areas, especially schools and other areas of heavy pedestrian travel. If a city route is equivalent to a county route, consider the route that will have fewer access points and less congestion.

- F. Evaluate the adequacy of traffic signal operations and flexibility to handle increased traffic volumes. When upgrading signals, consider potential need to handle increased traffic volumes.
- G. Consider the location of maintenance facilities, state and local law enforcement agencies, and emergency service providers. Choose a route that does not interfere with operations associated with clearing the incident from the main route.
- H. Consider the condition of the detour route.
- I. Inspect the detour route for any construction that affects its operation.

## Emergency Detour Route Development

The Region Traffic Engineer(s) will coordinate the selection of detour routes. During an emergency, detour routes may need to be developed in a short time frame. It is recommended to utilize the following abbreviated process:

- A. Contact local jurisdictions early and jointly agree on a process to be followed.
- B. Gather data: maps and plans; roadway and roadside inventory information.
- C. Identify preliminary detour routes utilizing the selection criteria.
- D. Drive detour route, record distances for each segment, record relevant features such as overhead clearance, critical turn area, signals, and weight restrictions that could affect the volume and type of traffic that can be accommodated. Include detailed information on railroad grade crossings, bridges and other characteristics that may limit the vehicles that can be accommodated. Consider the general location of the detour route and whether it is likely to be closed during a flood or other disaster. Videotaping and photographing unique features of the potential emergency detour routes may help evaluate options and avoid return trips to the field.
- E. Determine acceptance of route by the local jurisdiction(s).
- F. Revise preliminary detour routes.
- G. Identify areas of concern:
  - Route capacity
  - Limited fuel availability
  - Overhead clearance limitation
  - Railroad grade crossings
  - Structures with weight restrictions
  - Residential areas
  - School, hospital, and church zones
  - Heavy pedestrian traffic
  - Tight turns
  - Need for temporary traffic control devices



- Staffing levels needed to place traffic control devices and assist with traffic control
- Vertical grades
- Speed zones
- Choke points
- Locations for advance signs to indicate detour restrictions
- Other safety concerns

H. Identify commercial vehicle restrictions.

I. Identify routes that are closed to hazardous materials and other specific loads.

J. Determine if there are restrictions needed for travel during certain time periods.

K. Compile draft plan for review by the Region Traffic Engineer(s).

L. Work on agreements with any local jurisdictions on whose road traffic will be diverted. Agreements should list specific restrictions for vehicle weight, size, or time of day.

## **Emergency Detour Route Implementation**

For each route, develop an implementation plan that includes specific information about the detour route including all restrictions, the location and description of all signs, procedures for putting the detour route into operation, plus removal; and other agencies to be contacted. WSDOT will coordinate with affected jurisdictions when implementing detour route plans. Record the current condition of the detour route prior to implementation of the detour. Any damage to the route caused by the increased traffic may be eligible for Federal Emergency Relief, but you will need to establish the base line condition of the route prior to using it as a detour.

### ***EOC Coordination***

If a Region EOC is activated and a detour route is implemented, there must be coordination and communication between the field and the EOC. This information will then be passed to the Headquarters EOC.

### ***Communications Plan***

Once an emergency detour route is implemented it is vital for the Region to coordinate with their respective Public Information or Communications staff. This will ensure a common message to WSDOT employees and the traveling public.

## Region Emergency Detour Routes

Tab 1 - Olympic Region

Tab 2 - Northwest Region

Tab 3 - Southwest Region

Tab 4 - North Central Region

Tab 5 - South Central Region

Tab 6 - Eastern Region

## Introduction

### Planning, Training, and Exercises – A Continuous Cycle

Emergency preparedness is a continuous, cyclical process with three key functions: planning, training and exercising. Each function depends upon the other two and does not stand alone. The process begins with an assessment that leads to planning actions. Once plans are in place, training to those plans takes place. Exercises are then created and evaluated to ensure the plans and resulting actions are in place and function correctly. The content of that evaluation leads to further improvement planning, outlining corrective actions to be resolved and the cycle begins again.

The WSDOT Emergency Management Program has three sections that correspond to the base functions. They are the Emergency Operations Plan (that this is an appendix to), emergency response training and emergency exercises (which ultimately include identifying needed improvements and creating strategies to address those issues). Each part is equally important to reaching the goal of agency emergency preparedness.

1. **WSDOT Emergency Operations Plan (EOP)** – The EOP tells what should be done in an emergency, who is responsible, and by what authority. The Standard Operating Guidelines within the regions/divisions define how they will carry out the response.
2. **Training** – Policy training on the EOP or other guiding plans (e.g.: Bridge Inspection Plan, Continuity of Operations Plan), FEMA mandated classes (i.e.: Incident Command System / National Incident Management System), familiarization with local Standard Operating Guidelines as well as hands-on skills training are critical.
3. **Exercises** – Exercises are designed to test knowledge and skill in responding to and managing emergencies. They are based upon the plans written, the training received on them (as outlined above) and the response actions of participants.

By utilizing this system the WSDOT Emergency Management Program is able to determine effectiveness of the current response to emergencies and determine what changes should be made to the program to enhance it and move it forward.

## Training

Training involves a process that allows for learning new information, while an exercise is a simulated scenario that gives emergency responders an opportunity to practice their knowledge, skills and plans. All WSDOT employees should receive training on actions they should take during emergencies in conjunction with their Facility Emergency Actions Plan. This includes items like Drop, Cover and Hold evacuation and assembly procedures.

Additional training should be provided for WSDOT personnel who will implement the Emergency Operations Plan. This should cover emergency response roles for everyone, to include field responders, specialized teams, and EOC staff. Headquarters EOC conducts regularly scheduled training sessions with their staff and the Regions are encouraged to do the same (minimum of twice per year).

Emergency training required by specific job classes (e.g.: ICS/NIMS, IRT, Building Evaluation) is managed and tracked by Staff Development. The current FEMA requirements for NIMS training are followed as determined by the Office of Emergency Management for the specific position held.

Following an actual emergency or an emergency exercise, the after action analysis may show that additional emergency training is needed. The indication for the need for additional training will be forwarded to the involved area or persons with the recommendation of the type of training that should be conducted or taken. The training should be provided as soon as possible to take the best advantage of the learning opportunity that the recent response/exercise provided.

Category	IS 100 (cc: CX7)
01	First responders ( <i>Disaster Teams, IRT</i> )
02	First Line Supervisors ( <i>Maintenance Superintendents</i> )
03	Middle Management
04	Command and General Staff ( <i>HQ OEM staff</i> )
05	Other ( <i>TMC, EOC</i> )

Category	IS 200 (cc: CY4)
02	First Line Supervisors ( <i>Maintenance Superintendents</i> )
03	Middle Management
04	Command and General Staff ( <i>HQ OEM staff</i> )
05	Other ( <i>IRT, TMC, PIO</i> )

Category	IS 300 (cc: C3U)
03	Middle Management
04	Command and General Staff ( <i>HQ OEM staff</i> )
05	Other

Category	IS 400 (cc: C3V)
04	Command and General Staff ( <i>HQ OEM staff</i> )
05	Other

Category	IS 700 (cc: CY5)
01	Entry Level first responders and disaster workers ( <i>Disaster Teams, IRT</i> )
02	First Line Supervisors ( <i>Maintenance Superintendents</i> )
03	Middle Management
04	Command and General Staff ( <i>HQ OEM staff</i> )
05	Other ( <i>Exec Team, TMC, EOC, RA/ME</i> )

Category	IS 800 (cc: CY6)
03	Emergency Management personnel in middle management
04	Emergency Management personnel in Command and General Staff ( <i>HQ OEM staff</i> )
05	Other

### Incident Command System Required Training Matrix

## General Exercise Information

An exercise is a simulated emergency that gives emergency responders an opportunity to practice their knowledge, skills and plans in response to the given scenario.

Exercises can help:

1. Assess how ready the department is to handle an emergency.
2. Identify procedures that can't be accomplished as outlined or are ineffective during response to an emergency.
2. Provide a forum for WSDOT employees to practice their skills and improve performance under varying degrees of stress.
3. Give responders from different agencies an opportunity to work together as a team before an emergency occurs.
4. Identify improvements that are needed in emergency plans, guidelines and training.
5. Identify resources that are lacking or needed to improve response.
6. Provide a way to educate and involve the public, the news media and key community organizations in WSDOT's emergency planning efforts.

Evidence shows that exercises had a substantial impact on improving performance during an actual emergency for all the reasons listed above.

### Organization of an exercise

Some training and exercises are organized by the office/region/division involved, some are done by the WSDOT Office of Emergency Management (OEM), while others are organized through a collaborative process between both and/or an outside agency or jurisdiction.

WSDOT exercises held for WSDOT employees are organized completely within WSDOT. Other collaborative exercises involving outside entities (for example: another state, local jurisdiction, FEMA or the US Coast Guard) are usually created and organized by the lead agency .

### WSDOT in exercises involving outside entities

Most emergencies involve many different types of responders and WSDOT is often among them. Although WSDOT is not usually the lead agency in large scale emergencies, nearly every emergency situation depends upon a functioning transportation infrastructure to allow for response. This means that WSDOT is highly involved and a valuable responder.

Executive management, affected regions/divisions, involved or nearby field crews, and any outside agencies that may participate or might observe the actions of the responders should be notified in advance (in particular during a Full Scale Exercise in which resources are actually moved and/or utilized). Smaller drills, table tops or functional exercises that only affect a few people in a specific location will not need this level of notification, but should be shared with local leadership.

## **Types of Exercises - Definitions**

### **Drills**

A drill is a coordinated, supervised exercise activity, normally used to test a single specific operation or function. With a drill, there is no attempt to coordinate organizations or fully activate the EOC. Its role in an exercise program is to practice and perfect one small part of the response plan and help prepare for more extensive exercises, in which several functions will be coordinated and tested.

**Fire Drills** – In order to ensure a safe and quick evacuation of WSDOT facilities during a fire, ALL WSDOT facilities should conduct a fire drill, including full building evacuation and personnel accountability, twice per year. For planning purposes fire drills dates and times should be annotated in the Facility Emergency Action Plan.

**Drop-Cover-Hold Drills** – During an earthquake the standard practice for WSDOT personnel is to “drop-cover and hold”. Drop-Cover-Hold Drills should be conducted in ALL WSDOT facilities twice per year.

### **Table-Top Exercises (TTX)**

A tabletop exercise is a facilitated analysis of a major emergency or disaster situation in an informal, stress-free environment. It is designed to elicit constructive discussion as participants examine and resolve problems based on existing operational plans and identify where those plans need to be refined.

### **Functional Exercises**

A functional exercise is a fully-simulated, interactive exercise that tests the capability of an organization to respond to an event. The exercise tests multiple functions of the organization’s operational plan. It is a coordinated response to a situation in a time-pressured, realistic simulation.

### **Full Scale Exercises**

A full-scale exercise simulates a real event as closely as possible. It is an exercise designed to evaluate the operational capability of emergency and disaster management systems in a highly stressful environment that simulates actual response conditions. To accomplish this realism, it requires the mobilization and actual movement of personnel, equipment, and resources. Ideally, the full-scale exercise should test and evaluate most functions of the emergency plan or operational plan. Full Scale Exercises will be conducted, at a minimum, ONE time annually. In the event of a Level II or Level III Activation, the annual Full Scale Exercise requirement can be waived.

## **Exercise Planning**

### **Exercise Planning Team**

Exercise design is a complex task. It is best done by a team consisting of persons who have expertise. Depending upon the scope of the exercise, the team may consist of agencies outside of the department, WSDOT regions/divisions, Washington Emergency Management Division and the WSDOT Office of Emergency Management. Smaller

exercises will need less input so only a few representatives may be needed. Rarely should a single person create an exercise if it affects more than just a single office or function.

The person who organizes an exercise – for example a local jurisdiction emergency manager – will put together an Exercise Planning Team. For WSDOT-only exercises, the persons on the team should be representatives from the level of participation and/or from the involved portion of the department (e.g.: region, area, division).

The Emergency Management Working Group (EMWG) shall coordinate WSDOT in-house exercises and participate on the Exercise Planning Teams and/or will provide subject matter experts for use by the team. The Office of Emergency Management will assist in exercise creation and coordination of statewide in-house exercises and will assist as requested with region/division exercises. They will also provide initial representation on Exercise Planning Teams for exercises being coordinated by outside entities. If additional expertise is needed OEM staff will contact the EMWG staff who will coordinate and provide them.

*The Exercise Planning Team is the backbone of exercises and a high level of interest, cooperation and commitment by the members will be the difference between a successful and unsuccessful exercise.*

This team begins their process by determining what capabilities are lacking or need to be improved (staff, equipment, communications, plans, training etc.) for the body that is being exercised. Once that has been completed, the type of exercise and the objectives for it can be created. These will then help determine what type of scenario to exercise and the scope of involvement.

The Exercise Planning Teams design, develop, conduct and evaluate exercises. They determine objectives, create scenarios and develop documentation that will assist in creation of After Action Reports, Improvement Plans and Corrective Action Plans. These items are crucial to an ever-improving Emergency Management Program. Exercises require a great amount of planning, creativity and preparation and the Exercise Planning Team must use the hard work, experience and energy of all members to create and conduct an effective exercise.

Exercise Planning Teams also develop and distribute the pre-exercise materials, develop agendas, send invitations and provide information for the media, as points of contact for exercise participants among other responsibilities. The members often conduct exercise briefings and training sessions prior to an exercise and may be used as exercise controllers, facilitators and evaluators. If additional persons outside of the team are used to fill those roles, the Exercise Planning Team members are responsible to recruit and train them.

### ***The Homeland Security Exercise and Evaluation Program (HSEEP)***

The Homeland Security Exercise and Evaluation Program is the model that is used to create the WSDOT Training and Exercise Program. This program is the national standard and is required to meet federal mandates for compliance with the National Incident Management System.



This HSEEP program contains a modular system which structures the way in which an agency can determine deficiencies, address them, exercise on them, then capture the results and incorporate them into the next cycle.

This system uses a building block approach to allow for a gradual increase in knowledge and skills. This approach builds on exercise successes, boosts confidence and gains management support. This is done by beginning with smaller exercises and then building upon what was learned and moving into larger types of exercises. This helps to alleviate the frustration of moving directly into a full scale exercise, in which the participants are overwhelmed and most often ends in poor results.

### **Exercise Objectives**

Exercise objectives are created to test particular capabilities that have been deficient in the past, or to verify those that have been successful. By creating specifics monitored and evaluated during the exercise, the review of these items can be focused to determine if they are being met.

Objectives are a description of what is to be tested during the exercise. They should define specific goals, provide a framework for scenario development, drive the formulation of the events injected to create response and to provide evaluation criteria. Due to all of that, they are the cornerstone of exercise design and development. The number of objectives should however be limited but should adequately support successful completion of exercise intent.

### **Exercise Scenarios**

It is important to exercise on a variety of hazards and actions from preparedness to response to recovery. However, the type of hazard should not be the starting point for exercise development. Determination of the capabilities that need to be tested and the objectives written from them should always come first and then the type, hazard and scope should follow.

### **Exercise Documents and Presentations**

To follow the HSEEP program there are several documents to create prior to an exercise. These will vary depending on if it is a smaller seminar, a table top exercise (discussion based exercise) or a large full-scale exercise (operations based exercise) in which field resources are being deployed. In addition to the basic documentation, there may be a desire to create multimedia presentations, audio visual elements, have actors to play the parts of victims or outside persons and even actual involvement and/or participation by the media. All of these things must be created; coordinated and managed to ensure all involved receive needed information and that it is current and accurate.

### **Exercise Conduct**

Safety of the exercise participants, facilitators, controllers and evaluators (and if in the area, volunteers and the public) take precedent over exercise events. All persons share in the basic responsibility for ensuring a safe environment for all involved. Articulated safety requirements are part of the Exercise Plan.

Once it is time to actually conduct the exercise, the Exercise Planning Team (and those that they have recruited to assist them) will need to ensure the room (discussion based) or scene (operations based) is ready, and participants briefed (safety briefing included) before the exercise proceeds. Controllers, facilitators, and evaluators are utilized to ensure the exercise proceeds as designed, safety is maintained and the pre-determined objectives are tested and evaluated at each location participating in the exercise.

### ***Follow up***

After exercises are complete and input gathered from all involved, an After Action Report (AAR) with a Corrective Action Plan (CAP) is created to rectify found deficiencies. These documents should also be shared with the persons within the department who were notified that the exercise was being planned / conducted. Completion of these documents and sharing them is vital to improving the Emergency Training and Exercise Plan and the overall department preparedness. They allow for capability assessments, which lead to creation of an Improvement Plan to guide future training, exercises and updated plans and procedures.

All items listed in the CAP shall be assigned out to a particular person for coordination by an assigned completion date. A region/division person should be placed in charge of managing the completion of all CAP items. A copy of all CAP's with regular updates shall be sent to the OEM where statewide trend analysis on deficiencies will be done. If statewide issues occur, the OEM will share those issues and assist in seeking answers that will help everyone.

The follow up documents used in the HSEEP process should also be used following significant emergency events. This allows for a consistent procedure for capturing what occurred and how the deficiencies found are tracked to resolution.





# Continuity of Operations Plan

**Version 4.0**  
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**Washington State**  
**Department of Transportation**

310 Maple Park Avenue SE  
Olympia, WA 98504

<http://sharedot/srvcs/conops/Plans/>



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## EXECUTIVE SUMMARY

In the transportation environment, emergencies may occur both with and without warning which result in disruptions of the transportation system, denial of use of facilities, loss of power, inaccessible information technology systems, loss of telecommunications, and/or non-availability of senior management or technical personnel.

The Washington State Department of Transportation (WSDOT) Continuity of Operations (COOP) Plan is an effort to ensure the continued performance of WSDOT prioritized essential functions during a wide range of potential incidents and emergencies. After the Emergency Operations Plan is activated the COOP Plan may be utilized if the emergency has a significant impact on staff, facilities, communications systems, voice and data communications, or information technology infrastructure.

The COOP Plan affects all staff and contractors within WSDOT. The WSDOT COOP Plan is to be the first point of reference in terms of applying appropriate measures of what to do, in what circumstances, when, where, how and by whom.

The Washington State Department of Transportation (WSDOT) Continuity of Operations (COOP) Plan has been evolving since the first version was completed in December 2007. The managers and staff of all agency business areas have contributed to the development of this plan. Over 70 WSDOT staff listed at the end of this Plan provided information on agency functions. In most cases the director of a business area was contacted and they then delegated input and review to one of their managers or a staff member. In a few cases the director themselves provided input to the Continuity of Operations Plan. As successive draft plans were developed all of the individuals listed in the table were asked to review the reports and to provide feedback.

This plan provides guidance for emergencies along with pandemic flu outbreaks. Supporting information can be found in Continuity of Operations Function Analysis and Continuity of Operations Plan Detail reports. The Continuity of Operations Function Analysis report identifies all agency functions and prioritizes the Mission Essential and Essential Supporting Functions. The Continuity of Operations Detail report provides detailed continuity planning information on all essential functions. PDF versions of both of these documents can be found at: <http://sharedot/srvcs/conops/Plans/>.



# INTRODUCTION

Many WSDOT operations must be performed, or rapidly and efficiently resumed, in an emergency. While the impact of an emergency cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on service delivery. To that end, WSDOT has prepared this Continuity of Operations (COOP) Plan.

The COOP Plan establishes policy and guidance to ensure the execution of essential functions by WSDOT in the event that an emergency at the agency, or in its service area, threatens or incapacitates operations, and/or requires the relocation of selected personnel.

Continuity of operations is a mission essential function of government agencies. Recent events have heightened the need for government agency continuity. Disastrous events such as the 9/11 attacks in New York, wide geographic power-grid outages, the eruption of Mount Saint Helens, and the 2001 Nisqually earthquake that remind us of the need to plan. In addition newly surfacing threats like pandemic flu and terrorism emphasize the need for continuity of operations capabilities to enable WSDOT to continue to perform essential functions in the event of an emergency.

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## APPLICABILITY AND SCOPE

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The COOP Plan applies to all WSDOT regions, divisions, programs, contractors and personnel and covers all facilities, systems, vehicles, and buildings operated or maintained by the Department.

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## PURPOSE

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The purpose of the WSDOT COOP Plan is: (1) to manage the immediate aftermath of an emergency that has severely impacted agency staff, facilities, or information technology; (2) to ensure ongoing delivery of mission essential functions and essential supporting functions during any emergency; (3) to ensure availability of people, facilities, equipment, materials, technology, and records to support those essential functions; (4) to fully restore all functions after the emergency ends, and (5) to fulfill federal and state continuity of operations and pandemic flu planning requirements.

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## AUTHORITIES & GUIDELINES

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The COOP plan has been developed with the full endorsement of the WSDOT Executive Management Team and within the purview of the following authorities and guidelines:

- **Washington State Constitution, Section 42 Governmental Continuity during Emergency Periods, 1962.** Gives the legislature the power to enact measures as may be necessary and proper for insuring the continuity of governmental operations.
- **Revised Code of Washington (RCW) 42.14, Continuity of Government Act, 1963.** Instructs appointed officers of the state to designate temporary interim successors.
- **RCW 40.10, Microfilming of Documents to Support Continuity of Civil Government, 1982.** Instructs each appointed official to designate those public documents which are essential records needed in an emergency and needed for the reestablishment

of normal operations after any such emergency and to forward a list of those documents to the state archivist.

- **Washington State Directive by the Governor 07-6, 2007.** Requires all agencies to develop and maintain a Pandemic Flu Plan in conjunction with a COOP Plan.
- **State Comprehensive Emergency Management Plan, Paragraphs III B 5a and IV B 2, 2003.** Instructs State Agencies to have their own comprehensive emergency management program that enables them to establish procedures for continuity of government, supports continuity of government, and fulfill ESF support roles.
- **National Security Presidential Directive-51/Homeland Security Directive-20 (NSP-51/HSPD-20), National Continuity Policy, 2007.** Establishes National Essential Functions and provides guidance for state, local, territorial, and tribal governments, and private sector organizations in order to ensure a comprehensive and integrated national continuity program.
- **National Continuity Policy Implementation Plan, 2007.** Provide direction for integration of federal, state, local, territorial, and tribal government Continuity of Operations and Continuity of Government programs.
- **Federal Guidance to Assist State in Improving State-Level Pandemic Influenza Operating Plans, 2008.** Provides a framework that states are required to follow for developing and maintaining pandemic flu plans.
- **Continuity Guidance Circular 1, Continuity Guidance for Non-Federal Entities developed by Federal Emergency Management Agency (FEMA), 2009.** Provides direction for the development of continuity plans and programs for State, local, territorial, and tribal governments and the private sector.
- **Continuity Guidance Circular 2, Continuity Guidance for Non-Federal Entities: Mission Essential Functions Identification Process, 2010.** Provides additional planning guidance on identifying essential functions.
- **Transportation Research Board (TRB) Continuity of Operations Planning Guidelines, 2005.** Provides a framework for transportation continuity of operations planning.
- **American National Standards Institute (ANSI) Standard, ASIS SPC.1-2009, Organizational Resilience: Security, Preparedness, and Continuity Management Systems - Requirements with Guidance for Use, 2009.** Provides a comprehensive management systems approach for security, preparedness, response, mitigation, operational continuity, and recovery for disruptive incidents resulting in an emergency.

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## POLICY

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It is the policy of WSDOT as laid out in Secretary's Executive Order E 1068.00 to utilize continuity of operations (COOP) planning to ensure that mission essential functions and essential supporting functions will continue to be available during and after any emergency in accordance with Federal and State directives and guidelines and to ensure that all functions are fully restored after the emergency ends. WSDOT employees are directed to participate in COOP planning in accordance with this Secretary's Executive Order.

## RESPONSIBILITIES

COOP planning responsibilities are shown in Table 1 below.

**Table 1  
COOP Responsibilities**

Organization/Position	Responsibility
Assistant Secretary Administrative Operations	The Assistant Secretary Administrative Operations provides policy guidance and oversight to COOP planning and implementation.
Director of Administrative Services	The Director of Administrative Services provides overall direction to COOP planning and implementation.
Continuity of Operations Manager	The COOP Manager has lead responsibility for: (1) COOP planning and implementation; (2) pandemic flu planning and implementation; and (3) integration of staffing, information technology, facilities, vital records, and communications continuity planning and implementation with COOP planning and implementation.
Office of Emergency Management	The Office of Emergency Management has lead responsibility for: (1) emergency planning and implementation; (2) managing the emergency operations center; and (3) providing input for COOP planning related to emergency management issues and plans.
Human Resource Office	The Human Resource Office is responsible for: (1) providing input for COOP planning related to HR issues and plans; (2) communicating with staff regarding pandemic flu; (3) coordinating with unions in developing input for COOP planning; and (4) assisting staff during emergencies.
Space and Lease Management Office	The Space and Lease Management Office is responsible for: (1) providing input for COOP planning related to WSDOT headquarters area leased facilities; (2) ensuring all key headquarters leased facilities have Facility Emergency Action Plans; and (3) providing facilities management support during emergencies.
Capital Facilities Office	The Capital Facilities Office is responsible for: (1) providing input for COOP planning related to WSDOT owned facilities; (2) ensuring all key owned facilities have Facility Emergency Action Plans; and (3) providing facilities management support during emergencies.
Office of Information Technology	The Office of Information Technology is responsible for: (1) providing input for COOP planning related to IT continuity plans; (2) maintaining an IT Continuity / Disaster Recovery Plan; and (3) providing IT support during emergencies.
Records Management Office	The Records Management Office is responsible for: (1) providing input for COOP planning related to records management plans; (2) maintaining a Records Management Continuity / Disaster Recovery Plan; and (3) ensuring backup documentation is available during emergencies.
Region Administrators	Region Administrators have primary regional responsibility for: (1) identifying, coordinating, and training personnel required to perform devolved essential functions; and (2) developing and maintaining Facility Emergency Action Plans and Alternative Facilities Plans for all key facilities.
Headquarters Offices and Divisions	The WSDOT headquarters offices and divisions are responsible for ensuring their regional counterparts are trained, equipped, and have access to all vital records, databases, and supporting materials to facilitate the immediate transition of essential functions and sensitive responsibilities from WSDOT headquarters to the new devolution headquarters.
Agency Management and Staff	Executives, management, and staff of all regions, division, and business areas are responsible for: (1) providing information requested to support COOP planning in a timely manner; (2) becoming familiar with COOP plans in order to follow them during plan implementation; and (3) informing the Continuity of Operations Manager of changes needed for the maintenance of COOP Plans.

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## APPROACH

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COOP planning focuses on ensuring the availability of personnel, facilities, equipment, materials, funds, and information required to provide mission essential functions and essential supporting functions. This helps strengthen the WSDOT's ability to maintain continuity of operations during and after any emergency. COOP planning is carried out in coordination with emergency operations planning, information technology continuity of operations/disaster recovery planning, facilities emergency planning, and records management planning. WSDOT's approach to Continuity of Operations Planning encompasses:

- **Development of WSDOT mission essential functions.** Following FEMA Continuity Guidance Circular 2 and utilizing the Washington State Comprehensive Emergency Management Plan and legislative mandates, identify WSDOT mission essential functions that support State and National essential functions.
- **Assessment of threats, vulnerabilities, and risks.** Identify threats, vulnerabilities, and risks, and evaluate the agency's risk exposure.
- **Identification and prioritization of essential supporting functions.** Identify all WSDOT supporting functions then use Business Driver Impact Analysis to prioritize those functions and determine which ones are essential supporting functions.
- **Delineation of implementation conditions and actions.** Describe continuity of operations implementation actions and the conditions that trigger those actions.
- **Establishment of orders of succession and devolution process.** Determine order of succession and process for devolution of agency management to the regions.
- **Development of delegations of authority for mission essential functions and essential supporting functions.** Determine key decision makers and delegations of authority for each mission essential function and each essential supporting function.
- **Formation of internal and external communications plan.** Prepare high-level communications plan to keep internal and external stakeholders informed during and after an emergency.
- **Completion of mission essential function and essential supporting function continuity plans.** Complete continuity plans for all mission essential functions and essential supporting functions.
- **Compilation of guidance for dealing with staffing issues.** Compile or develop guidelines on staffing issues related to emergencies.
- **Establish Guidance for dealing with pandemic flu.** Develop guidance for dealing with pandemic flu and integrated with Continuity of Operations process.
- **Identification and improvement of agency resilience capabilities.** Evaluate agency resilience capabilities and promote actions to improve them.
- **Preparation of Threats, Vulnerabilities, Risks, and Resilience Capabilities Report.** Summarize the assessment of threats, vulnerabilities, and risks along with agency resilience capabilities.
- **Preparation of Functional Analysis.** Summarize analysis of WSDOT functions to identify and prioritize essential support functions.



- **Completion of Continuity of Operations Plan.** Complete and publish Continuity of Operations Plan.
- **Development of Supporting Continuity of Operations Plans.** Coordinate development of Critical Records Management Plan, information technology Continuity/Disaster Recovery Plan, and Facility Emergency Action Plans.
- **Maintain assessments and plans.** Update assessments and plans when changes have been identified.
- **Conduct tests, training and exercises.** Test specific portions of the COOP Plan, train management and staff in the provisions of the COOP Plan, and hold exercises to demonstrate and improve WSDOT's ability to execute the COOP Plan.

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## UNDERLYING ASSUMPTIONS

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The following are the underlying assumptions that guide implementation of this COOP Plan:

- **Individual Responsibility.** It is every individual's responsibility to be accountable for their own actions.
- **Local, State, and Federal Roles.** It is the responsibility of governments to make every effort possible to protect life and property from the effects of hazardous events. When the emergency exceeds local government's capability to respond, assistance may be requested from the state government. The Federal Government provides assistance to the state as necessitated by the nature and magnitude of the event. Federal assistance is supplemental to state assistance which is supplemental to local assistance.
- **Relationship between Emergency and Normal Functions.** This plan recognizes the concept that emergency functions for groups involved in emergency operations generally parallel their normal day-to-day functions. To the extent possible, the same personnel and material resources will be employed in both cases, whenever possible. It is generally true, however, that an emergency is a situation in which the usual way of doing things no longer suffices. It is desirable, and should always be attempted, to maintain organizational continuity and to assign familiar tasks to personnel. In large-scale emergencies, however, it may be necessary to draw on people's basic capacities and use them in areas of greatest need. Day-to-day functions that do not contribute directly to the emergency operation may be suspended for the duration of any emergency. Efforts that would normally be required of those functions may be redirected to accomplish the emergency responsibilities of WSDOT.
- **Relationship between COOP Plan and Emergency Operations Plan.** The immediate response to an emergency will be guided by WSDOT's Emergency Operations Plan. If an emergency has a significant impact on WSDOT staff, facilities, communications systems, voice and data communications, or information technology infrastructure then the COOP Plan will be utilized as needed.
- **Consistency with the State's Commitment to Comprehensive Emergency Management.** This plan is concerned with all types of emergencies that may develop. It also accounts for activities before, during, and after emergency operations.

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## KEY DEFINITIONS

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Key definitions used in this Continuity of Operations Plan are:

- **Emergency** - An emergency is a sudden, unexpected, or impending situation that may cause injury, loss of life, damage to property, and/or interference with normal activities and which, therefore, requires immediate attention and remedial action.
- **National Essential Functions (NEFs)** - The eight functions and overarching responsibilities of the Federal Government to lead and sustain the Nation that the President and national leadership will focus on during a catastrophic emergency that, therefore, must be supported through continuity capabilities.
- **State, Territorial, Tribal Essential Functions (STTEFs)** - The overarching responsibilities of states, territories, tribes, and local government jurisdictions during and following a crisis which ensure the well being of state, territorial, and tribal communities. State, Territorial, Tribal Essential Functions parallel National Essential Functions.
- **Mission Essential Functions (MEFs)** - The limited set of agency level functions that should be continued throughout, or resumed rapidly after, a disruption of normal activities. Mission Essential Functions support State, Territorial, Tribal Essential Functions.
- **Essential Supporting Functions (ESFs)** - Specific supporting functions an agency must conduct in order to perform its Mission Essential Functions.
- **Non-Essential Supporting Functions (NSFs)** - Supporting agency functions that can be deferred until after an emergency has been resolved.

# IMPLEMENTATION

Implementation Actions listed in Table 2 below provide a guideline for assessing and responding to an emergency including when this plan will be implemented. The specific actions taken will depend on the nature of the emergency being faced. These actions are intended to provide a guideline for emergency response and recovery.

**Table 2  
Implementation Actions**

Actions	Responsibility*
<input type="checkbox"/> If buildings are impacted by loss of utilities (i.e. HVAC, power, water, etc.): <ul style="list-style-type: none"> <li>• Affected Business Areas notify building manager.</li> <li>• Building manager contacts Space and Lease Management or Regional Facilities Office.</li> <li>• Determine expected length of outage and impact on occupants (Space and Lease Management or Capital Facilities Office)</li> <li>• If not habitable gain approval to vacate facility. (See Closing Conditions page 138)</li> <li>• Issue instructions to staff and contractors.</li> <li>• Initiate actions to restore utilities.</li> </ul>	Affected Business Areas / Space and Lease Management / Regional Facilities Office
<input type="checkbox"/> If facilities damaged or environmentally unsafe follow Facility Emergency Action Plans: <ul style="list-style-type: none"> <li>• Conduct evacuation and/or rescue operations as required.</li> <li>• Issue emergency instructions to staff and contractors.</li> <li>• Provide for the care and treatment of casualties as required.</li> <li>• Provide vehicle and pedestrian traffic direction and control.</li> <li>• Assess damage to facilities to determine accessibility for search and rescue activities.</li> <li>• Conduct light search and rescue activities in damaged facilities.</li> <li>• Provide emergency medical help.</li> <li>• Provide temporary shelter and support services.</li> <li>• Assess damage to facilities to determine safety and security to reoccupy.</li> <li>• Begin an orderly return to WSDOT facilities that are safe and secure.</li> <li>• Provide temporary safe, secure alternative facilities for operations of essential functions if facilities are not safe and secure.</li> </ul>	Emergency Response Teams
<input type="checkbox"/> Gather information from across WSDOT and/or from affected business area to conduct preliminary assessment. Determine: <ul style="list-style-type: none"> <li>• The type and location of the emergency.</li> <li>• Parts of the transportation system involved.</li> <li>• Facilities/agencies involved.</li> <li>• Status of staff and the public (including injuries or fatalities).</li> <li>• Size of affected area.</li> <li>• Functions impacted.</li> <li>• What resources are needed.</li> <li>• Anticipated length of the emergency.</li> </ul>	Office of Emergency Management/Affected Business Areas
<input type="checkbox"/> Follow WSDOT's Emergency Operations Plan.	Office of Emergency Management/Affected Business Areas
<input type="checkbox"/> If an emergency is expected to have a prolonged, significant impact on WSDOT staff, facilities, communications systems, voice and data communications, or information technology infrastructure: <ul style="list-style-type: none"> <li>• Continue this checklist to implement the COOP Plan.</li> </ul>	Office of Emergency Management/ Affected Business Areas
<input type="checkbox"/> If a pandemic is developing: <ul style="list-style-type: none"> <li>• Coordinate efforts with the Washington State Department of Health.</li> <li>• Independently monitor the development of the pandemic.</li> </ul>	Office of Emergency Management
<input type="checkbox"/> Be prepared for cessation of all non essential functions.	All Managers
<input type="checkbox"/> Use Order of Succession to determine general decision making authority (page 17).	All Managers

Actions	Responsibility*
<input type="checkbox"/> If an emergency prevents the Executive Management Team from managing WSDOT: <ul style="list-style-type: none"> <li>• Activate Devolution Plan and transfer authority to regions following Order of Devolution immediately upon confirmation that WSDOT headquarters is unavailable or incapable of performing its essential functions.</li> <li>• Continue on-site operations until the emergency operations can be terminated.</li> <li>• After the emergency or disruption ceases and is unlikely to resume begin reconstitution. During reconstitution headquarters functions will be resumed at the designated headquarters facility.</li> </ul>	Secretary or Regional Administrators if WSDOT Leadership Team not available
<input type="checkbox"/> Cease all non essential functions as required following Recovery and Restoration Priorities.	Secretary of Transportation
<input type="checkbox"/> Initiate job reassignment to utilize non-critical staff to provide backup for critical staff.	Administrative Operations Managers
<input type="checkbox"/> If the emergency is ongoing continue to track the status and conduct regular assessments.	Office of Emergency Management
<input type="checkbox"/> Maintain communications with internal and external audiences as laid out in the Communications Plan. (page 15)	Various Managers identified in Communications Plan
<input type="checkbox"/> Provide Safe, Secure Facilities <ul style="list-style-type: none"> <li>• Establish alternative facilities for operations of essential functions.</li> <li>• Initiate the process to salvage, restore and recover the facility and its contents subject to the provisions enacted by local authorities.</li> <li>• Continue to provide essential functions in an alternate facility in an appropriate location within commuting distance if possible.</li> </ul>	Office of Space and Lease Management / Regional Facilities Office
<input type="checkbox"/> Establish Governor's alternative emergency operations center in coordination with the WSDOT Office of Emergency Management and the Emergency Management Division, Military Department.	Office of Space and Lease Management
<input type="checkbox"/> Restore and maintain emergency communications systems as necessary.	ITS Engineer
<input type="checkbox"/> Restore and maintain Information Technology infrastructure. <ul style="list-style-type: none"> <li>• Activate IT Disaster Recovery Plan.</li> <li>• Perform assessment of service availability.</li> <li>• Notify management and customers of service outages.</li> <li>• Perform impact analysis to determine infrastructure required to restore service.</li> <li>• Restore IT infrastructure components.</li> </ul>	Office of Information Technology
<input type="checkbox"/> Restore and maintain voice and data communications. <ul style="list-style-type: none"> <li>• Reestablish connectivity in priority order.</li> <li>• Restore systems, applications, and databases.</li> </ul>	Office of Information Technology
<input type="checkbox"/> Address Staffing Needs: <ul style="list-style-type: none"> <li>• Address the health, safety, emotional well-being of all employees and their families. Address pay status, administrative leave, and layoffs.</li> <li>• Address medical, special needs, and travel issues.</li> </ul>	Director Human Resources
<input type="checkbox"/> Follow Staffing Guidelines for affected functions.	Managers of affected areas
<input type="checkbox"/> Follow Continuity Plans for affected Mission Essential Functions and Essential Supporting Functions.	Managers of affected areas
<input type="checkbox"/> Establish and coordinate logistical systems needed to support emergency services.	Director Administrative Services
<input type="checkbox"/> Execute agreements with neighboring jurisdictions, key suppliers, temporary help services, or similar entities as required.	Office of Emergency Management
<input type="checkbox"/> Gather critical records from alternate locations and return to appropriate business units.	Manager Records and Information Services
<input type="checkbox"/> When responding to a pandemic at the agency level: <ul style="list-style-type: none"> <li>• Coordinate efforts with the Washington State Department of Health (DOH).</li> <li>• Monitor the impact of pandemic flu on WSDOT.</li> <li>• Issue specific Pandemic Flu Guidelines based on DOH recommendations.</li> <li>• Provide special instructions or additional guidelines to critical employees who must travel to regions that have experienced severe outbreak; focusing on worker safety and what to do.</li> <li>• Consider requirement for medical certification before return to work as outlined in Return to Work Guidelines.</li> </ul>	Office of Emergency Management

Actions	Responsibility*
<input type="checkbox"/> When responding to a pandemic at the business area level: <ul style="list-style-type: none"> <li>• Extend hours of work for critical staff as required.</li> <li>• Utilize Staffing Guidelines to manage staff and acquire additional staff or contractors as needed.</li> <li>• Encourage staff to follow Pandemic Flu Guidelines.</li> <li>• Utilize Return to Work Guidelines in determining need for medical certification unless agency wide requirement has been announced.</li> </ul>	Managers of business areas
<input type="checkbox"/> Establish safe and secure facilities to enable WSDOT to return to normal operations.	Office of Space and Lease Management / Regional Facilities Office
<input type="checkbox"/> Redefine what normal operations would be and begin planning to return to normal operations.	Managers of business areas
<input type="checkbox"/> Evaluate and determine if return to normal operations is possible based on: <ul style="list-style-type: none"> <li>• Personnel safety.</li> <li>• Environmental safety.</li> <li>• Physical security.</li> <li>• Information systems security.</li> <li>• Availability of critical staff.</li> <li>• Availability of critical assets.</li> <li>• Availability of critical systems.</li> <li>• Availability of vital records.</li> <li>• Reestablishment of management structure.</li> <li>• Status of communications channels.</li> </ul>	Secretary of Transportation with consensus from Executive Management Team
<input type="checkbox"/> Provide guidance to all managers and staff on return to normal operations.	Secretary of Transportation
<input type="checkbox"/> Return to normal operations: <ul style="list-style-type: none"> <li>• Implement health and safety measures.</li> <li>• Restore or activate critical facilities and systems.</li> <li>• Reinstate functions in priority order as resources are available.</li> <li>• Protect, control, and allocate vital resources.</li> <li>• Coordinate with State Patrol and others in restoring transportation system.</li> <li>• Establish access controls, erecting traffic barricades, etc.</li> <li>• Reinstate functions in priority order as resources are available.</li> </ul>	Managers of business areas
<input type="checkbox"/> When recovering from a pandemic: <ul style="list-style-type: none"> <li>• Disinfect and prepare workplace before resumption of duties following the Surface Wipe-Down Guidelines (page 149).</li> <li>• Contact all WSDOT employees and contractors regarding resumption of normal duties and working hours following Return to Work Guidelines.</li> <li>• Provide family support as described under Counseling.</li> <li>• Track return to work progress.</li> <li>• Prepare for another possible pandemic wave by re-stocking supplies, reviewing and addressing deficiencies noted during first wave.</li> </ul>	Managers of business areas
<input type="checkbox"/> Integrate best practices or lessons learned during the previous pandemic wave across all transportation modes and issue an after action report.	Office of Emergency Management and COOP Manager

\* Note that whenever a position is identified as the responsible position it is understood that this means the individual holding the position or designee.



## RECOVERY AND RESTORATION PRIORITIES

Mission Essential Functions are ongoing and occur before or during an emergency. Essential Supporting Functions and Non-Essential Supporting Functions are recovered and restored in the priority order shown in Table 3 below.

**Table 3**  
**Recovery and Restoration Priorities**

Function			Business Area	RTO (Days)
1	Ensure Continuity of WSDOT Operations	MEF	Administrative Services	.5
2	Provide Visible Leadership	MEF	Transportation Management	.5
3	Maintain Transportation Relationships and Partnerships	MEF	Highway Maintenance	.5
4	Protect Critical Transportation Infrastructure	MEF	Highway Maintenance	.5
5	Manage WSDOT Emergency Operations	MEF	Highway Maintenance	.5
6	Provide Aerial Reconnaissance, Search, and Rescue	MEF	Aviation	.5
7	Provide Alternative EOC for the Governor	MEF	Administrative Services	.5
8	Provide Essential Transportation Services	MEF	Transportation Management	.5
9	Provide Fuel	ESF	Highway Maintenance	.5
10	Provide Highway Maintenance Oversight	ESF	Highway Maintenance	.5
11	Provide Vehicles and Equipment	ESF	Highway Maintenance	.5
12	Operate and Maintain Olympic Region Transportation System	ESF	Region Operations	.5
13	Operate and Maintain Northwest Region Transportation System	ESF	Region Operations	.5
14	Operate and Maintain Southwest Region Transportation System	ESF	Region Operations	.5
15	Operate and Maintain Eastern Region Transportation System	ESF	Region Operations	.5
16	Operate & Maintain South Central Region Transportation System	ESF	Region Operations	.5
17	Operate & Maintain North Central Region Transportation System	ESF	Region Operations	.5
18	Operate and Maintain State Ferries System	ESF	Ferries Operations	.5
19	Manage Facilities Leased by WSDOT	ESF	Administrative Services	.5
20	Manage Facilities Owned by WSDOT	ESF	Highway Maintenance	.5
21	Manage Human Resources	ESF	Human Resources	.5
22	Maintain Information Technology Infrastructure	ESF	Information Technology	.5
23	Provide the Public With Timely Information	ESF	Communication	.5
24	Maintain Public Safety Communications	ESF	Traffic Operations	.5
25	Ensure Bridges are Safe	ESF	Bridge and Structures	1
26	Provide Aviation Services	ESF	Aviation	1
27	Provide Statewide Project Development Services	ESF	Project Development	2
28	Maintain Fiscal Operations	ESF	Accounting and Financial Services	2
29	Coordinate Truck Freight Movement	ESF	Truck Freight	5
30	Provide Administrative Services	ESF	Administrative Services	5
31	Provide Records Management Services	ESF	Administrative Services	5
32	Coordinate Rail Freight and Passenger Movement	ESF	Rail and Marine	5
33	Provide Traffic Operations Oversight	ESF	Traffic Operations	5
34	Provide Highway Construction Oversight	ESF	Highway Construction	5
35	Coordinate Public Transportation	ESF	Public Transportation	10
36	Manage Toll Facilities	ESF	Tolling Operations	15
37	Provide Enterprise Risk Management Services	ESF	Risk Management	15
38	Protect the Environment	ESF	Environmental Services	15
39	Manage Internal Audit Program	ESF	Internal Audit	30
40	Maintain Governmental Relations	NSF	Governmental Relations	30+
41	Administer Agency Budgeting and Financial Analysis	NSF	Budget and Financial Analysis	30+
42	Test Materials	NSF	Materials Testing	30+
43	Administer Equal Opportunity Program	NSF	Equal Opportunity	30+
44	Manage Strategic Planning and Programming	NSF	Strategic Planning & Programming	30+
45	Manage WSDOT Research and Library	NSF	Research and Library Services	30+

Function			Business Area	RTO (Days)
46	Administer Local Programs	NSF	Local Programs	30+
47	Provide Project Delivery and Reporting Services	NSF	Capital Program Dev and Mgmt	30+
48	Establish Partnerships with Private Sector	NSF	Public Private Partnerships	30+

**KEY:** MEF=Mission Essential Function      ESF = Essential Supporting Function  
NSF = Non-essential Supporting Function      RTO = Recovery Time Objective



# COMMUNICATIONS PLAN

During an emergency the primary methods of internal communication should remain similar to those during normal operations. WSDOT primary methods of communication are: telephone, cell phone, radio and email. An emergency may cause certain systems within the WSDOT communication infrastructure to become unreliable and/or inoperable. Global Star and Iridium Satellite phones, analog land line, the BAT Phone, text messaging and utilizing a runner, are alternate communication methods adopted by WSDOT for use during communications outages. Additional communications will be provided on the internet and the designated emergency phone line:

- Headquarters area employees may call the designated emergency line at: (360) 709-8050.
- Employees assigned to the regions should call the designated number for that region.

External communications on the other hand will expand considerably during an emergency to include text messaging, social media, press releases, and activation of a phone bank to handle increased phone traffic in addition to the use of the internet, 511 recorded messages, and automated traffic signs. The summary communications plan is shown in Table 4 below.

**Table 4  
Communications Plan**

Audience	Objective of Communication	Responsibility*	Method of Communication
Office of Emergency Management	<ul style="list-style-type: none"> <li>• Inform of event and impact.</li> <li>• Identify actions being taken to assess and respond to event.</li> <li>• Identify need for additional resources.</li> <li>• Provide updates regarding response and expected return to normal operations.</li> <li>• Inform when normal operations have been restored.</li> </ul>	Managers of affected business areas	<ul style="list-style-type: none"> <li>• Verbal (in person, phone, or radio)</li> <li>• Email</li> </ul>
Secretary / Executive Management Team	<ul style="list-style-type: none"> <li>• Inform of event and impact.</li> <li>• Identify actions being taken to assess and respond to event.</li> <li>• Identify resource deployment.</li> <li>• Provide updates regarding response and expected return to normal operations.</li> <li>• Inform when normal operations have been restored.</li> </ul>	Office of Emergency Management	<ul style="list-style-type: none"> <li>• Verbal (in person or phone)</li> <li>• Email</li> </ul>
All Staff	<ul style="list-style-type: none"> <li>• Inform of event and impact.</li> <li>• Identify actions being taken to assess and respond to event.</li> <li>• Provide projections on duration of current deployment.</li> <li>• Provide updates regarding response and expected return to normal operations.</li> <li>• Provide employee assistance information.</li> <li>• Inform when normal operations have been restored.</li> </ul>	Secretary	<ul style="list-style-type: none"> <li>• Email</li> <li>• Intranet</li> </ul>
<ul style="list-style-type: none"> <li>• Governor</li> <li>• EMD</li> <li>• DIS</li> <li>• GA</li> </ul>	<ul style="list-style-type: none"> <li>• Inform of event and impact on WSDOT and transportation system.</li> <li>• Identify actions being taken to assess and respond to event.</li> <li>• Inform of potential service interruptions.</li> <li>• Provide projections on duration of current deployment.</li> <li>• Provide updates regarding response and expected return to normal operations.</li> <li>• Inform when normal operations have been restored.</li> </ul>	Secretary / Office of Emergency Management	<ul style="list-style-type: none"> <li>• Verbal (in person or phone)</li> <li>• Email</li> </ul>

Audience	Objective of Communication	Responsibility*	Method of Communication
<ul style="list-style-type: none"> <li>• Commuters</li> <li>• Freight haulers</li> <li>• Ferry users</li> <li>• Other travelers</li> <li>• General public</li> </ul>	<ul style="list-style-type: none"> <li>• Inform of event and impact on transportation system</li> <li>• Inform of actions that the public should take.</li> <li>• Inform of potential service interruptions.</li> <li>• Provide updates regarding response and expected return to normal operations.</li> <li>• Inform when normal operations have been restored.</li> </ul>	Communications Office	<ul style="list-style-type: none"> <li>• Social Media</li> <li>• Press releases &amp; media events</li> <li>• Web site</li> <li>• Recorded messages (511)</li> <li>• Traffic signs</li> <li>• Text Messaging</li> </ul>

\* Note that whenever a position is identified as the responsible position it is understood that this means the individual holding the position or designee.

# AUTHORITY & DECISION MAKING

Authority and decision during emergency response and recovery will be guided by the order of succession, devolution, and delegation of authority as described below.

## ORDER OF SUCCESSION

The Secretary or Acting Secretary may at any time appoint different individuals to assume specific positions or to assume responsibility for specific duties depending on the nature of the emergency and the individual's skills and experience. When circumstances prevent the secretary from performing the duties of the secretary, and no written delegation was made, the first available department delegate from the order of succession list is delegated to carry out the authorities and responsibilities of the secretary. Delegates exercising the authorities and responsibilities of the secretary should do so only for those matters that cannot await action by the secretary.

**Table 5  
Order of Succession**

Position	Successors
Secretary	<ol style="list-style-type: none"> <li>1. Chief Operating Officer/Deputy Secretary</li> <li>2. Chief of Staff</li> <li>3. Chief Engineer/Assistant Secretary Engineering &amp; Operations</li> <li>4. Assistant Secretary Washington State Ferries</li> <li>5. Assistant Secretary Administrative Operations</li> <li>6. Assistant Secretary Strategic Planning &amp; Finance</li> <li>7. Director of Maintenance</li> <li>8. Director of Traffic Operations</li> <li>9. State Construction Engineer</li> <li>10. See Order of Devolution (Table 6) to continue.</li> </ol>
Chief of Staff	<ol style="list-style-type: none"> <li>1. Assistant Secretary Administrative Operations</li> <li>2. Assistant Secretary Ferries</li> <li>3. Director of Aviation</li> <li>4. Director of Highways and Local Programs</li> <li>5. Director of Communication</li> <li>6. Director of Public Transportation</li> <li>7. Director of Rail and Marine</li> <li>8. Director of Government Relations</li> </ol>
Chief Engineer/ Assistant Secretary Engineering & Operations	<ol style="list-style-type: none"> <li>1. Director of Maintenance</li> <li>2. Director of Traffic Operations</li> <li>3. Northwest Regional Administrator</li> </ol>
Assistant Secretary Administrative Operations	<ol style="list-style-type: none"> <li>1. Director Administrative Services</li> <li>2. Director of Accounting &amp; Financial Services</li> <li>3. Director of Human Resources</li> <li>4. Director Office of Information Technology</li> <li>5. Director Enterprise Risk Management Office</li> <li>6. Director Internal Audit</li> <li>7. Administrative Officer, Olympic Region</li> </ol>
Assistant Secretary Strategic Planning & Finance	<ol style="list-style-type: none"> <li>1. Director of Budget &amp; Financial Planning</li> <li>2. Director of Strategic Planning &amp; Programming</li> </ol>
Assistant Secretary Washington State Ferries	<ol style="list-style-type: none"> <li>1. Deputy Assistant Secretary Washington State Ferries</li> <li>2. Director of Marine Operations</li> <li>3. Senior Port Captain</li> </ol>

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## DEVOLUTION

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If no one on the Order of Succession list is able to provide decision-making authority, the Governor or other delegated authority, may transfer direction and control for WSDOT activities to one of the regions until such time that WSDOT headquarters staff are capable of resuming direction and control. Regional Administrators may also activate this Devolution Plan if they are unable to contact anyone on the order of succession. The order of devolution is shown in Table 6 below.

**Table 6  
Order of Devolution**

Position	Successors
Secretary	1. Olympic Region Administrator 2. Northwest Region Administrator 3. Southwest Region Administrator 4. Eastern Region Administrator 5. South Central Region Administrator 6. North Central Region Administrator
Assistant Secretaries	Senior Regional Managers in corresponding business areas under Region Administrator serving as Acting Secretary.

### ASSUMPTIONS

This devolution plan is based on the following assumptions:

- An unwarned catastrophic event or condition requires the relocation of WDOT headquarters management responsibilities and essential functions to one of the regions.
- WSDOT headquarters personnel are unavailable or incapable of relocation.
- The Regional Administrator or their successor will coordinate devolution activities.
- The facilities in the devolution of operations sites are unaffected and have been resourced to incrementally assume the essential functions of WSDOT headquarters until a reconstituted WSDOT headquarters can assume such responsibilities.

### RESPONSIBILITIES

Responsibilities for devolution are as follows:

- Administrative Operations has the lead in planning for WSDOT headquarters devolution of operations, to include the development of the plan and procedures that enable the devolution of operations counterpart organizations to assume the mission and essential functions of WSDOT headquarters;
- The WSDOT headquarters offices and divisions are responsible for ensuring their regional counterparts are trained, equipped, and have access to all vital records, databases, and supporting materials to facilitate the immediate transition of essential functions and sensitive responsibilities from WSDOT headquarters to the new devolution headquarters;
- Region Administrators, in conjunction with Administrative Operations, holds primary regional responsibility for identifying, coordinating, and training personnel required to perform devolved essential functions.

- Administrative Operations is responsible for the annual review and update of this plan.

## **DEVOLUTION ACTIVATION CONDITIONS**

The decision to devolve operations stems from some emergency or potential emergency that involves WSDOT's headquarters facility and prevents staff from relocating to an alternate operating facility to perform essential functions. Devolution of operations may activate due to either an active or a passive measure or trigger, depending on the catastrophe.

### **ACTIVE MEASURES**

Active measures or "triggers" are those that initiate devolution activation because of a deliberate decision by senior WSDOT authorities. In this situation, the Secretary of Transportation, or designated successor activates devolution based on an identified threat to the headquarters facility. The Regional Administrator activates the devolution plan to assume the headquarters mission and essential functions after receiving instructions from the Secretary or a designated successor.

### **PASSIVE MEASURES**

Passive measures or "triggers" for activating devolution plans occur when WSDOT headquarters leadership is not available to initiate activation. For example, when the Regional Administrator cannot establish contact with WSDOT headquarters senior leaders and the State Emergency Management Division identifies catastrophic events in and around the headquarters, the Regional Administrator activates the WSDOT devolution plan and assumes central management duties for WSDOT.

## **DEVOLUTION OF OPERATIONS IMPLEMENTATION**

The Regional Administrator or their successor will implement the WSDOT devolution plan in three phases:

- **Activation and Transfer of Authority**, which occurs immediately upon confirmation that WSDOT headquarters is unavailable or incapable of performing its essential functions, after either the Secretary of Transportation or Regional Administrator activates the devolution plan in accordance with the activation triggers.
- **On-Site Operations**, which continue until the emergency operations can be terminated; and
- **Reconstitution**, which is conducted after the emergency or disruption ceases and is unlikely to resume. During reconstitution headquarters functions will be resumed at the designated headquarters facility.

## DELEGATION OF AUTHORITY

Delegations of Authority for all essential functions shown in Table 7 below were developed by the business areas responsible for providing the function. Delegations of Authority for each essential function can be found on the following pages.

**Table 7**  
**Delegation of Authority**

	Function		Business Area
1	Ensure Continuity of WSDOT Operations	MEF	Administrative Services
2	Provide Visible Leadership	MEF	Transportation Management
3	Maintain Transportation Relationships & Partnerships	MEF	Highway Maintenance
4	Protect Critical Transportation Infrastructure	MEF	Highway Maintenance
5	Manage WSDOT Emergency Operations	MEF	Highway Maintenance
6	Provide Aerial Reconnaissance, Search, and Rescue	MEF	Aviation
7	Provide Alternative EOC for the Governor	MEF	Administrative Services
8	Provide Essential Transportation Services	MEF	Transportation Management
9	Provide Fuel	ESF	Highway Maintenance
10	Provide Highway Maintenance Oversight	ESF	Highway Maintenance
11	Provide Vehicles & Equipment	ESF	Highway Maintenance
12	Operate & Maintain Olympic Region Transportation System	ESF	Region Operations
13	Operate & Maintain Northwest Region Transportation System	ESF	Region Operations
14	Operate & Maintain Southwest Region Transportation System	ESF	Region Operations
15	Operate & Maintain Eastern Region Transportation System	ESF	Region Operations
16	Operate & Maintain South Central Region Transportation System	ESF	Region Operations
17	Operate & Maintain North Central Region Transportation System	ESF	Region Operations
18	Operate & Maintain State Ferries System	ESF	Ferries Operations
19	Manage Facilities Leased by WSDOT	ESF	Administrative Services
20	Manage Facilities Owned by WSDOT	ESF	Highway Maintenance
21	Manage Human Resources	ESF	Human Resources
22	Maintain Information Technology Infrastructure	ESF	Information Technology
23	Provide the Public With Timely Information	ESF	Communication
24	Maintain Public Safety Communications	ESF	Traffic Operations
25	Ensure Bridges are Safe	ESF	Bridge & Structures
26	Provide Aviation Services	ESF	Aviation
27	Provide Statewide Project Development Services	ESF	Project Development
28	Maintain Fiscal Operations	ESF	Accounting & Financial Services
29	Coordinate Truck Freight Movement	ESF	Truck Freight
30	Provide Administrative Services	ESF	Administrative Services
31	Provide Records Management Services	ESF	Administrative Services
32	Coordinate Rail Freight & Passenger Movement	ESF	Rail & Marine
33	Provide Traffic Operations Oversight	ESF	Traffic Operations
34	Provide Highway Construction Oversight	ESF	Highway Construction
35	Coordinate Public Transportation	ESF	Public Transportation
36	Manage Toll Facilities	ESF	Tolling Operations
37	Provide Enterprise Risk Management Services	ESF	Risk Management
38	Protect the Environment	ESF	Environmental Services
39	Manage Internal Audit Program	ESF	Internal Audit

**KEY: MEF**=Mission Essential Function  
**RTO** = Recovery Time Objective

**ESF** = Essential Supporting Function

## CONTINUITY OF OPERATIONS PLAN

### DELEGATION OF AUTHORITY

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Ensure Continuity of WSDOT Operations	Administrative Services	MEF	.5 day(s)	1
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Administration of COOP Program	CURETON, KENNETH W	PHILLIPS, RICHARD JAY	

**CONTINUITY OF OPERATIONS PLAN**  
**DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Visible Leadership	Transportation Management	MEF	.5 day(s)	2
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
	No specific delegation of authority for this			
	See the following Essential Supporting			
	Provide Essential Transportation Services			
	Provide the Public with Timely			



## CONTINUITY OF OPERATIONS PLAN DELEGATION OF AUTHORITY

Function	Business Area	Type	RTO	#
Maintain Transportation Relationships & Partnerships	Transportation Management	MEF	.5 day(s)	3
Region	Responsibility	Primary Person	Delegated Person	
	No specific delegation of authority for this			
	See the following Essential Supporting			
	Provide Highway Maintenance Oversight			
	Operate & Maintain Region Transportation			
	Operate & Maintain State Ferries System			
	Provide Aviation Services			
	Coordinate Truck Freight Movement			
	Coordinate Rail Freight & Passenger			
	Provide Highway Construction Oversight			
	Coordinate Public Transportation			

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Protect Critical Transportation Infrastructure	Highway Maintenance	MEF	.5 day(s)	4
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Primary lead to Protect Critical Transp.	HIMMEL, JOHN S	CHRISTOPHER, CHRIS	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>		<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage WSDOT Emergency Operations		Highway Maintenance	MEF	.5 day(s)	5
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>		
HQ	Safety, Security and Emergency	HIMMEL, JOHN S	CHRISTOPHER, CHRIS		
HQ	Emergency Management	BAKER, JULIE A	HIMMEL, JOHN S		
HQ	Emergency Management	SCHMIT, JOSEPH R	BAKER, JULIE A		

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Aerial Reconnaissance, Search and Rescue	Aviation	MEF	.5 day(s)	6
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Coordinate & Manage Air Search & Rescue	PETERSON, THOMAS M.	WOLF, PAUL G.	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
Provide Alternative EOC for the Governor	Administrative Services		MEF .5 day(s)	7
HQ Establish & maintain Governor's alt. EOC				

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Essential Transportation Services	Transportation Management	MEF	.5 day(s)	8
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Oversight of Essential Transportation	HAMMOND, PAULA JO	DYE, DAVID L	
HQ			REINMUTH, STEPHEN	
HQ			LENZI, JERRY C	
HQ			MOSELEY, DAVID	
HQ			FORD, BILL I	
HQ			ARNIS, AMY LYNN	
HQ			CHRISTOPHER, CHRIS	
HQ			CARPENTER, JEFF	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Fuel	Highway Maintenance	ESF	.5 day(s)	9
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Statewide fuel management	HANSEN, GREGORY A	PERKINS, ALLEN C	
NWR	NWR fuel management	HIGH, NOEL L	HEATHMAN, KELLY	
NCR	NCR fuel management	BALL, JOHN R	YIALELIS, LELAND W	
OR	OR fuel management	ENLOW, JAMES S	SHIELDS, GERALD	
SWR	SWR fuel management	DOLLAR, DAN	SLIVA, RICHARD J	
SCR	SCR fuel management	BENJAMIN, CHESTER F	BISHOP, DALE W	
ER	ER fuel management	CLOUSE, CRAIG L	STEINMETZ, MICHAEL D	

## CONTINUITY OF OPERATIONS PLAN DELEGATION OF AUTHORITY

Function	Business Area	Type	RTO	#
Provide Highway Maintenance Oversight	Highway Maintenance	ESF	.5 day(s)	10
Region	Responsibility	Primary Person	Delegated Person	
HQ	Administration of Highway Maintenance	CHRISTOPHER, CHRIS	SELSTEAD, GREGORY A	
HQ			BAROGA, ENRICO V	
HQ			MILLS, MONTY	
HQ			HIMMEL, JOHN S	



**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>		<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Vehicles & Equipment		Highway Maintenance	ESF	.5 day(s)	11
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>		
HQ	HQ vehicle & equipment management	HANSEN, GREGORY A	PERKINS, ALLEN C		
NWR	NWR vehicle & equipment management	HIGH, NOEL L	HEATHMAN, KELLY		
NCR	NCR vehicle & equipment management	BALL, JOHN R	BENSON, CURTIS L		
OR	OR vehicle & equipment management	ENLOW, JAMES S	SHIELDS, GERALD		
SWR	SWR vehicle & equipment management	DOLLAR, DAN	SLIVA, RICHARD J		
SCR	SCR vehicle & equipment management	BENJAMIN, CHESTER F	BISHOP, DALE W		
ER	ER vehicle & equipment management	CLOUSE, CRAIG L	STEINMETZ, MICHAEL D		



**CONTINUITY OF OPERATIONS PLAN**  
**DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Operate & Maintain Northwest Region Transportation	Region Operations	ESF	.5 day(s)	13
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
NWR	Overall Region Management	ENG, LORENA	VLCEK, WILLIAM	
NWR	Alternate 1		MCCORMICK, DAVID	
NWR	Alternate 2		EAST, RUSSELL	
NWR	Alternate 3		HENRY, KIM	

**CONTINUITY OF OPERATIONS PLAN**  
**DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Operate & Maintain Southwest Region Transportation	Region Operations	ESF	.5 day(s)	14
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
SWR	Overall Region Management	GERNHART, BART S	WAGNER, DONALD R	
SWR	Alternate 1		SJOLANDER, RICHARD T	
SWR	Alternate 2			
SWR	Alternate 3			

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Operate & Maintain Eastern Region Transportation	Region Operations	ESF	.5 day(s)	15
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
ER	Overall Region Management	METCALF, KEITH A	CHATTERTON, S. LARRY	
ER	Alternate 1		ROBERTSON, RALPH	
ER	Alternate 2		FRUCCI, MIKE	
ER	Alternate 3		McCALLISTER, ED	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Operate & Maintain South Central Region	Region Operations	ESF	.5 day(s)	16
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
SCR	Overall Region Management	WHITEHOUSE, DON LEE	TREPANIER, TODD V	
SCR	Alternate 1		WHITE, BRIAN JOHN	
SCR	Alternate 2		SUING, TROY A	
SCR	Alternate 3			

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>		<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Operate & Maintain North Central Region		Region Operations	ESF	.5 day(s)	17
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>		<b>Delegated Person</b>	
NCR	Overall Region Management	SARLES, DANIEL		BIERSCHBACH, DAVID L	
NCR	Alternate 1			BERG, KIRK D	
NCR	Alternate 2			RING, JENNENE L	
NCR	Alternate 3			MAHRE, PAUL J	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Operate & Maintain State Ferries System	Ferries Operations	ESF	.5 day(s)	18
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
WSF	Executive management	MOSELEY, DAVID	BAKER, JEAN T	
WSF	Alternate		RODGERS, STEVEN V	
WSF	Communications	COURSEY, MARTA L	GOLDENBERG, JOY H	
WSF	Alternate		HARRIS-HUETHER, SUSAN	
WSF	Operation of Vessels	RODGERS, STEVEN V	MITCHELL, KELLY J	
WSF	Alternate		CAPACCI, GEORGE	
WSF	Operation of Terminals	SCHLIEF, DOUGLAS E	FERGUSON, DANIEL	
WSF	Alternate		HUTCHINSON, DWIGHT A	
WSF	Deployment of vessel crews	MITCHELL, KELLY J	CAPACCI, GEORGE	
WSF	Alternate		WILLIAMS, ANDREW P	
WSF	Maintenance of vessels	BRODEUR, PAUL H	BROWNING, TIMOTHY J	
WSF	Alternate 1		LACROIX, MICHAEL A	
WSF	Alternate 2		MULLAN, SCOTT F	
WSF	Maintenance of Terminals	SMITH, TIMOTHY M	CASTOR, THOMAS E	
WSF	Alternate		CALLAHAN, JOHN R	
WSF	Administrative and financial functions	BAKER, JEAN T	LARSON, MAUREEN N	
WSF	Security related decision making	HUNTING, KENNETH R	STEELE, HELMUT K	
WSF	Facilities relocation activity coordination	CHOATE, W DOUGLAS		



**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage Facilities Leased by WSDOT	Administrative Services	ESF	.5 day(s)	19
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Facilities availability	PHILLIPS, RICK	DITTLOFF, LARRY L	
HQ			TRASK, ANTHONY K	
HQ			HILSE, PAUL RAYMOND	
HQ			SCHULTZ, KAREN L	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage Facilities Owned by WSDOT	Highway Maintenance	ESF	.5 day(s)	20
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Owned Facilities Management	Medina, Yvonne	Nguyen, Thanh	
NWR		Blomberg, Andy	Morris, Annie	
NCR		Johnson, Greg	Gillin, Tony	
OR		Woodruff, Scott	McMullan, Kelly	
SWR		Cardoni, Maria	Hazen, Rick	
SCR		Floyd, Dan	Nugent, Phil	
ER		Humphreys, Russ	Pierce, Tracy	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage Human Resources	Human Resources	ESF	.5 day(s)	21
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	HR Management	TAYLOR, KATHRYN	TODOROVICH, JESSICA	
HQ			PAVLICEK, NIKI L	
HQ	Employee Relations	WHEELER, JONI M	ERDAHL, AMBER M	
HQ			DONOHUE, MELODY	
HQ	Labor Relations	TODOROVICH, JESSICA	PELTON, JEFFREY A	
HQ			NEILS, DAVID EDWARD	
HQ			MAURSETH, LEAH A	
HQ	Classification, Compensation & Operations	PAVLICEK, NIKI L	LE, TAM	
HQ			TOWNSEND, TERRY A	
HQ	Leave & Benefits	DAWLEY, KATHLEEN T	WAGNER, JENNIFER A	
HQ			AYERS, A*LANA CWEN	
HQ	Recruitment	KOSKA JR, THEODORE R	SOK, RAFAAAH	
HQ			HOLMBERG, MICHAELA	

**CONTINUITY OF OPERATIONS PLAN**  
**DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Maintain Information Technology Infrastructure	Information Technology	ESF	.5 day(s)	22
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Agency IT Program	RODEHEAVER, GRANT J	GRUGINSKI, LARRY J	
HQ			VANDOR, STEVEN A	
HQ			MORGAN, NOEL C	
HQ			KEMP, CHRIS R	
HQ			CRABB, TIMOTHY C	
HQ			MAZIKOWSKI, JEFFREY	
WSF	WSF IT	VANDOR, STEVEN A	SIROTNIKOVA, IRINA N	
WSF	Alternate		WALLACE, MARK	

# CONTINUITY OF OPERATIONS PLAN DELEGATION OF AUTHORITY

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide the Public With Timely Information	Communication	ESF	.5 day(s)	23
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Lead and coordinate state agency	PIERCE, STEVE	RUS, CONNIE SUE	
HQ	Media relations coordination/EOC PIO	RUS, CONNIE SUE	FIMAN, ALICE LOUISE	
HQ	Web, electronic media coordination	BERTRAND, JEREMIAH J	DYCK, ROBERT WAYNE	

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Maintain Public Safety Communications	Traffic Operations	ESF	.5 day(s)	24
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Provide & Manage Public Safety	NISBET, JOHN C	MILLER, TERRY	
HQ			MC DOWELL, TIMOTHY	
HQ			LEGG, BILLY B	

# CONTINUITY OF OPERATIONS PLAN

## DELEGATION OF AUTHORITY

<b>Function</b>			<b>Type</b>	<b>RTO</b>	<b>#</b>
Ensure Bridges are Safe	Bridge & Structures		ESF	1 day(s)	25
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>		
HQ	Bridge and structures management	KAPUR, JUGESH	COFFMAN, HARVEY		
HQ	Bridge design	KHALEGHI, BIJAN	STODDARD, RICHARD B		
HQ	Bridge Preservation	COFFMAN, HARVEY	SCROGGINS, GLEN CURTIS		
HQ	Load posting of state bridges	KAPUR, JUGESH	COFFMAN, HARVEY		
HQ			AL-SALMAN, MOHAMAD N		
HQ	Approve consultant agreements for bridge	KAPUR, JUGESH	KHALEGHI, BIJAN		
HQ			COFFMAN, HARVEY		
HQ	Post/restricting/closing bridges	KAPUR, JUGESH	COFFMAN, HARVEY		
HQ			AL-SALMAN, MOHAMAD N		
HQ	Bridge construction support management	LEWIS, RON A	BAUER, MICHAEL H		

**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Aviation Services	Aviation	ESF	1 day(s)	26
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Administration of Aviation Program	SHAMBAUGH, JOHN	JOHNSON, ERIC LEONARD	
HQ			MARVEL, NISHA VINA	



**CONTINUITY OF OPERATIONS PLAN  
DELEGATION OF AUTHORITY**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Statewide Project Development Services	Project Development	ESF	2 day(s)	27
<b>Region</b>	<b>Responsibility</b>	<b>Primary Person</b>	<b>Delegated Person</b>	
HQ	Administer engineering design services	BAKOTICH, PASCO	BOYD, NANCY D	
HQ			FLEMING, MICHAEL S	
HQ			LIPPINCOTT, GREG S	
HQ	Administer business function of Design	BAKOTICH, PASCO	BOYD, NANCY D	
HQ			MCKEON, KYLE R	
HQ	Payroll / Administration	EARLY, ALETTA ELAINE	JENSEN, STEPHANIE DAWN	
HQ			THOMAN, MARGARET ANN	
HQ	Authority to execute access correspondence	BAKOTICH, PASCO	DE STE CROIX, BARBARA	
HQ			PATTERSON, LEROY	
HQ			RICKMAN, TRENT E	
HQ	Contract Management	MCKEON, KYLE R	JONSON, ERIK K	
HQ			SCHOFIELD, LAWRENCE	
HQ	Technical advice on flooding & storm events	KRAMER, CASEY M	CHRISTIANSON, JAY D	
HQ	Technical advice on storm-water	MAURER, MARK W	NGUYEN, ALEX HOANG	
HQ	Real estate property documents	PALAZZO, MICHAEL A	MEARA, TERRY T	
HQ			NAUSLEY, DIANNA LYNN	
HQ			WRIGHT, GALEN	
HQ	Property Management documents	TREMBLAY, CYNTHIA J	JOHNSON, WENDY LYNN	
HQ	Geographical Services	PALMEN, STEPHEN C	WALKER, JAMES	
			SEVERSON, KATHLEEN C	





























# CONTINUITY PLANS

Continuity Plans were developed for all Mission Essential Functions (MEFs) and all Essential Supporting Functions (ESFs). These plans are provided for each group of essential functions.

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## MISSION ESSENTIAL FUNCTION CONTINUITY PLANS

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Continuity Plans for the Mission Essential Functions shown in Table 8 below were developed by the business areas responsible for providing the function. Continuity Plans for each MEF can be found on the following pages.

**Table 8**  
**Mission Essential Functions**

	<b>Function</b>	<b>Business Area</b>
1	Ensure Continuity of WSDOT Operations	Administrative Services
2	Provide Visible Leadership	Transportation Management
3	Maintain Transportation Relationships & Partnerships	Highway Maintenance
4	Protect Critical Transportation Infrastructure	Highway Maintenance
5	Manage WSDOT Emergency Operations	Highway Maintenance
6	Provide Aerial Reconnaissance, Search, and Rescue	Aviation
7	Provide Alternative EOC for the Governor	Administrative Services
8	Provide Essential Transportation Services	Transportation Management

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Ensure Continuity of WSDOT Operations	Administrative Services	MEF	.5 day(s)	1

### CONTINUITY STRATEGY

1. Ensure staff safety and security.
2. Activate Emergency Operations Plan.
3. Activate COOP Plan if Essential Functions are affected.
4. Ensure Continuity of Operations SharePoint site is available.
5. Ensure Continuity of Operations application/database is available.
6. Perform assessment of mission essential functions and supporting functions.
7. Notify management and EOC of status of essential functions.
8. Identify actions to restore essential functions.
9. Verify function availability, notify management and EOC of essential functions restoration.
10. Continue to monitor and reassess essential functions.
11. When return to normal operation is possible, coordinate planning for the transition back to primary facilities and restoration of functions in priority order to minimize further service disruption.



**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Ensure Continuity of WSDOT Operations	Administrative Services	MEF	.5 day(s)	1

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to ensure continuity of WSDOT operations during disasters, emergencies, or incidents. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Visible Leadership	Transportation Management	MEF	.5 day(s)	2

**CONTINUITY STRATEGY**

Continuity Strategy incorporated under the following Essential Functions:  
Provide Essential Transportation Services / Transportation Management  
Provide the Public with Timely Information / Communication

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Visible Leadership	Transportation Management	MEF	.5 day(s)	2

**CRITICAL STAFF PLAN**

Critical Staff Plans under the following Essential Functions:

- Provide Essential Transportation Services / Transportation Management
- Provide the Public with Timely Information / Communication

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Maintain Transportation Relationships & Partnerships	Transportation Management	MEF	.5 day(s)	3

**CONTINUITY STRATEGY**

Continuity Strategy incorporated under the following Essential Supporting Functions:

- Provide Highway Maintenance Oversight / Highway Maintenance
- Operate & Maintain Region Transportation System / Traffic Operations
- Operate & Maintain State Ferries System / Ferries Operations
- Provide Aviation Services / Aviation
- Coordinate Truck Freight Movement / Truck Freight
- Coordinate Rail Freight & Passenger Movement / Rail & Marine
- Provide Highway Construction Oversight / Construction
- Coordinate Public Transportation / Public Transportation

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Maintain Transportation Relationships & Partnerships	Transportation Management	MEF	.5 day(s)	3

**CRITICAL STAFF PLAN**

Critical Staff Plans under the following Essential Supporting Functions:

- Provide Highway Maintenance Oversight / Highway Maintenance
- Operate & Maintain Region Transportation System / Traffic Operations
- Operate & Maintain State Ferries System / Ferries Operations
- Provide Aviation Services / Aviation
- Coordinate Truck Freight Movement / Truck Freight
- Coordinate Rail Freight & Passenger Movement / Rail & Marine
- Provide Highway Construction Oversight / Construction
- Coordinate Public Transportation / Public Transportation

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Protect Critical Transportation Infrastructure	Highway Maintenance	MEF	.5 day(s)	4

**CONTINUITY STRATEGY**

Ensure qualified management is available to provide direction and control for protection of Critical Transportation Infrastructure program with close coordination with Washington State Patrol and federal partners.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Protect Critical Transportation Infrastructure	Highway Maintenance	MEF	.5 day(s)	4

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue protecting critical transportation infrastructure during disasters, emergencies, or incidents. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

Critical staff and backups have been identified based on critical specialized skills that are required to ensure protection of critical transportation infrastructure during disasters, emergencies, or incidents. Critical staff backup is cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage WSDOT Emergency Operations	Highway Maintenance	MEF	.5 day(s)	5

**CONTINUITY STRATEGY**

1. Track day to day major incidents and emergencies.
2. When major incidents and emergencies exceed parameters of normal operations, activate the HQ Emergency Operations Center (EOC) and notify executive staff to include WSDOT region and division leadership .
3. Notify State EOC.
4. Implement the WSDOT Emergency Operations Plan.
5. Implement the WSDOT EOC CONOPS.



**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage WSDOT Emergency Operations	Highway Maintenance	MEF	.5 day(s)	5

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue to manage WSDOT emergency operations during disasters, emergencies, or incidents. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Aerial Reconnaissance, Search and Rescue	Aviation	MEF	.5 day(s)	6

### CONTINUITY STRATEGY

Air Search & Rescue activities related to emergency disasters are managed by the Aviation Division in coordination with the State Emergency Management Division and WSDOT Emergency Operations Center. WSDOT Aviation utilizes a network of volunteers and statewide local government emergency resources to conduct these activities. The key resource is the mobile command trailer equipped with communications and mapping technology to conduct aerial searches. The command trailer and use of regional airports provide the flexibility to respond by use of aircraft anywhere in the state on short notice.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Aerial Reconnaissance, Search and Rescue	Aviation	MEF	.5 day(s)	6

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue providing aerial reconnaissance, search and rescue during disasters, emergencies, or incidents. Aviation management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Alternative EOC for the Governor	Administrative Services	MEF	.5 day(s)	7

**CONTINUITY STRATEGY**

1. Track development of emergencies and maintain contact with the Governor's Office and the Emergency Management Division, Military Department.
2. When the notified that the Governor and/or staff need to utilize the alternative Emergency Operation Center (EOC), activate the Governor's alternative emergency Operations Center (EOC).

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Alternative EOC for the Governor	Administrative Services	MEF	.5 day(s)	7

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to and maintain Governor's alternative Emergency Operations Center. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Essential Transportation Services	Transportation Management	MEF	.5 day(s)	8

## CONTINUITY STRATEGY

1. Identify Essential Supporting Functions.
2. Ensure that Mission Essential Functions have sufficient resources to continue during and after an emergency.
3. Ensure that Essential Supporting Functions have sufficient resources to remain operation during and after an emergency.
4. Maintain standing Order of Succession and Delegation of Authority to ensure Executive Management available to respond to emergencies, disasters, or incidents.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Essential Transportation Services	Transportation Management	MEF	.5 day(s)	8

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue to operate the statewide transportation system during disasters, emergencies, or incidents. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**





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## ESSENTIAL SUPPORTING FUNCTION CONTINUITY PLANS

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Continuity Plans for the Essential Supporting Functions shown in Table 9 below were developed by the business areas responsible for providing the function. Continuity Plans for each ESF can be found on the following pages.

**Table 9**  
**Essential Supporting Functions**

	Function	Business Area
1	Provide Fuel	Highway Maintenance
2	Provide Highway Maintenance Oversight	Highway Maintenance
3	Provide Vehicles & Equipment	Highway Maintenance
4	Operate & Maintain Olympic Region Transportation System	Region Operations
5	Operate & Maintain Northwest Region Transportation System	Region Operations
6	Operate & Maintain Southwest Region Transportation System	Region Operations
7	Operate & Maintain Eastern Region Transportation System	Region Operations
8	Operate & Maintain South Central Region Transportation System	Region Operations
9	Operate & Maintain North Central Region Transportation System	Region Operations
10	Operate & Maintain State Ferries System	Ferries Operations
11	Manage Facilities Leased by WSDOT	Administrative Services
12	Manage Facilities Owned by WSDOT	Highway Maintenance
13	Manage Human Resources	Human Resources
14	Maintain Information Technology Infrastructure	Information Technology
15	Provide the Public With Timely Information	Communication
16	Maintain Public Safety Communications	Traffic Operations
17	Ensure Bridges are Safe	Bridge & Structures
18	Provide Aviation Services	Aviation
19	Provide Statewide Project Development Services	Project Development
20	Maintain Fiscal Operations	Accounting & Financial Services
21	Coordinate Truck Freight Movement	Truck Freight
22	Provide Administrative Services	Administrative Services
23	Provide Records Management Services	Administrative Services
24	Coordinate Rail Freight & Passenger Movement	Rail & Marine
25	Provide Traffic Operations Oversight	Traffic Operations
26	Provide Highway Construction Oversight	Highway Construction
27	Coordinate Public Transportation	Public Transportation
28	Manage Toll Facilities	Tolling Operations
29	Provide Enterprise Risk Management Services	Risk Management
30	Protect the Environment	Environmental Services
31	Manage Internal Audit Program	Internal Audit

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Fuel	Highway Maintenance	ESF	.5 day(s)	9

### CONTINUITY STRATEGY

1. Determine work location and computer availability.
2. Communicate with IT to establish an available server since the Automated Fuel System is dependent on IT servers being available.
3. Install Automated Fuel System software.
4. Establish phone communications. Phone lines are required to communicate with regions or fuel site controllers.
5. Contact all essential staff and have them gather at the location.
6. Coordinate with regions.
7. Region would have the responsibility of monitoring tank levels and communicating with fuel distributors to maintain fuel inventory.
8. Fuel systems have safe guards to prevent leaks, spills, environmental damage or safety hazards. If system alarms sound, site personnel have instructions to contact MO Environmental Programs group.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Fuel	Highway Maintenance	ESF	.5 day(s)	9

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue to provide fuel during disasters, emergencies, or incidents. Highway Maintenance management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

Medium

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Highway Maintenance Oversight	Highway Maintenance	ESF	.5 day(s)	10

**CONTINUITY STRATEGY**

Ensure qualified management available to provide direction and control for highway maintenance program to include:

1. Ensure staff safety and security.
2. Continued communication with regions, assisting with needs assessment.
3. Coordinate resource sharing, if required.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Highway Maintenance Oversight	Highway Maintenance	ESF	.5 day(s)	10

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue to provide highway maintenance oversight during disasters, emergencies, or incidents. Highway Maintenance management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Vehicles & Equipment	Highway Maintenance	ESF	.5 day(s)	11

## CONTINUITY STRATEGY

### HQ

1. Determine work location and computer availability.
2. Communicate with IT to establish an available server since the Fleet and Equipment Management System utilization is dependent on IT servers being available. Install Fleet and Equipment Management System software.
3. Establish phone communications to communicate with regions.
4. Contact all essential staff and have them gather at the location.
5. Coordinate with regions.

### Region

1. Determine work location and computer availability.
2. Establish phone communications.
3. Contact all essential staff and establish work communications.
4. Determine equipment availability.
5. Coordinate with Maintenance Operations to ensure equipment continued operation.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Vehicles & Equipment	Highway Maintenance	ESF	.5 day(s)	11

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue to provide vehicles and equipment during disasters, emergencies, or incidents. Highway Maintenance management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Olympic Region Transportation	Region Operations	ESF	.5 day(s)	12

### CONTINUITY STRATEGY

The region operates under the assumption that emergencies are part of doing business. In the event of an emergency the region has in place a number of guidelines that it follows. The event may require that the Emergency Operations Center (EOC) be opened on a minimal or a major basis, that call would need to be made by the person or persons in charge. If the current building was not available and there is a need for the EOC to be opened we would utilize alternative facilities. The appropriate staff will be notified and critical positions will be required to work or go/stay at home depending on the time of day and the nature of the emergency. All appropriate equipment and modes of transportation will be made ready. Depending on the nature of the emergency all major organizations will be notified of what the Region is doing and given the information required for them to act on their own or in conjunction with other WSDOT business areas.



## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Olympic Region Transportation	Region Operations	ESF	.5 day(s)	12

## CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue operating the region transportation system during disasters, emergencies, or incidents. Region management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

Each manager in the region has identified those staff that are critical to our operation. Critical staff have been advised of their status and notified that they will need to be ready to come to work regardless of the emergency. Each manager is required to maintain an accurate list of individuals that can respond regardless of the situation and who have the skills and/or the training to handle the work that they will be asked to do. If the manager does not have a person to do the work the region will assign a person with the required training and/or skills. The list of critical employees will be updated on a regular basis. Each manager will report changes to their appointing authority to be added to the call out lists in the Traffic Management Center and Emergency Operations Center.

In the event that we do not have an employee with the training and/or the skills to do the work, the region will either provide the training or we will contract that work out during an emergency.

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### Pandemic Exposure Risk

Medium

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Northwest Region Transportation	Region Operations	ESF	.5 day(s)	13

### CONTINUITY STRATEGY

The region operates under the assumption that emergencies are part of doing business. In the event of an emergency the region has in place a number of guidelines that it follows. The event may require that the Emergency Operations Center (EOC) be opened on a minimal or a major basis, that call would need to be made by the person or persons in charge. If the current building was not available and there is a need for the EOC to be opened we would utilize alternative facilities. The appropriate staff will be notified and critical positions will be required to work or go/stay at home depending on the time of day and the nature of the emergency. All appropriate equipment and modes of transportation will be made ready. Depending on the nature of the emergency all major organizations will be notified of what the Region is doing and given the information required for them to act on their own or in conjunction with other WSDOT business areas.

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Northwest Region Transportation	Region Operations	ESF	.5 day(s)	13

## CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue operating the region transportation system during disasters, emergencies, or incidents. Region management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

Each manager in the region has identified those staff that are critical to our operation. Critical staff have been advised of their status and notified that they will need to be ready to come to work regardless of the emergency. Each manager is required to maintain an accurate list of individuals that can respond regardless of the situation and who have the skills and/or the training to handle the work that they will be asked to do. If the manager does not have a person to do the work the region will assign a person with the required training and/or skills. The list of critical employees will be updated on a regular basis. Each manager will report changes to their appointing authority to be added to the call out lists in the Traffic Management Center and Emergency Operations Center.

In the event that we do not have an employee with the training and/or the skills to do the work, the region will either provide the training or we will contract that work out during an emergency.

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### Pandemic Exposure Risk

Medium

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Southwest Region Transportation	Region Operations	ESF	.5 day(s)	14

### CONTINUITY STRATEGY

The region operates under the assumption that emergencies are part of doing business. In the event of an emergency the region has in place a number of guidelines that it follows. The event may require that the Emergency Operations Center (EOC) be opened on a minimal or a major basis, that call would need to be made by the person or persons in charge. If the current building was not available and there is a need for the EOC to be opened we would utilize alternative facilities. The appropriate staff will be notified and critical positions will be required to work or go/stay at home depending on the time of day and the nature of the emergency. All appropriate equipment and modes of transportation will be made ready. Depending on the nature of the emergency all major organizations will be notified of what the Region is doing and given the information required for them to act on their own or in conjunction with other WSDOT business areas.

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Southwest Region Transportation	Region Operations	ESF	.5 day(s)	14

## CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue operating the region transportation system during disasters, emergencies, or incidents. Region management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

Each manager in the region has identified those staff that are critical to our operation. Critical staff have been advised of their status and notified that they will need to be ready to come to work regardless of the emergency. Each manager is required to maintain an accurate list of individuals that can respond regardless of the situation and who have the skills and/or the training to handle the work that they will be asked to do. If the manager does not have a person to do the work the region will assign a person with the required training and/or skills. The list of critical employees will be updated on a regular basis. Each manager will report changes to their appointing authority to be added to the call out lists in the Traffic Management Center and Emergency Operations Center.

In the event that we do not have an employee with the training and/or the skills to do the work, the region will either provide the training or we will contract that work out during an emergency.

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### Pandemic Exposure Risk

Medium

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Eastern Region Transportation	Region Operations	ESF	.5 day(s)	15

### CONTINUITY STRATEGY

The region operates under the assumption that emergencies are part of doing business. In the event of an emergency the region has in place a number of guidelines that it follows. The event may require that the Emergency Operations Center (EOC) be opened on a minimal or a major basis, that call would need to be made by the person or persons in charge. If the current building was not available and there is a need for the EOC to be opened we would utilize alternative facilities. The appropriate staff will be notified and critical positions will be required to work or go/stay at home depending on the time of day and the nature of the emergency. All appropriate equipment and modes of transportation will be made ready. Depending on the nature of the emergency all major organizations will be notified of what the Region is doing and given the information required for them to act on their own or in conjunction with other WSDOT business areas.

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain Eastern Region Transportation	Region Operations	ESF	.5 day(s)	15

### CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue operating the region transportation system during disasters, emergencies, or incidents. Region management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

Each manager in the region has identified those staff that are critical to our operation. Critical staff have been advised of their status and notified that they will need to be ready to come to work regardless of the emergency. Each manager is required to maintain an accurate list of individuals that can respond regardless of the situation and who have the skills and/or the training to handle the work that they will be asked to do. If the manager does not have a person to do the work the region will assign a person with the required training and/or skills. The list of critical employees will be updated on a regular basis. Each manager will report changes to their appointing authority to be added to the call out lists in the Traffic Management Center and Emergency Operations Center.

In the event that we do not have an employee with the training and/or the skills to do the work, the region will either provide the training or we will contract that work out during an emergency.

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### Pandemic Exposure Risk

Medium

### CONTINUITY PLAN

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Operate & Maintain South Central Region	Region Operations	ESF	.5 day(s)	16

### CONTINUITY STRATEGY

The region operates under the assumption that emergencies are part of doing business. In the event of an emergency the region has in place a number of guidelines that it follows. The event may require that the Emergency Operations Center (EOC) be opened on a minimal or a major basis, that call would need to be made by the person or persons in charge. If the current building was not available and there is a need for the EOC to be opened we would utilize alternative facilities. The appropriate staff will be notified and critical positions will be required to work or go/stay at home depending on the time of day and the nature of the emergency. All appropriate equipment and modes of transportation will be made ready. Depending on the nature of the emergency all major organizations will be notified of what the Region is doing and given the information required for them to act on their own or in conjunction with other WSDOT business areas.



### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain South Central Region	Region Operations	ESF	.5 day(s)	16

### CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue operating the region transportation system during disasters, emergencies, or incidents. Region management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

Each manager in the region has identified those staff that are critical to our operation. Critical staff have been advised of their status and notified that they will need to be ready to come to work regardless of the emergency. Each manager is required to maintain an accurate list of individuals that can respond regardless of the situation and who have the skills and/or the training to handle the work that they will be asked to do. If the manager does not have a person to do the work the region will assign a person with the required training and/or skills. The list of critical employees will be updated on a regular basis. Each manager will report changes to their appointing authority to be added to the call out lists in the Traffic Management Center and Emergency Operations Center.

In the event that we do not have an employee with the training and/or the skills to do the work, the region will either provide the training or we will contract that work out during an emergency.

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### Pandemic Exposure Risk

Medium

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain North Central Region	Region Operations	ESF	.5 day(s)	17

### CONTINUITY STRATEGY

The region operates under the assumption that emergencies are part of doing business. In the event of an emergency the region has in place a number of guidelines that it follows. The event may require that the Emergency Operations Center (EOC) be opened on a minimal or a major basis, that call would need to be made by the person or persons in charge. If the current building was not available and there is a need for the EOC to be opened we would utilize alternative facilities. The appropriate staff will be notified and critical positions will be required to work or go/stay at home depending on the time of day and the nature of the emergency. All appropriate equipment and modes of transportation will be made ready. Depending on the nature of the emergency all major organizations will be notified of what the Region is doing and given the information required for them to act on their own or in conjunction with other WSDOT business areas.

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain North Central Region	Region Operations	ESF	.5 day(s)	17

## CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue operating the region transportation system during disasters, emergencies, or incidents. Region management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

Each manager in the region has identified those staff that are critical to our operation. Critical staff have been advised of their status and notified that they will need to be ready to come to work regardless of the emergency. Each manager is required to maintain an accurate list of individuals that can respond regardless of the situation and who have the skills and/or the training to handle the work that they will be asked to do. If the manager does not have a person to do the work the region will assign a person with the required training and/or skills. The list of critical employees will be updated on a regular basis. Each manager will report changes to their appointing authority to be added to the call out lists in the Traffic Management Center and Emergency Operations Center.

In the event that we do not have an employee with the training and/or the skills to do the work, the region will either provide the training or we will contract that work out during an emergency.

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### Pandemic Exposure Risk

Medium

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain State Ferries System	Ferries Operations	ESF	.5 day(s)	18

### CONTINUITY STRATEGY

**Ferries Administration** - Move key Ferries Operations management personnel and communications equipment to the North Regional Office if the 2901 HQ building cannot be utilized for this purpose. Establish Eagle Harbor as a location for key personnel not able to travel to the North Regional Office. This location would also be utilized for coordination of vessel and terminal maintenance and repair responses. Portable marine frequency radios are stocked at this location. Essential maintenance personnel can be deployed from this location. Adequate transportation and equipment needs are available from this facility. Mobilize the Eagle Harbor workforce to provide maintenance and repair activities throughout the WSF system of operations. Utilize Seattle Warehouse as the central supply hub for equipment, parts and supplies. Ensure adequate crew availability to operate vessels on current schedule. Alternately, adequate crewing availability to operate 2 vessels on the most populated runs, single vessels on every other run. Evaluate the ability of individual terminal locations to collect and distribute fares. Determine where compromises exist, i.e. for cash, credit and account sales. Determine interim staffing requirements to collect fares and maintain scheduled sailings. Schedule and/or relocate resources to maintain scheduled operations

**Operate Vessels & Terminals** - Marine transportation between all ports of call must be maintained. If normal operations cannot be maintained because of crew shortages or physical damage to terminals, at least one vessel must remain on each run throughout the duration of the crisis.

**Maintain Terminals** - The Eagle Harbor Repair facility maintains primarily responsibility for the repair and maintenance of terminals. The nature of this work requires mobile units of equipment and personnel to accomplish these activities on a normal basis. The work is for the most part not tied to a single facility and does not require a specific facility to accomplish the work.

**Vessel Maintenance** - The availability of the Eagle Harbor Shipyard provides all the resources and equipment needs to handle routine and more complex vessel maintenance and repairs. Routine maintenance can be performed by vessel crews as it is currently done. If the Eagle Harbor Shipyard were to not be available and immediate vessel repairs were required that can not be accomplished by vessel crews, the Eagle Harbor workforce can be mobilized to perform maintenance, repair and USCG inspections at terminal dockside locations. Work requiring specialized equipment that cannot be mobilized could be performed at commercial shipyards depending on the nature of the repair and the ability of the shipyard personnel.

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Operate & Maintain State Ferries System	Ferries Operations	ESF	.5 day(s)	18

### CRITICAL STAFF PLAN

All management personnel identified possess the required knowledge and experience to provide the direction required to maintain operations. Resources identified as vessel specific are replaced from their established shifts by equally qualified personnel as part of WSF's normal shift work scenario. This creates a large pool of licensed and unlicensed personnel to run vessels should the need arise out of excessive absenteeism or inability to get to a particular port of call.

The critical staff and the backups identified have sufficient experience and expertise to conduct vital operational processes. Through Emergency Operations center deployment plans, prior planning has been done to ensure all required resources are available should a crisis, disaster or other emergency that could compromise WSF's ability to conduct normal operations.

Critical staff and backups have been identified based on critical specialized skills that are required to continue to operate the state ferries system during disasters, emergencies, or incidents. Ferries management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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### Pandemic Exposure Risk

High

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Manage Facilities Leased by WSDOT	Administrative Services	ESF	.5 day(s)	19

## CONTINUITY STRATEGY

Ensuring the immediate and long term safety of employees returning to or relocating to alternate facilities is the primary continuity of operations responsibility of the Space and Lease Management Office (SLM). The responsibilities of this office are crucial to the continuity of operations of WSDOT Headquarters staff. The strategy includes assessing building damage, establishing safe zones for access, contracting vendors and contractors to repair damage, and ensuring work is completed quickly and correctly. All of this must be done in partnership with building owners/managers. The Administrative Services, Space & Lease Management Office coordinates the activities of the following teams during emergencies to safeguard lives and to support service delivery:

Each WSDOT leased facility develops and maintain an Emergency Action Plan to provide guidance for responding to and recovering from emergencies.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage Facilities Leased by WSDOT	Administrative Services	ESF	.5 day(s)	19

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue space and lease management services during disasters, emergencies, or incidents. The SLM manager will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Manage Facilities Owned by WSDOT	Highway Maintenance	ESF	.5 day(s)	20

### CONTINUITY STRATEGY

Immediately following a major event, Facility Damage Assessment teams in each region will assemble at their Emergency Operations Center (EOC) and coordinate to perform building safety assessments. Assessment will determine if a building can be occupied or not. Regional Managers and Headquarters Facilities will coordinate on establishing a program to address high priority corrections that would make facilities safe to occupy.

Immediately following an event, critical administrative functions would operate from the Region's EMCs, addressing emergent conditions. Non critical administrative functions, depending on the severity and nature of the event, may relocate to a contingency facility depending on availability of space. Repairs to facilities that house administrative functions may be required before those functions can report back to their normal work locations.

If buildings are determined to be unsafe to operate from, contingency maintenance facilities could be utilized in the short term to carryout the most critical highway maintenance operations. The list of facilities below identifies potential temporary home bases for operations in emergency situations. Coordination beyond this list will be assessed and determined by the Regional Manager, or Designee.

#### **NWR Corson Ave Regional HQ Complex**

- Bellingham Maintenance Facility
- Mt. Vernon Maintenance Facility
- Everett Maintenance Facility
- Kent Maintenance Facility
- Northup Maintenance Facility

#### **Wenatchee Region HQ Complex**

- Euclid Ave. Maintenance Facility
- Ephrata Maintenance Facility
- Okanogan Maintenance Facility

#### **Olympic Region HQ Complex**

- Lakeview Maintenance Facility
- Mullenix Maintenance Facility
- Pt Angeles Maintenance Facility
- Central Park Maintenance Facility

#### **Vancouver Region HQ Complex**

- Chehalis Maintenance Facility
- Raymond Maintenance Facility
- Goldendale Maintenance Facility

#### **Union Gap Region HQ Complex**

- Cle Elum Maintenance Facility
- East Selah Maintenance Facility
- Pasco Maintenance Facility
- Walla Walla Maintenance Facility

#### **ER HQ Complex**

- Wandermere Maintenance Facility
- Colfax Maintenance Facility
- Davenport Maintenance Facility
- Colville Maintenance Facility



**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage Facilities Owned by WSDOT	Highway Maintenance	ESF	.5 day(s)	20

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue management services during disasters, emergencies, or incidents. The Capital Facilities Office Administrator will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Manage Human Resources	Human Resources	ESF	.5 day(s)	21

### CONTINUITY STRATEGY

1. Ensure qualified management available to provide direction and control for Office of Human Resources.
2. Maintain basic office staffing for
  - a. Employee Relations
  - b. Labor Relations
  - c. Classification, Compensation, & Operations
  - d. Leave and Benefits
  - e. Recruitment
3. Utilize continuous cross-training to ensure backups and alternates understand the duties of critical staff.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage Human Resources	Human Resources	ESF	.5 day(s)	21

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue human resource services during disasters, emergencies, or incidents. Human Resources management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Maintain Information Technology Infrastructure	Information Technology	ESF	.5 day(s)	22

### CONTINUITY STRATEGY

1. Ensure staff safety and security.
2. Activate IT Disaster Recovery Plan
3. Perform assessment of service availability
4. Notify management and customers of service outages.
5. Perform impact analysis to determine infrastructure required to restore service
6. Reestablish connectivity to the system or alternate in the following order:
  - (1) Email System - Text messaging via cellular
  - (2) Blackberry System - Text messaging via cellular
  - (3) 511 System - WSDOT.wa.gov website
  - (4) Internet - Comcast Cable
  - (5) Traffic Cameras - None
  - (6) Phone System - Cell/Satellite Phones
  - (7) Fax Lines - Internet Fax
  - (8) Data Network - Cellular Wireless Data
  - (9) Intranet - Internet
  - (10) WSDOT Employee Hotline - Helpdesk at 705-7050
  - (11) Wireless Data Points - Cellular Wireless Data
7. If the following services are not available then the alternatives identified below will be used:
  - (1) Pagers - Cellular Phones
  - (2) Cellular Phones - Phone System
  - (3) Satellite Phones - Phone System
  - (4) GETS System - None
8. Recover the OIT mainframe computer, servers in the HQs building and the ELG building, applications, and then databases.
9. Verify service availability, notify management / customers of service restoration
10. Continue to monitor and reassess critical services
11. When return to normal operation is possible, plan the transition back to primary location / equipment that minimizes further service disruption.

The continuity strategy of IT is largely dependent on the priority of recovery based on business area priority. An up-to-date listing of business priority of recovery will be used to apply critical IT resources to the areas determined to be the most important.

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Maintain Information Technology Infrastructure	Information Technology	ESF	.5 day(s)	22

### CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue information technology services during disasters, emergencies, or incidents. Office of Information Technology management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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### Pandemic Exposure Risk

Low

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide the Public With Timely Information	Communication	ESF	.5 day(s)	23

**CONTINUITY STRATEGY**

The Communications Office participates in the Emergency Operations Center during an emergency or disaster. HQ staff work in shifts in support of the EOC. In the case of an extended or widespread emergency communications specialists from the regions supplement the HQ Communications Office staff.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide the Public With Timely Information	Communication	ESF	.5 day(s)	23

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue to provide the public with timely information during disasters, emergencies, or incidents. Communications Office managers will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Maintain Public Safety Communications	Traffic Operations	ESF	.5 day(s)	24

### CONTINUITY STRATEGY

To ensure public safety communications availability at all times public safety communications systems are all designed with survivability as a key component. The expectation is that all public safety communications systems will still be operational throughout a disaster. If there is any specific damage to the public safety communications systems infrastructure its' repair will be an immediate priority.

1. Confirm essential wireless communications are operational.
2. Facilitate the repair of any wireless communications systems not operating as required.
3. Work with regions and other public safety agencies to establish necessary supplemental communications.



**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Maintain Public Safety Communications	Traffic Operations	ESF	.5 day(s)	24

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue coordinating public safety communications during disasters, emergencies, or incidents. Traffic Operations management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Ensure Bridges are Safe	Bridge & Structures	ESF	1 day(s)	25

### CONTINUITY STRATEGY

Ensure qualified management available to provide direction and control for bridge engineering program.

Condition will determine who will be available and how the work will be accomplished.

The Bridge Consultant Liaison is supported by the Bridge Management Engineer who would also be the back-up.

Continuity resides entirely within the load rating unit within the bridge preservation office.

Backups will fill in if Primary person is unable to come to work.

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Ensure Bridges are Safe	Bridge & Structures	ESF	1 day(s)	25

### CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue bridges are safe during disasters, emergencies, or incidents. Bridge & Structures management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties. Backups are routinely used when the primary person is out of the office for work or vacation for extended periods of time.

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### Pandemic Exposure Risk

Medium

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Aviation Services	Aviation	ESF	1 day(s)	26

**CONTINUITY STRATEGY**

1. Ensure qualified management available to provide direction and control for aviation programs
2. Maintain basic office staffing for customer / agency contacts
3. Utilize continuous cross-training to ensure backups and alternates understand the duties of critical staff.

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Aviation Services	Aviation	ESF	1 day(s)	26

### CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue to provide aviation services during disasters, emergencies, or incidents. Aviation management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

1. Ensure qualified management available to provide direction and control for aviation programs
2. Maintain basic office staffing for customer / agency contacts
3. Utilize continuous cross-training to ensure backups and alternates understand the duties of critical staff

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### Pandemic Exposure Risk

Medium

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Statewide Project Development Services	Project Development	ESF	2 day(s)	27

## CONTINUITY STRATEGY

Ensure qualified management available to provide direction and control for engineering design services.

1. Initiate & maintain Division communications tree to assess availability of staff.
2. Contact Assistant Secretary for Engineering & Regional Operations - provide staff availability.
3. Ensure Engineering Design Services are available as needed:
  - Ensure availability of Hydraulics staff during storm / flooding event.
  - Ensure availability of Consultant Services / Contract Agreement staff.
  - Ensure continuity of payroll / administration functions.
  - Ensure availability of Geographical Services including Aerial Photography and Survey data.
4. Oversee remote work locations and continued communications through Division communications tree to ensure work task are covered and staff is briefed on the Department's ongoing actions.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Statewide Project Development Services	Project Development	ESF	2 day(s)	27

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue providing statewide engineering design services during disasters, emergencies, or incidents. Engineering Design management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Maintain Fiscal Operations	Accounting & Financial Services	ESF	2 day(s)	28

### CONTINUITY STRATEGY

Accounting and financial services must be available within 15 days to meet legal and regulatory requirements. To ensure services are available within the required time period:

1. Ensure qualified management available to provide direction and control for Accounting and Financial Services.
2. Ensure staff are cross trained in supporting the accounting and financial systems.
3. Work closely with IT Mainframe Operations to ensure accounting & financial systems are available. (See IT Mainframe Operations COOP)
4. In the event of a catastrophe that prevents staff from entering their place of work, each unit would have a minimal number of staff available to meet critical information and transaction processing needs throughout the emergency. These staff would need computing equipment, software access and connectivity for the duration of the emergency. The staff would perform only those duties critical to paying employees, paying vendors, billing other entities, receipting cash, providing information and managing agreement / contract / work order accounting services.
5. If either the original work site were reopened or the Department resumed normal operations at an alternate location, All staff will be recalled to resume accounting and financial services. Schedules will developed to bring up dormant services in a priority order.

If WSDOT HQ is unavailable, staff will report to alternate location TDB (Ken Cureton is working with Space & Lease Management and M&O Facilities Office on alternate locations)

### PAYROLL

First priority is Payroll processing dependent on DOP availability/accessibility. Staff must contact the DOP Service Center at 360-664-6400 or via email at [servicecenter@dop.wa.gov](mailto:servicecenter@dop.wa.gov).

### SYSTEMS

Second priority is to ensure that accounting & financial systems are available for use. The IT Helpdesk at 360-705-7050 is the first line of communication for determining mainframe, server, and network availability and alternative methods for accessing these systems.



## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Maintain Fiscal Operations	Accounting & Financial Services	ESF	2 day(s)	28

## CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue accounting and financial services during disasters, emergencies, or incidents. Accounting & Financial Services management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

### Order of Emergency Response Support

Payroll	Systems	Expenditure Accounting	Project Support and Receivables
Carl Greer	Dale Madera	Jennifer Heay	Bev Runion
Kimberly Corbett	Diane Frederickson	Dori Hill	Sam Thomas
Krista Fisher	Brent Pierson		Luis Millones
Cindy Bellus			Jodie Vosse

### **CAPS**

Carol Owen  
Linda Biederman

### **Financial Reporting and Consulting**

Daren Guyant  
Jodie Stanton  
Jim Richardson  
Sandy Carlson  
Basilio Dumlao  
Bridgitt Butcher  
Ramona Lovelace  
Jamie Langford

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### Pandemic Exposure Risk

Medium

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Coordinate Truck Freight Movement	Truck Freight	ESF	5 day(s)	29

## CONTINUITY STRATEGY

1. Determine work location and computer availability.
2. Communicate with IT to establish services
3. Establish phone communications with staff.
4. Contact all essential staff and have them gather at alternative facility if appropriate.
5. Coordinate with trucking industry; HQ staff; EOC; local government and non-governmental agencies; and regions.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Coordinate Truck Freight Movement	Truck Freight	ESF	5 day(s)	29

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue coordination of truck freight movement during disasters, emergencies, or incidents. Truck Freight management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Administrative Services	Administrative Services	ESF	5 day(s)	30

### CONTINUITY STRATEGY

1. Provide safe, secure facilities.
2. Provide records management services.
3. Provide administrative contract services - Ensuring that agency critical system contracts are accessible, acquire any new software, hardware, and services required for maintenance and repair following an incident. Strategies include assessing agency critical systems contracts; working with vendors to assess damage and coordinate all needed repairs to systems; work with partner state's for critical system contract back up; FEMA approved contract templates; ensure compliance with FEMA rules for emergency acquisitions.
4. Provide purchasing & materials management services - PMMO will coordinate with the existing network of regional supply offices and state agencies to provide effective response. The information from the inventory and ordering systems provide statewide visibility of supplies and materials already on-hand in the department's inventory and contacts for known sources of resupply. The information is accessible to supply personnel across the state so that if offices in one area are out of communication, personnel in an adjacent area can assist. The IT Resource Acquisition strategy for recovery and restoration is:
  - a. Notify critical PMMO IT Purchasing staff.
  - b. Determine if Mottman Building is safe and secure. Have an alternate worksite available.
  - c. Check power, phones, and electronic equipment.
  - d. Use prepared emergency response information to contact critical IT suppliers. All critical IT suppliers have PMMO IT Purchasing staff emergency contact information. PMMO IT Purchasing staff have critical supplier emergency contact information at Mottman and at home.
  - e.. Await prioritized list of IT recovery and restoration assets from IT Director.
  - f. Prepare manual or electronic purchase orders or call suppliers to order essential IT assets using prioritized list. WSDOT p-card will be used whenever feasible. If using a manual process, a purchase log will be maintained.
  - g. Notify IT Director of status, delivery mode, and estimated delivery times. Status up-dates will be provided daily.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Administrative Services	Administrative Services	ESF	5 day(s)	30

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue providing administrative services during disasters, emergencies, or incidents. Administrative Services management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

Low

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Records Management Services	Administrative Services	ESF	5 day(s)	31

### CONTINUITY STRATEGY

WSDOT will develop appropriate protective measures for their records and copies of their vital records to respond to actual or potential emergencies or disasters identified in contingency planning. This is the records management aspect of emergency management. Vital records are emphasized because they tend to have the greatest value in case of emergency or they require extra protection because they document legal or financial rights. The type and level of value determines the amount of protection WSDOT will provide. Special protective measures for vital records may include using fire-rated filing equipment for storage; constructing onsite vaults; transferring records to offsite storage; duplicating the records at the time of their creation, such as computer "backup" tapes, using existing duplicates as vital record copies; or microfilming vital records.

Additional protective measures are needed for records maintained on a medium other than paper. These "special records" require specific environmental conditions and careful handling throughout their life cycle to ensure their preservation. WSDOT will endeavor to maintain temperature and humidity controls for special records such as photographs and negatives, microforms, audio and video tapes and disks, and electronic tapes and disks.

When emergencies or disasters occur, however, even the best of protective measures may not prevent damage to records. Consequently, WSDOT will develop records recovery plans for timely and economical response to records disasters in order to salvage or replace damaged records and the information that they contain. Specifically WSDOT will:

1. Determine work location and computer availability.
2. Communicate with IT to establish services
3. Establish phone communications with staff.
4. Contact all essential staff and have them gather at alternative facility if appropriate.
5. Coordinate with regions.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Records Management Services	Administrative Services	ESF	5 day(s)	31

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue records management services during disasters, emergencies, or incidents. Records Management Services management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Coordinate Rail Freight & Passenger Movement	Rail & Marine	ESF	5 day(s)	32

**CONTINUITY STRATEGY**

1. Determine work location and computer availability.
2. Communicate with IT to establish services, if necessary.
3. Establish communications with staff and direct essential staff where and when to meet.
4. Coordinate with Amtrak and other sections of WSDOT (such as communication team).
5. Communicate with Chief of Staff on status.



**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Coordinate Rail Freight & Passenger Movement	Rail & Marine	ESF	5 day(s)	32

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue to coordinate rail freight and passenger movement during disasters, emergencies, or incidents. The Rail & Marine manager will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

**Function**

**Business Area**

**Type**

**RTO**

**#**

Provide Traffic Operations Oversight

Traffic Operations

ESF

5 day(s)

33

**CONTINUITY STRATEGY**

Ensure Traffic Operations performs well during incidents, emergencies, or disasters.

1. Maintain Public Safety Communications
2. Provide special permits for commercial vehicles.
3. Coordinate statewide TMC needs to ensure we maintain adequate coverage.
4. Ensure regions have adequate resources for delivering the Incident Response program.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Traffic Operations Oversight	Traffic Operations	ESF	5 day(s)	33

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue providing traffic operations coordination and oversight during disasters, emergencies, or incidents. Traffic Operations management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

## CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Highway Construction Oversight	Highway Construction	ESF	5 day(s)	34

## CONTINUITY STRATEGY

In the event of a major catastrophic event occurs.

Phase I – During this phase, most of the Construction Office Staff, (Roadway and Structures) would be in the field surveying damage. Office support personnel and the contract administration staff would need to have space, computing equipment, software access, and connectivity to perform its full duties.

Phase II – During this phase (within a day or two of phase 1), the State Construction office will have staff members available for Construction Contract support to the Region and Construction Project offices. The alternate work site must have computers with internet connectivity, phones, and mainframe and network support for e-mail and construction applications access.

Phase III – If either the original work site were reopened or the Department resumed normal operations at an alternate location, State Construction Office would require all staff to have space, computing equipment, software access, and connectivity to perform its full duties.

In the event that a major pandemic outbreak occurs.

The majority of the staff has multiple methods to access e-mails and carry cell phones. The sections of the office would take on work from their sick coworker. In the event of the entire section was sick i.e., roadway, the Administrative Support and Bridge Engineers would handle calls.

In the event of the problem becoming wider spread responsibilities could be temporarily delegated down to the Region Headquarters Construction Engineers.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Highway Construction Oversight	Highway Construction	ESF	5 day(s)	34

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue providing highway construction oversight during disasters, emergencies, or incidents. Highway Construction management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

**Medium**

**CONTINUITY PLAN**

**Function**

Coordinate Public Transportation

**Business Area**

Public Transportation

**Type**

ESF

**RTO**

10 day(s)

**#**

35

**CONTINUITY STRATEGY**

1. Determine work location and computer availability.
2. Communicate with IT to establish services
3. Establish phone communications with staff.
4. Contact all essential staff and have them gather at alternative facility if appropriate.
5. Coordinate with regions and public transportation organizations.

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Coordinate Public Transportation	Public Transportation	ESF	10 day(s)	35

### CRITICAL STAFF PLAN

Critical staff and backups have been identified based on critical specialized skills that are required to continue to coordinate public transportation during disasters, emergencies, or incidents. Public transportation managers will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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### Pandemic Exposure Risk

Medium

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Manage Toll Facilities	Tolling Operations	ESF	15 day(s)	36

### CONTINUITY STRATEGY

Continuity strategy for toll operations is provided for in the business rules for toll collection and back office functions with the toll vendor. Specific operational functions for in-lane toll operations are further detailed as part of the Operations Manual that was a required deliverable of the Toll System contract.



### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Manage Toll Facilities	Tolling Operations	ESF	15 day(s)	36

### CRITICAL STAFF PLAN

A combination of toll operations vendors are responsible for day to day operations for both in-lane toll collections and back office customer service. As part of their Operations Manual and established business rules, they provide and are responsible for the ongoing operations and maintenance of the toll operations.

In regards to critical staffing, WSDOT's contract oversight role does not include critical staffing needed to maintain the on-going operation. However, this oversight role does account for insuring that contractual requirements and financial accountability is maintained.

Critical staff and backups have been identified based on critical specialized skills that are required to continue this oversight role during disasters, emergencies, or incidents. Tolling Operations management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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### Pandemic Exposure Risk

Medium

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Provide Enterprise Risk Management Services	Risk Management	ESF	15 day(s)	37

### CONTINUITY STRATEGY

1. Ensure qualified management available to provide direction and control for risk management services.
2. Provide the minimal staff to ensure claims continue to be processed in a timely manner as required by statute.
3. Provide advice to management on reducing risk exposure while responding to incidents, emergencies, disasters, or pandemic flu outbreak.
4. In order to be up and running on a skeleton level during a phase one emergency, it would be necessary to have access to computers, the WSDOT intranet and probably telephones.
5. As the emergency winds down and returns to normal, our office needs would be the same. Though, the need to be able to access the OFM database and the internet would increase. We would need these items in order to provide claims service to the general public.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Provide Enterprise Risk Management Services	Risk Management	ESF	15 day(s)	37

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue risk management services during disasters, emergencies, or incidents. Risk Management managers will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

Low

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Protect the Environment	Environmental Services	ESF	15 day(s)	38

**CONTINUITY STRATEGY**

The Environmental Services Office will initially use the smallest number of staff to monitor statewide WSDOT environmental needs and directives from natural resource agencies. The ESO will respond to those needs by bringing in expertise as needed.

**CONTINUITY PLAN**

<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Protect the Environment	Environmental Services	ESF	15 day(s)	38

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue providing environmental services during disasters, emergencies, or incidents. Environmental Services management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**

Low

### CONTINUITY PLAN

Function	Business Area	Type	RTO	#
Manage Internal Audit Program	Internal Audit	ESF	30 day(s)	39

### CONTINUITY STRATEGY

Internal Audit must be available within 30-days to ensure the Agency can meet its legal and regulatory requirements.

- 1) Ensure Internal Audit management is available to provide support and make recommendations to WSDOT management.
- 2) Provide guidance to WSDOT management ensuring proper internal controls are implemented during catastrophic emergencies.
- 3) If Internal Audit Office is unavailable, staff will report to alternate location TBD (Ken Cureton is working with Space & Lease Management and M&O Facilities Office on alternate locations)

#### Advisory

The first priority of the Internal Audit Office during a catastrophic emergency is to act in an advisory role ensuring WSDOT is in compliance with legal and regulatory requirements.

**CONTINUITY PLAN**

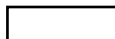
<b>Function</b>	<b>Business Area</b>	<b>Type</b>	<b>RTO</b>	<b>#</b>
Manage Internal Audit Program	Internal Audit	ESF	30 day(s)	39

**CRITICAL STAFF PLAN**

Critical staff and backups have been identified based on critical specialized skills that are required to continue the essential parts of the internal audit program during disasters, emergencies, or incidents. Internal Audit Office management will track availability and location of critical staff manually. Critical staff backups and alternates are cross-trained in the critical functions needed to operate during an emergency as an ongoing part of their duties.

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**Pandemic Exposure Risk**







## **FACILITY EMERGENCY ACTION PLANS**

It is the intent of the Washington State Department of Transportation (WSDOT) to sustain essential functions during emergencies while supporting and protecting employees and the public visiting WSDOT facilities. Major facilities are those locations where WSDOT leadership and staff operate. These facilities are dispersed across many locations and connected by communications systems. Facilities should be able to provide staff with survivable protection and should enable continued and enduring operations.

Each facility should have a facility manager identified who has responsibility for developing and maintaining the Facility Emergency Action Plan. The Space and Lease Management Office will ensure that each leased facility in the Olympia area has a facility manager assigned. The Capital Facilities Office similarly will ensure that each WSDOT owned facility has a facility manager assigned.

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### **CLOSING CONDITIONS**

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Adverse emergencies may create difficulty for employees to report to work or make it advisable for employees to leave early. Employees who anticipate problems with transportation are encouraged to exercise personal judgment concerning road safety in their areas. Employees may use vacation leave, sick leave, or compensatory leave depending on the nature of the emergency.

Emergency closing conditions are conditions that necessitate closing WSDOT facilities or curtailment of operations. Conditions that may be hazardous to life or safety and may warrant closing include: catastrophic life threatening weather (snow, ice, hurricane, tornado, earthquake, flood or other natural disaster), fire equipment failure, disruption of power and/or water, contamination by hazardous agents, terrorist acts or forced evacuations from the agency or work site.

If the emergency occurs overnight - The decision to delay the arrival of staff or to release staff will be made by the Secretary or designee following the evaluation of local area road conditions and forecasts. When possible, the decision should be made by 5:00 a.m. to enable notification in time for all to plan for the day appropriately.

The decision to close agency facilities will be made by the Secretary or their designee and will only be implemented in the most extreme conditions.

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### **FACILITY EMERGENCY ACTION PLAN CONTENTS**

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Each major WSDOT facility will have a Facility Emergency Action Plan. These plans will include Action Plans for Natural Disasters, Facility Emergencies, Medical Emergencies, and Security Breaches along with Evacuation Routes, Plans for Assisting Persons with Disabilities, Emergency Response Team Plans, Alternate Facility Plans, and

#### **ACTION PLANS FOR NATURAL DISASTERS**

Facility Emergency Action Plans should include action plans for dealing with the following natural disasters.

- Earthquakes

- Electrical Storms
- Floods
- Ice Storms
- Snowstorms and Blizzards
- Epidemics/Pandemics
- Volcanic Eruptions

### **ACTION PLANS FOR FACILITY EMERGENCIES**

Facility Emergency Action Plans should include action plans for dealing with the following facility emergencies.

- Fire
- Loss of Utilities/Services
- Equipment/System Failure
- Gas Leaks
- Accidental Contamination/Hazardous Materials Spills

### **ACTION PLANS FOR MEDICAL EMERGENCIES**

Facility Emergency Action Plans should include action plans for dealing with the following medical emergencies.

- Heart Attack (Defibrillator Locations)
- Allergic Reaction, Asthma Attacks, and Breathing Problems

### **ACTION PLANS FOR SECURITY BREACHES**

Facility Emergency Action Plans should include action plans for dealing with the following security breaches.

- Lost Child (Code Adam Alert)
- Mail Precautions, Suspicious Packages, Bomb Threats, and Other Threats of Violence
- Chemical, Biological, Radiological or Nuclear Incidents
- Workplace Violence/Active Shooter
- Other Security Breaches

### **EVACUATION ROUTES**

Facility Emergency Action Plans will identify evacuation routes and assembly areas to be used in case of fire, earthquake, gas leak, explosion, etc.

## PLANS FOR ASSISTING PERSONS WITH DISABILITIES

Facility Emergency Response Plans must include provisions for transportation and evacuation assistance for persons with disabilities including mobility impairments, visual impairments, hearing impairments, speech impairments, and cognitive impairments. Staff and visitors must be made aware of these provisions whenever using WSDOT facilities. The National Fire Protection Association (NFPA) Emergency Evacuation Planning Guide for People with Disabilities should be used to incorporate emergency evacuation procedures for people with disabilities into the Facility Emergency Response Plans. A copy of the NFPA Emergency Evacuation Planning Guide can be found on the Continuity of Operations SharePoint site at <http://sharedot/srvcs/conops/References/Forms/AllItems.aspx>.

### EMERGENCY RESPONSE TEAM PLANS

Emergencies that cause evacuation of facilities may involve damage to those facilities and injuries to WSDOT staff. In the immediate aftermath of an emergency, professional first responders may take time to arrive on the scene or may not be immediately available. Therefore WSDOT must rely on volunteer emergency response teams at major facilities to provide immediate emergency response prior to arrival of professional responders. Suggested training for these volunteers includes Community Emergency Response Team (CERT), CPR & First Aid, Incident Command System (ICS), and National Incident Management System (NIMS) training as described below.

- **Community Emergency Response Team Training** – Emergency Response Team Members need to complete the Community Emergency Response Team (CERT) Program. The CERT Program is a 20 hour training program that covers basic disaster response skills, such as fire safety, light search and rescue, team organization, and disaster medical operations. Using the training learned in the classroom and during exercises, CERT members can assist others in their neighborhood or workplace following an event when professional responders are not immediately available to help.
- **First Aid/CPR/AED Training** – Emergency Response Team members also need to complete First Aid/CPR/AED training. The Red Cross Chapters offer Adult CPR-AED & First Aid classes. These classes include CPR, rescue breathing, first aid for choking, and use of an automated external defibrillator (AED) for victims of sudden cardiac arrest, control of bleeding and care for muscle, bone and joint injuries, sudden illness, and burns. The course takes 7-7.5 hours and there is a fee for taking the course. Other classes are acceptable if they cover similar subject matter.
- **Incident Command System (ICS)** – This course introduces the Incident Command System (ICS) and provides the foundation for higher level ICS training. This course describes the history, features and principles, and organizational structure of the Incident Command System. It also explains the relationship between ICS and the National Incident Management System (NIMS). This free class is available from the Washington State Office of Emergency Management and from the Federal Emergency Management Agency (FEMA) Emergency Management Institute <http://training.fema.gov/IS/crslist.asp> with Course Code IS-100.b.
- **National Incident Management System (NIMS)** - This course introduces and overviews the National Incident Management System (NIMS). NIMS provides a consistent nationwide template to enable all government, private-sector, and nongovernmental organizations to work together during domestic incidents. This free class is available from the Washington State Office of Emergency Management and from the Federal Emergency Management

Agency (FEMA) Emergency Management Institute <http://training.fema.gov/IS/crslist.asp> with Course Code IS-700.a.

It is also recommended that Facility Emergency Action Plans include provisions for an Emergency Response Team (ERT) Coordinator. The ERT Coordinator will conduct recruitment efforts to encourage volunteers for the facility Emergency Response Team. The Coordinator will maintain regular communication with team members. The ERT Coordinator will plan exercises and training to improve team cohesiveness and response. The Coordinator will ensure that all ERT members are readily identifiable during an emergency. The ERT Coordinator will also encourage all ERT members to have complete annual refresher classes ERT. Upon completion of the immediate response to an emergency, Emergency Response Team Members will be released to resume their normal duties or to assist in other emergency roles. In addition to the courses identified for ERT volunteers, it is recommended that the ERT Coordinator take the following course.

- **Developing and Managing Volunteers** – This course provides procedures and tools for building and working with volunteers. It includes building a volunteer program and developing volunteers through recruitment, placement, training, supervision and evaluation. This free class is also available from the Federal Emergency Management Agency (FEMA) Emergency Management Institute <http://training.fema.gov/IS/crslist.asp> with Course Code IS-244.a.

### **ALTERNATE FACILITY PLANS**

Facility Emergency Action Plans should also identify potential alternative facilities that can be used if the primary facility cannot be used. In the event of an emergency or threat, identifying an alternate facility capable of supporting essential operations, positions and personnel is critical. These facilities shall be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility and/or the collective protection characteristics of the facility. In acquiring and equipping such facilities, consider cooperative interagency agreements and promote the sharing of identified alternate facilities. Issues to be considered include:

- Capability of sustained use
- Dual Use
- Transportation of personnel to/from the alternative site
- Lodging requirements
- Telecommuting, work-from-home
- Co-location with other agencies
- Virtual environments

Alternate facilities **MUST** provide:

- Immediate capability and reliable support services to perform essential functions under various threat conditions, including threats involving weapons of mass destruction;
- Interoperable communications with all identified essential internal and external organizational, critical customers, and the public;
- Sufficient space and equipment to sustain the relocating organization. Since the need to relocate may occur without warning, or access to normal operating facilities may be denied,

agencies are encouraged to pre-position and maintain minimum essential equipment for continued operations at the alternate or shared operating facilities;

- Ability to sustain operations for a period of up to 30 days or termination;
- Consideration of the health, safety, and emotional well-being of relocated employees including accommodations for people with disabilities;
- Appropriate physical security and access controls; and
- Reliable logistical support and infrastructure systems including water, electrical power, heating and air conditioning, etc.

Each facilities manager must also make provisions for required services that are not provided as part of the alternate facility. Such services may include but are not limited to:

- Delivery of mail by the US Postal Service;
- Local and national courier services;
- Transportation to the alternate facility and between the alternate facility and location of lodging, food and other necessities.

### **AWARENESS, TESTS, TRAINING, AND EXERCISES**

Facilities managers need to include communications plans that provide a means to let staff and visitors know of the existence of the Facility Emergency Action Plan and its contents along with plans for tests, training, and exercises in the Facility Emergency Action Plans.

## **FACILITY EMERGENCY ACTION PLAN STATUS**

The Space and Leas Management Office and the Capital Facilities Office will ensure that Facility Managers complete and maintain their Facility Emergency Action Plans. Table 10 below lists the major WSDOT facilities and the status of their Facility Emergency Action Plans.

**Table 10  
Facility Emergency Action Plan Status**

Facility	Street	City	Occupancy (#)	Manager	Lease/ Own	EAP Date	Status
Aviation	Arlington	Arlington		Unknown	L	No	3
Cap View II	724 Quince St SE	Olympia		Unknown	L	No	3
Cap. Professional Ctr-HQ	719 Sleater Kinney Rd SE	Lacey		Unknown	L	xx/xx/08	2
E Region Traffic Maint Ctr	221 W. 1 <sup>st</sup>	Spokane		Unknown		No	3
Eastern Region Construction	2828 N Mayfair St	Spokane		Unknown	O	No	3
Eastern Region HQ	2820 N Mayfair St	Spokane		Unknown	O	No	3
Eastern Region HQ	2714 N Mayfair St	Spokane		Unknown	O	No	3
Eastern Region Signals	3 E Gordon St	Spokane		Unknown	O	No	3
Eastern Region TEF	221 E North Foothills Dr	Spokane		Unknown	O	No	3
Eastern Region-RES	230 E Cleveland Ave	Spokane		Unknown	O	No	3
Eastern Region-RES	206 E Cleveland Ave	Spokane		Unknown	O	No	3
Edna Lucille Goodrich Bldg	7345 Linderson Way SW	Tumwater		Unknown	L	06/03/08	2
ER Area 1-Maint	12223 N Division St	Spokane		Unknown	O	No	3
ER Area 2-Maint.	43101 Hwy 195	Colfax		Unknown	O	No	3
ER Area 3-Maint	1407 N Morgan St	Davenport		Unknown	O	No	3
ER Area 4-Maint	440 N Hwy 395	Colville		Unknown	O	No	3
ER PEO (w/WSP)	7421 E 1 <sup>st</sup> Ave	Spokane Valley		Unknown		No	3
ER-striping-Maint	7211 W Thorpe Rd	Spokane		Unknown	O	No	3

Facility	Street	City	Occupancy (#)	Manager	Lease/ Own	EAP Date	Status
Geographic Services Office	818 79 <sup>th</sup> Ave SE, Sue B	Tumwater		Unknown	L	xx/xx/08	2
HQ Region Building	310 Maple Park Ave SE	Olympia		Unknown	L	xx/xx/11	2
Materials Lab	1655 S 2nd Ave SW	Tumwater		Unknown	O	02/02/10	2
Mottman-HQ	2214 RW Johnson Rd SE	Tumwater		Unknown	O	xx/xx/08	2
NC Region HQ	1551 North Wenatchee Ave	Wenatchee		Unknown	O	No	3
Northwest Region PEO	1715 228th Street SE	Bothell		Unknown	L	No	3
Northwest Region PEO	1043 Goldenrod Road	Burlington		Unknown	L	No	3
NW Region HQ	15700 Dayton Ave N	Seattle		Unknown	O	No	3
NW Region PEO	12277 134th Court NE	Redmond		Unknown	L	No	3
NW Region PEO	9029 El Capitan Way	Everett		Unknown	O	No	3
NW Region PEO	9021 El Capitan Way	Everett		Unknown	O	No	3
NW Region PEO	1415 Pacific Drive	Burlington		Unknown	?	No	3
NW Region PEO	450 Stuart Road	Bellingham		Unknown	L	No	3
NW Region PEO	2802 Wetmore Avenue	Everett		Unknown	O	No	3
NWR	6431 Corson Ave S	Seattle		Unknown	O	No	3
NWR Area 1-I-5 tunnels	10833 Northup Way NE	Bellevue		Unknown	O	No	3
NWR Area 1-Maint-West	3920 Airport Way	Bellingham		Unknown	O	No	3
NWR Area 3-Maint-West	709 North Broadway	Everett		Unknown	O	No	3
NWR Area 4-Maint-West	26620 68th Avenue South	Kent		Unknown	?	No	3
NWR PEO	14711 Ne 29th Place	Bellevue		Unknown	L	No	3
NWR PEO	6505 216th St. SW	Mt.Lake Terrace		Unknown	L	No	3
NWR Risk Mgmt	909 Main St, Ste 1a	Monroe		Unknown		No	3
Olympic Region	950 Broadway	Tacoma		Unknown	L	No	3
Olympic Region HQ`	5720 Capitol Blvd S, Bldg 7	Tumwater		Unknown	O	No	3
Olympic Region PEO	1614 S Mildred, Ste M	Tacoma		Unknown	L	No	3
Olympic Region PEO	11203 Bridgeport Way SW	Lakewood		Unknown	L	No	3
Olympic Region PEO	6639 Capitol Blvd SW	Tumwater		Unknown	L	No	3
Olympic Region PEO	821 Airport Ct SE	Tumwater		Unknown	L	No	3
Olympic Region PEO	7912 Martin Way	Olympia		Unknown	L	No	3
Olympic Region PEO	1011 10th Ave SE	Olympia		Unknown	L	No	3
Olympic Region PEO/Maint	1411 Rush Road	Chehalis		Unknown	O	No	3
Olympic Region Utilities	150 Israel Rd SW	Tumwater		Unknown	L	No	3
OR Area 1-Maint	11211 41st Ave SW	Lakewood		Unknown	O	No	3
OR Area 2-Maint	8293 Spring Creek Rd SE	Port Orchard		Unknown	O	No	3
OR Area 4-Maint-Aberdeen E.	4801 Olympic Hwy	Aberdeen		Unknown	O	No	3
OR-Trans System Mgmt Ctr.	2505 112th St E	Parkland		Unknown	O	No	3
Real Estate Services-HQ	243 Israel Rd SE	Tumwater		Unknown	L	No	3
SC Region HQ	2809 Rudkin Road	Union Gap		Unknown	O	No	3
SW Region HQ	11018 Ne 51st Circle	Vancouver		Unknown	O	No	3
SWR Area 1-Maint PEO	2400 Talley Way	Kelso		Unknown	O	No	3
SWR Area 3-Maint	103 5th Street	Raymond		Unknown	O	No	3
SWR Area 4-Maint	Goldendale	Goldendale		Unknown	O	No	3
SWR Main Vehicle Repair Shop	4100 Main St, Bldg 2	Vancouver		Unknown	O	No	3
Toll Group	3214 50th St Ct NW	Gig Harbor		Unknown	L	No	3
Town Center 3	243 Israel Rd SE, Ste 100	Tumwater		Unknown	L	02/xx/09	2
Transportation Commission	2404 Chandler Ct SW	Olympia		Unknown	L	No	3
UCO	401 Second Avenue South	Seattle		Unknown	L	No	3
UCO PEO	600 108th Avenue NE	Bellevue		Unknown	O	No	3
UCO PEO	3241 118th Avenue SE	Bellevue		Unknown	O	No	3
UCO Viaduct Office (Consult.)	999 Third Avenue	Seattle		Unknown	?	No	3
UCO-SR 520 Office	Plaza 600 Bldg, 600 Stewart St.	Seattle		Unknown	L	No	3
WSF HQ	2901 3rd Ave	Seattle		Unknown	L	No	3
WSF Storage	6000 6th Ave S	Seattle		Unknown	L	No	3
WSF Training Office	9930 Evergreen Way	Everett		Unknown	L	No	3

STATUS KEY

- 1 Plan completed and contains required information
- 2 Plan completed but it does not contain required information
- 3 Plan not completed

## STAFFING GUIDELINES

It is the intent of the Washington State Department of Transportation (WSDOT) to sustain essential functions during emergencies while supporting and protecting employees and the public visiting WSDOT facilities. The goals of WSDOT staffing guidelines are to:

- Provide adequate staffing to those transportation functions identified as vital throughout the emergency period.
- Allow transportation resources to be available state-wide to respond to localized issues.
- Allow the flexibility and resources for public transportation and freight organizations to respond to local issues that may arise.

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## SUSPENDED OPERATIONS

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When it is determined that public safety, health, or property is jeopardized due to emergency conditions, the Secretary or designee may suspend operations for the entire agency or any portion of the organization. Employees not required to work during suspended operations will be allowed to use their personal holiday, accrued vacation leave, accrued compensatory time, or leave without pay to account for the time lost due to the closure. Employees may also be released without a loss in pay or given a reasonable opportunity to make up time lost as a result of suspended operations. Suspended operations will not exceed 15 calendar days without the approval of the Department of Personnel Director.

Detailed information on suspended operations is available in Chapter 8, Section XV, WSDOT Human Resource Desk Manual at <http://wwwi.wsdot.wa.gov/NR/rdonlyres/81EF7F23-E92F-4C5C-AACD-85E9C0A15ACD/0/Chapter82.pdf>

Absences due to inclement weather may be charged as Leave without Pay (LWOP) or the employee may use paid leave in the following order: compensatory time, exchange time, vacation leave, and sick leave. Employees may only use sick leave for inclement weather up to a maximum of three (3) days in any calendar year.

Additional information on absence due to inclement weather is available in Chapter 8, Section XVI, WSDOT HR Desk Manual at <http://wwwi.wsdot.wa.gov/NR/rdonlyres/81EF7F23-E92F-4C5C-AACD-85E9C0A15ACD/0/Chapter82.pdf>

Employees need to determine if they need to stay home or report for duty by one of the following:

- Employees may choose to access the agency website at: <http://www.wsdot.wa.gov> to receive the latest information regarding agency emergency status.
- Headquarters area employees may call the designated emergency line at: (360) 709-8050.
- Regional employees should call their local emergency line.

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## **EMERGENCY STAFFING PLAN**

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All business areas must identify primary critical staff required to support essential functions and designate backup staff and alternative backup staff. All backup and alternative backup staff should receive cross training as discussed below.

### **CROSS TRAINING**

All designated critical staff backups and alternate must receive appropriate training to be able to carry out the duties of primary critical staff. Business areas have identified training plans for alternates and backups. In carrying out these training plans supervisor/manager and staff responsibilities are as follows:

#### **SUPERVISOR/MANAGER RESPONSIBILITIES**

- Promote employee development using available training resources.
- Evaluate employee performance and training needs on an annual or as needed basis.
- Review the employee's recommended training plan with the option to waive recommended training in which the employee demonstrates competency.
- Identify training needs and schedule appropriate training in conjunction with the employee.
- Assure employees are provided an opportunity to attend needed and obligatory training.
- Identify, prioritize and communicate work unit training needs.
- Assist in achieving department strategic objectives by ensuring that employees attend applicable obligatory training and other needed training.

#### **STAFF RESPONSIBILITIES**

- Identify training needs in conjunction with the supervisor.
- Attend, participate in scheduled training, and apply acquired knowledge, skills and abilities to assigned duties and tasks.
- Participate in the evaluation of training.

Additional information is available in Chapter 14, WSDOT Human Resource Desk Manual at <http://www.wsdot.wa.gov/NR/rdonlyres/62EDEA23-EB6A-40A3-835C-8E0AB9BD983C/0/ch14training.pdf>.

For many emergencies, most WSDOT staff will continue their normal duties. Critical staff (primary, backup, or alternate backup) assigned to essential functions affected by the emergency will be the first to be affected by the emergency. In addition staff are required to assist in responding to the emergency then non-critical staff assigned to essential functions may be reassigned as discussed below. If the emergency is widespread or has a significant impact non-critical staff from other functions may be reassigned as discussed in Job Reassignment below.



## JOB REASSIGNMENT

During an emergency it may be necessary to temporarily reassign staff to other duties because of non-availability of critical staff, their backups, and alternates or because of higher workloads associated with specific essential functions. During this period policies, procedures, and work methods may need to be modified or terminated. Operations may be moved to other locations and work hours adjusted. Once the emergency is past, every effort will be made to restore normal operations as soon as possible.

Additional information is available in the collective bargaining agreements between the State of Washington and the WFSE at [http://www.ofm.wa.gov/labor/agreements/07-09/wfse/wfse\\_gg.pdf](http://www.ofm.wa.gov/labor/agreements/07-09/wfse/wfse_gg.pdf), the International Federation of Professional and Technical Engineers Local 17, AFL-CIO at <http://www.ofm.wa.gov/labor/agreements/07-09/117/117.pdf>, and various Ferries Division unions located at <http://wwwi.wsdot.wa.gov/HR/Staff/LaborRelations.htm>.

During an emergency, staff may be reassigned or volunteer to serve on emergency support teams where they will perform general tasks such as answering phones or serving as runners for the headquarters or regional emergency operations centers. As an alternative, non-critical staff may wish volunteer for the emergency operations center teams.

### EMERGENCY SUPPORT TEAMS

The emergency support teams will provide auxiliary assistance to Emergency Operations Center Teams by answering phones or serving as runners to carry instructions or messages when phone or radio services are not available. Each region will identify someone to coordinate the Emergency Support Teams along with a backup and an alternate. The Emergency Support Team coordinator, backup, and alternate will complete the no-cost Emergency Management Institute (EMI) online course IS-244 Developing and Managing Volunteers located on the EMI website: <http://training.fema.gov/EMIWeb/IS/is244.asp> in addition to the two courses discussed under Emergency Operations Center Teams below.

. The Emergency Support Team coordinator will operate under the direction of the Incident Commander serving in the Emergency Operations Center. During the emergency the Emergency Support Team coordinator will manage and track volunteers/assigned staff.

### EMERGENCY OPERATIONS CENTER TEAMS

WSDOT staff not assigned to an essential function may volunteer or be assigned to assist in Headquarters or Regional Emergency Operations Centers during an emergency. Volunteers who wish to assist during an emergency should contact the WSDOT Office of Emergency Management. The Office of Emergency Management will maintain a roster of trained staff and coordinate their assignments during an emergency.

The Office of Emergency Management provides two free classes that volunteers and assigned staff are encouraged to attend:

**0100 Incident Command System (ICS)** – This course introduces the Incident Command System (ICS) and provides the foundation for higher level ICS training. This course describes the history, features and principles, and organizational structure of the Incident Command System. It also explains the relationship between ICS and the National Incident Management System (NIMS).

**0700 National Incident Management System (NIMS)** - This course introduces and overviews the National Incident Management System (NIMS). NIMS provides a consistent nationwide template to

enable all government, private-sector, and nongovernmental organizations to work together during domestic incidents.

While volunteers and assigned staff are not required to take these classes, they may be helpful in understanding how an emergency is managed. In addition, the Office of Emergency Management provides monthly EOC training that all volunteers and assigned staff are encouraged to attend. To sign up for the classes or the monthly EOC training, please contact the WSDOT Office of Emergency Management.

## **ADMINISTRATIVE REASSIGNMENT**

Permanent and probationary employees may also be reassigned on a temporary basis to their personal residence. During this time they will receive their regular salary and may be assigned work. Approving authorities are authorized to administratively reassign employees for a maximum of two scheduled work shifts. Appointing authorities may approve administrative reassignment for up to 15 calendar days. Executives must receive immediate notification of all administrative reassignments and may approve extensions up to a total of 30 calendar days per incident. The Chief of Staff must approve further extensions. Employees may be administratively reassigned for the following reasons:

- To permit employees to remain at or return to their personal residence due to a closure of the employee's workstation.
- To permit employees to get some rest if, after performing civil duties during off-duty hours, they are too fatigued to work their regularly scheduled shift. Up to four hours of an employee's scheduled shift may be granted for this purpose.
- To permit employees to get some rest before/after being called to perform emergency work during off-duty hours. Up to four hours of an employee's regularly scheduled shift may be granted for this purpose.

Additional information is available in Chapter 8, Section XIV of the WSDOT HR Desk Manual at <http://www.wsdot.wa.gov/NR/rdonlyres/81EF7F23-E92F-4C5C-AAACD-85E9C0A15ACD/0/Chapter82.pdf>

## **TELEWORK**

Telework may be utilized in conjunction with administrative reassignment to allow for staff to continue performing their job from their home. WSDOT is committed to implementing remote work arrangements as broadly as possible to take full advantage of the potential of telework during emergencies. Telework may encompass access to the WSDOT Intranet, teleconferencing, videoconferencing as well as access to the internet depending on the requirements of the work to be done and the access the staff member has to specific technologies.

Snow storms, large-scale road closures, demonstrations or other events that temporarily shut down portions of urban areas – any of these may necessitate closure of some WSDOT offices. However, the event causing the closure may not affect individuals who are teleworking on that day, or who could telework on that day. Agencies may therefore require teleworkers to work when the agency is closed for this kind of emergency.

Any requirement that an employee continues to telework if WSDOT closes (or dismisses employees early) on his or her telework day or on any of his or her regularly scheduled workdays should be included in the employee's telework agreement. Managers may excuse a telework employee from duty during an

emergency situation if the emergency adversely affects the telework site (e.g., disruption of electricity, loss of heat, etc.), if the teleworker faces a personal hardship that prevents him or her from working successfully at the telework site, or if the teleworker's duties are such that he or she cannot continue to work without contact with the regular worksite.

## **TELEWORK ROLE IN MAINTAINING CONTINUITY OF OPERATIONS**

The primary goal of continuity of operations is the continuation of essential functions. Continuity of operations is intended to be short-term. It must be functional within 12 hours and may last up to 30 days. Telework can play a vital role in helping WSDOT maintain essential functions. Supervisor/manager and teleworker responsibilities for telework during activation of the COOP Plan are as follows:

### **Supervisor/Manager Responsibilities**

- Understand the agency COOP plan and management roles in executing the plan.
- Notify employees designated as essential personnel for COOP.
- Communicate expectations both to COOP and non-COOP employees regarding what steps they need to take in case of an emergency.
- Establish communication processes to notify COOP and non-COOP employees of COOP status in the event of an emergency.
- Integrate COOP expectations into telework agreements as appropriate.
- Allow essential personnel who might telework in case of an emergency to telework regularly to ensure functionality.

### **Teleworker Responsibilities**

- Maintain a current telework agreement detailing any COOP responsibilities, as appropriate.
- Practice telework regularly to ensure effectiveness.
- Be familiar with agency and workgroup COOP plans and individual expectations during COOP events.

## **TELEWORK DURING A PANDEMIC**

Telework offers significant assistance in slowing the spread of influenza by keeping face-to-face contact to a minimum (often referred to as "social distancing") while maintaining operations as close to normal as possible. Telework can also help agencies retain functionality as infrastructure issues and other challenges make the main worksite difficult to access.

The key to successful use of telework in the event of a pandemic health crisis is an effective routine telework program. As many employees as possible should have telework capability (i.e., current telework arrangements, connectivity, and equipment commensurate with their work needs and frequent enough opportunities to telework to ensure all systems have been tested and are known to be functional). This may entail creative thinking beyond current implementation of telework, drawing in employees who otherwise might not engage in remote access and ensuring their effectiveness as a distributed workforce. Supervisor/manager and teleworker responsibilities in regard to a pandemic are as follows:

## **Supervisor/Manager Responsibilities**

- Implement telework to the greatest extent possible in the workgroup so systems are in place to support successful remote work in an emergency.
- Communicate expectations to all employees regarding their roles and responsibilities in relation to remote work in the event of a pandemic health crisis.
- Establish communication processes to notify employees of activation of this plan.
- Integrate pandemic health crisis response expectations into telework agreements.
- With the employee, assess requirements for working at home (supplies and equipment needed for an extended telework period).
- Determine how all employees who may telework will communicate with one another and with management to accomplish work.
- Identify how time and attendance will be maintained.

## **Teleworker Responsibilities**

- Maintain current telework agreement specifying pandemic health crisis telework responsibilities, as appropriate.
- Perform all duties assigned by management, even if they are outside usual or customary duties.
- Practice telework regularly to ensure effectiveness.
- Be familiar with agency and workgroup pandemic health crisis plans and individual expectations for telework during a pandemic health crisis.

Additional details on telework and alternative worksites is available in the Telework Manual located at: <http://www.wsdot.wa.gov/Publications/Manuals/M3020.htm>.

## **HIRING FLEXIBILITIES**

Due to a high number of absences during or after an emergency, it may be necessary to temporarily fill a position with a nonpermanent employee until the permanent employee returns to work or recruitment can begin for a permanent replacement in the case where the permanent employee is deceased. In general:

- Nonpermanent appointees must meet the position specific qualifications of the position to which they are appointed.
- Nonpermanent appointments are allowed either from outside state service or from within state service.
- Nonpermanent employment should be limited to twelve months. However, a nonpermanent appointment may last as long as 24 months.
- Extensions beyond 24 months must be approved by the Department of Personnel

Additional details on nonpermanent appointments are available in Chapter 22, Section III, WSDOT Human Resource Desk Manual, at <http://www.wsdot.wa.gov/NR/rdonlyres/023968FC-E9BE-4D5C-B2C0-69C889C4D6B3/30701/Chapter23.pdf>.

Once source of nonpermanent employees who are already familiar with WSDOT operations would be retired WSDOT employees. These former employees could be an asset in times of emergency or during the recovery phase.

Rules for employing retired state employees are available in Chapter 22, Section V, WSDOT Human Resources Desk Manual, at <http://wwwi.wsdot.wa.gov/NR/rdonlyres/023968FC-E9BE-4D5C-B2C0-69C889C4D6B3/30701/Chapter23.pdf>.

Another option for temporarily staffing for absent permanent state employees would be to utilize volunteers. While many of the WSDOT positions require specific skills, there might be opportunities to utilize volunteer help on a short-term basis if someone with appropriate skills volunteers to help out for the duration of an emergency or to assist during recovery.

Details for volunteer service can be found in Chapter 22, Section V, WSDOT HR Desk Manual, at <http://wwwi.wsdot.wa.gov/NR/rdonlyres/023968FC-E9BE-4D5C-B2C0-69C889C4D6B3/30701/Chapter23.pdf>.

## **CONTRACTOR FLEXIBILITY**

In a number of cases, contractors are utilized to supplement permanent employees for specific projects. Some of these projects may support essential functions and it will become necessary to have contractors available during emergencies. There would not be sufficient time to let a new contract or renegotiate an existing contract. In general highway construction and maintenance contracts provide provisions for the contracting firm to find contracting staff to replace contracting staff that are not available. Various templates and instructions used in developing contracts provide for flexibility in the contract that could be used in case of an emergency. These include:

- AAG Contract Template, page 17, Article X Subcontracting, Section 10.4, “WSDOT may, in the exercise of its discretion and judgment, identify certain of Vendor’s employees as key personnel, and if so, the Vendor shall take all necessary steps to assure that said Vendor’s employees are available and assigned to the work as long as said employees are employed by Vendor.”
- WSDOT Personal Service Contract Template, page 16, Section 27 Subcontractors, “Vendor may, with prior written permission from WSDOT Contract Administrator, which consent shall not be unreasonably withheld, enter into subcontracts with third parties for its performance of any part of Vendor’s duties and obligations.”
- WSDOT Work Request Instructions, page 11, 3.29 Termination of Assigned Contractor, “WSDOT may, by one (1) working day’s notice, request immediate removal of a Contractor from a project, when it is in the best interest of WSDOT. At WSDOT’s discretion, WSDOT may request an immediate replacement.”
- GA Model Solicitation, Part IV, page 56, paragraph 4.12 Disaster Recovery/Business Continuity for vendors to identify responsibilities for putting a recovery plan into effect, team responsibility for disaster recovery/business continuity, plan for off-site storage of critical data, alternative processing strategies and facilities, and procedures for obtaining resources during both the recovery phase and the restoration phase.

## MONITORING

Two of the biggest concerns during emergencies and especially during a pandemic are the ability to track and monitor staff location and well-being. Knowing where staff is located and their condition is essential to carrying out essential functions. Each business area must make provisions to be able to identify the availability and location of staff during an emergency. As their circumstances change each staff member or their supervisor is responsible for updating their information.

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## COUNSELING

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When an unexpected traumatic event (also referred to as Critical Incident Stress) such as an emergency or natural disaster occurs, the psychological effects are often felt throughout the workplace. Following these events, WSDOT employees, supervisors and managers may experience post-trauma reactions and work-related effects such as absenteeism, low morale, decreased productivity and concentration, and increased health problems. Employees' families may be affected as well. Active intervention can help employees and organizations recover.

WSDOT is taking a proactive approach to addressing the effects of traumatic incidents. The Safety Office and the Office of Human Resources are available to coordinate services for employees dealing with the psychological aftermath of a traumatic incident.

An important aspect of responding effectively is having access to trained mental health professionals who have experience dealing with work-related trauma. The WSDOT Safety Office and Office of Human Resources have a list of licensed and registered professionals who have expertise in responding to trauma. Either office may contact these professional mental health providers for assistance. Mental health professionals provide services such as, but not limited to, the following:

- Consultation with management regarding ways to assist the work group cope with the tragic event.
- On-site critical incident stress debriefing for affected employees.
- Individual counseling for those experiencing persistent post-trauma reactions.
- Counseling for family members when a serious injury or fatality has resulted from the incident.

Details on staff support for dealing with traumas are available in Chapter 15, WSDOT Human Resource Desk Manual, at <http://wwwi.wsdot.wa.gov/NR/rdonlyres/E98FFDA8-8890-440F-8A31-A09BCF7D60B2/0/ch15trauma.pdf>.

In addition, the Employee Assistance Program to help with personal or work-related problems that may be impacting work performance. EAP's professionals have experience helping to clarify issues and resolve them.

Details on the Employee Assistance Program are available in Chapter 3, Section XII, WSDOT Human Resource Desk Manual at <http://wwwi.wsdot.wa.gov/NR/rdonlyres/023968FC-E9BE-4D5C-B2C0-69C889C4D6B3/27643/Chapter3.pdf> and on the Department of Personnel Employee Assistance Program website <http://www.dop.wa.gov/Employees/EmployeeAssistanceProgram>.

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## **PANDEMIC IMPACT ON STAFFING**

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A pandemic will have a very specific impact on staffing that needs to be kept in mind in reviewing these staffing guidelines.

### **DEMAND FOR TRANSPORTATION SERVICES**

A pandemic may come and go in waves, each of which can last for six to eight weeks. An especially severe influenza pandemic could lead to high levels of illness, death, social disruption, and economic loss. Everyday life would be disrupted because so many people in so many places become seriously ill at the same time. Movement of people, goods, and services would be severely limited.

As a pandemic spreads, travel would dramatically decline as people avoided flu "hotspots" and governments restricted travel. In all likelihood, people would quarantine themselves and their families by staying at home more. Nonessential activities requiring social contact would be sharply curtailed. Strategies for slowing the spread of a severe influenza outbreak could include temporarily closing schools, sports arenas, theaters, restaurants, taverns, and other public gathering places and facilities. People would avoid public places, such as shopping malls, community centers, and places of worship.

A quarter or more of the working population may have to take days off work at some stage during the pandemic. In addition to absence due to illness, some workers may need time off to care for family members or may be in mourning for lost loved ones.

Many businesses will likely implement telecommuting options to reduce the number of employees in the work place, and requiring employees who may be ill or are ill to stay home. A sudden and prolonged reduction in workforce numbers due to the impacts of pandemic flu may require some businesses to prioritize their essential business functions and temporarily suspend others.

Worker absenteeism in refineries, fuel distribution facilities, and fuel delivery organizations due to illness, death, and caring for family members, is anticipated to lead to significant fuel shortages during a pandemic and for some time afterwards.

Many US companies utilize just in time delivery via container ships. Inventory warehousing is essentially the container ships enroute with the next delivery. The typical container ship has a crew of 14 each a highly specialized position with no backup except other ship crews. None of these employees are on a list as a critical employee. During a pandemic this inventory would not be able to be delivered. Goods on these ships would not be available to replenish factories or store shelves.

Contracts for fuel delivery assume that if it is not available locally or regionally it will be brought in from other regions. None of the workers involved in fuel refining or delivery are identified as critical employees. In a pandemic fuel for vehicles and generators would become scarce within a very short time.

As a result there would be a substantial reduction of ridership on public transportation and a reduction of travel in private vehicles. Less public transportation availability due to less drivers and mechanics, less ferries because of difficulty putting together required crew levels, fewer incident response teams, decreased maintenance, difficulty operating and maintaining equipment because of limited fuel and spare parts, decreased freight and goods deliveries, etc.

## POTENTIAL EMPLOYEE ABSENCES

Total worker absenteeism levels could be from 30% to 40% of WSDOT FTEs for a total period of 18 to 36 weeks with approximately 33% of WSDOT employees falling ill at some time during the pandemic. Prolonged employee absences will require WSDOT to pare back functions to essential functions. Various assignment, hiring, and contracting flexibilities may be needed to continue these functions as described above.

## CRITICAL STAFFING

A major driving force for identifying critical staff that support essential functions is the potential impact of pandemic influenza. A pandemic, unlike a physical disaster, has unique characteristics when compared with a more “typical” disaster.

**Widespread Impact:** In all probability, the impact of a pandemic will be widespread, international and not specific to a particular local area; therefore there may be little outside assistance available.

**Not a physical disaster:** A pandemic has some unique characteristics that require implementation of activities to limit contact—such as, restriction of movement, quarantine and closure of public gatherings.

**Duration:** Scientists who have studied previous pandemics note that influenza infection comes in waves. Many people become ill and then there are only a few cases. Assuming the crisis is over, people go back to doing business as usual. Then another wave hits, with many people ill. It is expected that if the virus evolves into one that can be communicated easily from person to person, as many as 35% of the workforce may be out at any given time during a two to three month period.

**Notice:** It is likely there will be some advance warning from the development of the pandemic overseas, but it is always possible that any warning period may be very short. Should pandemic influenza spread to the United States it will probably be some weeks before the full impact on workforce will be felt, although there may be some early impacts resulting from closures of schools and similar containment measures.

**Primary effect is on staffing levels:** Unlike natural disasters, where any disruption to business service provision is likely to be hardware-related, disruption to business operation in the event of a pandemic is anticipated to be mainly human-resource oriented. It is generally advised that organizations should plan for up to 50% staff absences for periods of about two weeks at the height of a severe pandemic wave, and lower levels of staff absence for a few weeks either side of the peak. Overall a pandemic wave may last about 8 weeks. Note that the pandemic may come in waves of varying severity over time. Staff absences can be expected for many reasons:

- Illness/incapacity (suspected/actual/post-infectious);
- Some employees may need to stay at home to care for the ill;
- People may feel safer at home (e.g. to keep out of crowded places such as public transport);
- Some people may be fulfilling other voluntary roles in the community; and others may need to stay at home to look after school-aged children (as schools are likely to be closed).

Business areas should maintain information on critical staff that must report for work and continue essential functions during a disruption of operations and notify them in writing that they are designated as



critical staff. The notice should include the requirement that emergency employees report for or remain at work when operations are disrupted and an explanation that dismissal or closure announcements do not apply to them unless they are instructed otherwise.

Staff must be aware that those positions identified as critical may vary depending on the emergency situation. WSDOT's response can depend on the nature of the emergency, nature of agency mission and the emergency location. If the agency determines that a situation requires employees not designated as critical staff to report for or remain at work when operations are disrupted, WSDOT will notify them individually.

By definition, critical staff are expected to be available during emergencies. If unavailable because of illness then designated backups or alternates will be expected to fulfill the duties of the critical staff member.



# PANDEMIC FLU GUIDELINES

The following guidelines are intended to be followed when dealing with a pandemic flu

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## SOCIAL DISTANCING GUIDELINES

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Social distancing is defined as maintaining a distance of 3 - 6 feet from others while in public places. The minimum 3 foot rule is based upon studies by infection control professionals. Employee interactions should be minimized with meetings taking place via telephone when possible. Hand shaking should be curtailed.

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## RESPIRATORY PROTECTION

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CDC Recommendations for Workers Involved with Avian Influenza are disposable particulate respirators (e.g., N-95, N-99, or N-100 (NIOSH 42 CFR 84). All masks should be disposed of without touching the contaminated outside surface. It is important to realize that once used, masks are infectious and need to be disposed of properly and without infecting one's self or others. They should be disposed of after one wearing, or if wet or soggy. N-95 Respirators:

- Have at least 95% filtration efficiency against solid and liquid aerosols that do not contain oil.
- Should not be worn with beards, other facial hair, or other conditions that prevent a good seal between the face and the edge of the filtering face piece.
- Should be replaced if it becomes damaged, soiled, or breathing becomes difficult or after each work shift.

If an employee voluntarily decides to use an N-95 they need to follow respirator instructions to minimize the risk of exposure to influenza.

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## RETURN TO WORK GUIDELINES

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Stay home and away from others, as much as possible for at least 7 days after your symptoms first appeared and when your fever has been gone for 48 hours without taking fever-reducing medicines. Studies show you are most contagious and likely to spread influenza virus to others for 7 to 10 days after your first symptoms appeared and for up to 48 hours after your fever has ended.

If you are immunosuppressed, consult with your health care provider for guidance on when you may return to work. Studies show that an immunosuppressed person who is infected with influenza may be able to transmit virus for a longer time than a person who is not immunosuppressed.

If you were or are taking antiviral medications for treatment of influenza, consult with your health care provider as to when to return to your work.

It is the agency policy that a medical certificate must be submitted if an employee has been off work for any health related reason that lasts for more than ten consecutive workdays. A medical certificate may

be required by the approving authority for absences of less than ten consecutive workdays under the circumstances noted below:

- To protect an employee from returning to work too soon following a serious illness or injury. Approving authorities may require that employees provide the department with a completed copy of DOT Form 750-002 EF, Physician's Report of Medical Evaluation (Appendix 8-2), upon their return to work.
- To protect employees or clients from contagious illnesses.

For purposes of this section, a medical certificate must be prepared by a physician or licensed health care provider and certify that the employee was unable to work due to a personal illness or injury (or health problem of a relative or household member) and is now released to return to work, with or without restrictions.

The requirement for medical certificates can be found in Chapter 8, Section V, Part A, WSDOT Human Resource Desk Manual at <http://wwwi.wsdot.wa.gov/NR/ronlyres/81EF7F23-E92F-4C5C-AACD-85E9C0A15ACD/0/Chapter82.pdf>

## APPENDIX A: CONTRIBUTORS

The managers and staff members who contributed to this report are listed in Table 11 below.

**Table 11  
Contributors**

<b>Business Area</b>	<b>Responsibility</b>	<b>Contributors</b>
Accountability & Finance	Bob Covington, Director	Cindy Kay Brent Pierson
Administrative Services	Rick Phillips, Director	Tony Trask Cathy Downs
Aviation	Thomas Peterson, Director	
Bridge & Structures	Jugesh Kapur, Director	Bijan Khaleghi
Budget & Financial Analysis	Doug Vaughn, Director	Julie Salvi
Capital Program Dev & Mgmt	Jay Alexander, Director	
Communications	Steve Pierce, Director	Connie Rus Ann Briggs
Environmental Services	Megan White, Director	Joe Witczak
Equal Opportunity	Brenda Nnambi, Director	
Ferries Operations	David Moseley, Assistant Secretary	Jean Baker Doug Choate
Governmental Relations	Dillon Auyoung, Director	Elissa Hicks
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***Appendix E                      Emergency Relief Procedures Manual***

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# Emergency Relief Procedures Manual

M 3014.01

February 2007



**Washington State  
Department of Transportation**

## **Americans with Disabilities Act (ADA) Information**

Materials can be provided in alternative formats: large print, Braille, cassette tape, or on computer disk for people with disabilities by calling the Office of Equal Opportunity (OEO) at 360-705-7097. Persons who are deaf or hard of hearing may contact OEO through the Washington Relay Service at 7-1-1.

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## Acronyms

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CAPS	Contract Administration and Payment System
CCIS	Construction Contract Information System
CE	Categorical Exclusion
CED	Chronic Environmental Deficiencies
CEQ	Council on Environmental Quality
COE	Corps of Engineers
D	Directive
DDIR	Detailed Damage Inspection Report
DM	Disaster Maintenance
DMA	Northwest Region Disaster Maintenance Work Order
DMB	North Central Region Disaster Maintenance Work Order
DMC	Olympic Region Disaster Maintenance Work Order
DMD	Southwest Region Disaster Maintenance Work Order
DME	South Central Region Disaster Maintenance Work Order
DMG	Eastern Region Disaster Maintenance Work Order
DOT	Department of Transportation
EIS	Environmental Impact Statements
ER	Emergency Relief
ESA	Endangered Species Act
FEMA	Federal Emergency Management Agency
FHWA	Federal Highways Administration
HPA	Hydraulic Project Approval
IL	Instructional Letter
JARPA	Joint Aquatic Resource Permit Application
M	Manual
NEPA	National Environmental Policy Act
NPDES	National Pollutant Discharge Elimination System
OFM	Office of Financial Management
PS&E	Plans, Specifications and Estimates
PSS	Project Support Service
RCW	Revised Code of Washington
SEPA	State Environmental Policy Act
SMA	Shoreline Management Act
SW	Storm Water
TRAINS	Transportation Reporting and Accounting Information System
WAC	Washington Administrative Code
WDFW	Washington Department of Fish and Wildlife
WO	Work Order
WOA	Work Order Authorization
WSDOT	Washington State Department of Transportation
WSF	Washington State Ferries



## **Purpose**

This manual is provided by the Washington State Department of Transportation (WSDOT) to assist in obtaining federal resources for the repair of local Federal-aid highway facilities damaged and/or destroyed by natural disasters or major catastrophes.

The purpose of this manual is to provide the legal and procedural guidelines for Washington State Department of Transportation (WSDOT) employees to prepare all necessary documentation to respond to, and recover from, emergencies/disasters that affect the operations of the Department.

## **References and Contacts**

Office of Infrastructure, Office of Program Administration, Federal Highway Administration: Emergency Relief Manual

## **Key Points to Remember**

Quick action and thorough documentation, including photographs, field notes indicating the approved scope of work, invoices, and timesheets that clearly indicate the location and type of work performed, are essential when dealing with the Emergency Relief (ER) program.

Disaster assistance projects funded through the FHWA Emergency Relief program must be located on a Federal-aid highway (for further information on qualifying roadways see the Requirements section on the following page). Local highway repair projects not located on Federal-aid highways may qualify for disaster assistance through Federal and State programs administered by FEMA and EMD.

Documentation for disaster assistance projects on both Federal-aid and non-Federal-aid highways must distinguish between emergency operations and heavy maintenance. FHWA has set a minimum ER funding threshold of \$700,000 per disaster. For any disaster where the total estimated ER repairs are less than this minimum threshold, with few exceptions, FHWA will classify the repairs as heavy maintenance; and will not reimburse the repair work.

## **Supersession**

This supersedes M3014 issued October 2002.

## **RCW, WAC, and Directives**

### **RCWs**

RCW 47.28.030 — “Contracts - State forces - Monetary limits - Small businesses, minority, and women contractors - Rules”

RCW 47.28.035 — “Cost of Project, defined”

RCW 41.06.380 — “Purchasing services by contract not prohibited-Limitations”

RCW 47.28.050 — “Call for Bids”

RCW 47.28.70 — “Form of Bid-Data Required-Requirements-Refusal to Furnish Form-Appeal”

RCW 47.28.170 — “Emergency Protection and Restoration of Highways”

RCW 60.28.011 — “Retained Percentage”

### **Local Permits**

#### **Floodplain Development Permits**

RCW 86.16 — “Floodplain Management Act”

#### **Shoreline Management Permits**

RCW 90.58 — “Shoreline Management Act of 1971”

WAC 173-26 — “State Master Program Approval/Amendment Procedures”

#### **Critical Area Ordinances (CAO)**

RCW 36.70A.172 — “Growth Management Act — Critical Areas — Designation and Protection — Best Available Science to be Used”

### **State Permits**

Department of Ecology — Short Term Modifications to Water Quality Standards under RCW 90.48 are no longer issued. You must meet WQ standards.

Department of Ecology — Section 401 Water Quality Certification under 33 USC 1341

Federal Clean Water Act Section 401

RCW 90.48 — “Water Pollution Control”

WAC 173-225 — “Federal Water Pollution Control Act — Establishment of Implementation Procedures of Application for Certification”



Department of Ecology — Coastal Zone Management Certification

U.S. Coastal Zone Management Act, 16 U.S.C. 1451, et seq., and 15 CFR, Parts 923-930

Department of Ecology — NPDES Construction Site

National Pollutant Discharge Elimination System (NPDES) Permit

RCW 90.48 — “Water Pollution Control”

WAC 173-224 — “Wastewater Discharge Permit Fees”

WAC 173-226 — “Waste Discharge General Permit Program”

Department of Ecology — NPDES Municipal Stormwater (SW) Discharge State Waste Discharge Permit

RCW 90.48 — “Water Pollution Control”

RCW 90.52 — “Pollution Disclosure Act of 1971”

RCW 90.54 — “Water Resources Act of 1971”

WAC 173-216 — “State Waste Discharge Permit Program”

Department of Fish and Wildlife — Hydraulic Project Approval (HPA)

RCW 75.20 — “Construction Projects in State Waters”

WAC 220-110 — “Hydraulic Code Rules”

### **Federal Permits**

US Army Corps of Engineers — Section 10 of the Rivers and Harbors Act of 1899 under 33 USC 403. Work or structures in or over navigable waters of the US will require a Section 10 permit from the Corps of Engineers.

US Army Corps of Engineers — Section 404 Permit of the Clean Water Act under 33 USC 1344. The discharge of dredged or fill material into water of the US, including wetlands requires a Section 404 permit from the Corps of Engineers. This requirement covers the placement of material excavated or dredged from waters of the US, mechanized landclearing, and the discharge of any material used for the primary purpose of replacing an aquatic area with dry land or of changing the bottom elevation of the waterbody.

Endangered Species Act (ESA) — Section 7 and 9 of the Endangered Species Act of 1973, as amended.

### **WACs**

WAC 173-14 — “Permits for Developments on Shorelines of the State”

WAC 197-11 — “State Environmental Policy Act (SEPA) Rules”

## **Directives/Instructional Letters/Manuals**

M 27-02 — “Advertisement and Award Manual”

D 27-60 — “Federally Funded Highway Construction Project Closure Process”

M 72-80 — “Purchasing Manual”

M 13-82 — “Accounting Manual,” Section 10-2.7 and 10.4(4)

# Declaration of Emergency

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## Introduction

When an emergency occurs the Region needs to determine if the emergency requires an “Declaration of Emergency.”

A “Declaration of Emergency” is required whenever it is necessary to utilize emergency contracting procedures for work related to transportation facilities and to increase the limit for State Force repair work from \$60,000 to \$100,000.

If the event is large enough (defined as: Widespread Area of Catastrophic Failure with a minimum repair cost of \$700,000) that federal “Emergency Relief” funding will be pursued, the Region needs to complete a Detailed Damage Inspection Report (DDIR) that will be forwarded to the Federal Highways Administration (FHWA) in Olympia.

The following is applicable to all divisions of the Department of Transportation.

## Declaration of Emergency

The Declaration of Emergency authority is hereby delegated from the Secretary of Transportation to the Regional Administrators and the Directors of Aviation and Ferries for all work directly or indirectly related to transportation facilities. This also includes all work affecting property owned or used by their headquarters organization.

The Declaration of Emergency authority can be further delegated to the Maintenance Superintendent and/or Project Engineer by the Regional Administrator or a designee of the Directors of Aviation and Ferries, when the preliminary repair estimate to provide the work does not exceed \$100,000 including sales tax. This also applies to property owned or used by a headquarters organization.

The Regional Administrators and/or the Directors for Aviation and Ferries are required to inform the Secretary of Transportation of all declared emergency projects.

Each declared emergency will be recorded on DOT Form 540-021 EF (see [Appendix 1](#)). The form is to be signed by the declarer and sent to Headquarters Emergency Management by the next working day. For each declared emergency, a project title will be given and work order(s) will be established. The same project title should be utilized wherever possible throughout all subsequent work phases and communications concerning the emergency.

## Procedures

### Declaration of Emergency Form 540-021 EF

<i>Action By</i>	<i>Action</i>
Maintenance Superintendent and/or Project Engineer, and Designee(s) for the Directors for Aviation and Ferries	<ul style="list-style-type: none"><li>• Prepare declaration of emergency using DOT Form 540-021 EF, emergency work up to \$100,000.</li><li>• Send form to Headquarters Emergency Management Office by the next working day.</li></ul>
Regional Administrator and Directors for Aviation and Ferries	<ul style="list-style-type: none"><li>• Prepare declaration of emergency using DOT Form 540-021 EF, emergency work over \$100,000.</li><li>• If project estimate exceeds \$700,000 the Secretary or Designee will review the Form.</li><li>• Send form to Headquarters Emergency Management Office by the next working day.</li></ul>
HQ Emergency Management	<ul style="list-style-type: none"><li>• Process the Form and provide to the Secretary or Designee for review.</li></ul>

**Note:** Headquarters Emergency Management Office will make distribution of the Emergency Declaration Form to the Secretary of Transportation, Assistant Secretary for Engineering and Regional Operations, Director of Highways and Local Programs Division, Headquarters Program Management, and the State Maintenance Engineer.

## Ordinary Maintenance

There are two types of Maintenance work activities classified as “ordinary maintenance” — Normal Maintenance and Emergency Maintenance.

Accordingly, if the work is considered to be “ordinary maintenance” state forces may accomplish the work without being subject to the dollar limitations outlined in RCW 47.28.030 and 47.28.035. “Ordinary maintenance” is also exempt from the competitive bidding process.

## Definition of the Two Types of Maintenance Activities

1. **Normal Maintenance** — Budgeted work, performed routinely on a scheduled basis. It is intended to maintain the highway facility/element so that it substantially retains its original intended use and function.

Examples include:

- Sweeping and debris removal
- Maintaining access control
- Clean ditches, culverts, and catch basins
- Correcting moderate slides and slope failures
- Vegetation management and litter pick up
- Moderate bridge maintenance
- Rest Area operation and maintenance
- Pavement patching, crack sealing, and moderate surface treatment
- Bridge maintenance such as debris removal or scour
- Restoration/replacement of traffic control devices
- Traffic control
- Snow and ice control
- Drainage restoration
- Placing riprap

2. **Emergency Maintenance** — Work activities are the same or similar to normal maintenance activities except that they are greater in magnitude and scope depending upon the nature and intensity of the emergency. This work is not budgeted and/or scheduled and is not done on a routine basis. This includes work accomplished on a damaged highway facility/element that has substantially retained the intended functionality of its original design. It does not include construction of new roadway elements.

Examples include:

- Emergency traffic control
- Establishment of detours and temporary minor structures
- Erection, dismantling, and maintenance of a Bailey bridge
- Any work needed to protect and maintain the area affected by the emergency, pending the letting of a contract under RCW 47.28.170.

## Funding

1. **Normal maintenance** work is not eligible for federal reimbursement because it is routinely scheduled or budgeted to historical levels. This work is funded out of the state-funded M2 maintenance budget. Normal work orders, charge numbers, and coding are used to track accomplishments and costs.
2. **Emergency maintenance** work may be eligible for federal reimbursement when properly approved by FHWA if the work exceeds the threshold amount, currently \$700,000 minimum for an event and \$5,000 per site. This work is initially funded out of the maintenance budget and later reimbursed with federal funds. Disaster Maintenance (DM) work orders are established to ensure the Department properly accounts for and documents expenditures.

As a footnote, there are other federal agencies which provide emergency funding, including the Federal Emergency Management Agency (FEMA) and the Corps of Engineers (COE). Each agency has different eligibility requirements. These are not discussed in this document.

## Performance of Maintenance Work

Although the Department has the authority to contract out maintenance work in accordance with RCW 41.06.142, state personnel may be used without any dollar limitation. The proposed tasks, however, must be true maintenance activities, such as the examples listed prior. If state maintenance forces have traditionally performed the work, the activities will usually be considered as “ordinary maintenance” and thus can be performed regardless of cost. Conversely, if the proposed work has been considered by the Department as an “alteration, repair or improvement” activity, as those terms are defined below, the proposed work is not “ordinary maintenance” and is subject to the dollar limitation on the use of state forces as set forth in RCW 47.28.030.

If there is any question as to whether the proposed activity can be considered “ordinary maintenance,” a good faith decision should be made based upon the facts of each particular situation. Keep in mind that the purpose of RCW 47.28.030 is to limit the use of state forces so that they are not performing the type of construction work done by private contractors. If a determination is made that the proposed work is in fact a maintenance activity, support for the decision needs to be documented at the time it is made and submitted on the Work Order. By doing so, evidence is readily available to justify the Department’s decision if it is questioned at a later date.

## Emergency Projects in the Highway Construction Program

The project magnitude and scope should be reviewed to determine if the work is in maintenance (can be done with state forces or requires a contract) or it should be in the Highway Construction Program.

If upon reviewing the magnitude and scope of the work, Maintenance believes this project should be in the Highway Construction Program, they should immediately begin discussions with the Regional Program Manager giving that person all the available information they have about the project and why they feel the project should be in the Construction Program.

The Regional Program Manager will immediately contact the Headquarters Program Management Engineer or their office for concurrence that the project is construction program work and to establish a work order.

Headquarters Program Management, with help from Regional Program Management, will obtain approval and programming of the unprogrammed project and approval of the Work Order.

If the proposed work activity is not considered ordinary maintenance as defined prior., the work may be accomplished by state forces only to the extent permitted in RCW 47.28.030 and RCW 47.28.035. This rule applies whether the work involves an emergency or not.

This work typically requires the use of preliminary engineering services, personnel, and contract plans specifications and estimates. When the work is not programmed, it follows the Department's screening board unprogrammed project process.

## Definition of Construction Type Activities

1. **Alteration** — Work that results in a substantial change in the form or nature of an existing highway facility/element without destroying its identity.

Examples include:

- Realignment of the roadway
- Widening the roadway
- Raising the grade
- Replace span wire with mast arms

2. **Repair** — Work required to restore the intended functionality of a highway facility/element when damage results in a substantial loss of the intended design functionality.

**Examples include:**

- Major slide (may require soils analysis and walls)
- Repair of large culverts
- Replacement of major sections of riprap
- Roadway paving
- Replacement of bridges, bridge approaches, or bridge piers
- Work needed to repair a section of washed out road that is not passable

3. **Improvements** — Work that results in the enhanced, expanded, or improved functionality of a highway facility/element over that of the original design. This work includes new roadway elements and improves the original function and design.

**Examples include:**

- Culvert replacement to improve drainage
- Constructing all weather highway
- Constructing left turn lane or climbing lane
- Hydraulic enhancements
- Correction of unstable slopes through the use of horizontal drains, new wall, or other methods

## Funding for Construction Work

Emergency work considered to be “alteration, repair, or improvement” when properly approved, is eligible for federal reimbursement, either from normal highway construction funds or Emergency Relief funds. Work is initially funded out of the highway construction program with state funds and later reimbursed with federal funds. Appropriate work order numbers are established to ensure the Department can properly account for and document expenditures (see Maintenance Work Order Process).

## Limitations on State Force Forces Accomplishing Construction Work

If the work involves “alteration, repair, or improvement” as defined above, the statutory requirements set forth in RCW 47.28.030 and RCW 47.28.035 apply as follows:

- The work may be done by state forces when the estimated cost of the work is less than \$60,000 in non-emergency conditions.
- When delay of the work would jeopardize a state highway or constitute a danger to the traveling public, the work may be done by state forces as long as the estimated cost of the work is less than \$100,000.
- If the estimated cost of a project is more than the \$60,000/\$100,000 limitations, state forces may still be used to perform work up to those limits. The cost of the remaining project work over the \$60,000/\$100,000 limits would have to be contracted out by competitive bidding. The only exception is where the Department finds it necessary to protect a highway facility from imminent danger or to perform emergency work to reopen a highway. When that occurs, the Department may contract for such work on a negotiated basis not to exceed force account rates for a period not to exceed thirty (30) working days.



RCW 47.28.035 sets out two rules that must be followed in estimating the cost of using state forces.

- First, the costs must include the aggregate of all amounts to be paid for labor, material, and equipment (see below).
- Second, the aggregate costs are those costs that will be incurred on one continuous or interrelated project where work is to be performed simultaneously.

**Note:** To better understand this second requirement, one must go beyond the actual statutory language and the difficulty of defining the key term “project,” and focus on the objective of the statute. Its purpose is to ensure that a project is not artificially divided into smaller projects for the sole purposes of using state forces instead of contracting out the work. This will be discussed in more detail in the Project Definition Section.

The estimate must be reasonable based on the best information known at the time it was made. To support the reasonableness of the estimate, written documentation on how it was ascertained is necessary (RCW 47.28.030). The purpose of the dollar limitation is to ensure that the majority of non-maintenance emergency work is done by outside contractors. Therefore, the estimate should be reasonable in view of the facts that are known at the time and consistent with the purpose of the limitation. Any questions on what should be included in the estimate should be directed to the Department so that the estimates are consistent.

The following examples are provided to help understand how the estimate should be made:

**To be included:**

1. **Labor costs** would be included when state personnel are being used on the project to do the following:
  - a. Operate equipment.
  - b. Place material.
  - c. Any activity done on the site that would have been done by the contractor’s labor force if the work had been contracted out.
2. **Material costs.** If state forces are being used to perform the project or a portion of it, the cost of the materials supplied by the state would be included in determining the dollar limitation.
3. **Equipment costs.** If state forces are being used to perform the project or a portion of it, any equipment provided by the state would be included in estimating the dollar limitation.

**Not to be included:**

1. **Labor costs.** Do not include preliminary engineering costs (PE) and construction engineering costs. These costs are incurred on all projects whether performed by contractors or by state forces and therefore are to be excluded in the labor estimate.
2. **Material costs.** If the state only supplies the materials to the project, the cost of the materials are not to be included. For example, if the state supplied traffic signal equipment for a signal construction project but state labor forces were not used to perform any portion of the project, the cost of the materials would not be included. Conversely, if state forces are to be used to do work on the project, the cost of the materials provided by the state would be included.

Also, consumable items not incorporated in the project, such as traffic control devices, signals, etc., are not to be included in the material cost estimate.

3. **Equipment costs.** If the state provides equipment to the project, but state labor forces are not to be used to perform any work on the project, the equipment costs will not be included.
4. **Overhead costs.** RCW 47.28.035 refers only to the aggregate of all amounts to be paid for labor, material, and equipment. Therefore, state overhead costs do not have to be included in estimating the costs using state forces.

### **Statutory Definition For Purposes of Using State Forces**

RCW 47.28.030 has placed a dollar limitation on the use of state forces if the work involves the construction, alteration, repair or improvement of a state highway. When such work is of an emergency nature as defined in RCW 47.28.170, state forces may be used to perform the work or any portion of it when the estimated cost is less than \$100,000. To calculate the state costs, RCW 47.28.035 requires that the estimate must include the aggregate of all amounts to be paid for labor, material, and equipment on one continuous or interrelated project where work is to be performed simultaneously. The statute also warns the Department not to divide a project into units of work or classes of work to give the appearance that the estimated cost of using state forces is within the dollar limitation set forth in RCW 47.28.030. Therefore, in determining the scope of a proposed project and the work activities to be included, the Department must follow the criteria for a project as set forth in RCW 47.28.035. If this is not done the Department may be accused of artificially dividing the work into more than one project to avoid the dollar limitation on the use of state forces.

### **Definition of Continuous and Interrelated**

With the statute's objective in mind, one must remember that a project consists of a series of activities or events that must be accomplished to produce an intended result. The project is generally "continuous" in nature (both length and depth) until each required activity is completed to produce the desired outcome. Also, each activity cannot alone create the final result. They must be "interrelated" with other activities to establish the final goal and objective. The activities are part of the overall project and logically could not be considered as separate and independent projects. Since individual activities or units of work are only components of a single project, the statute precludes the Department from treating them as separate projects in order to increase the use of state forces.

### **Definition of Simultaneously**

The statute also refers to work being performed "simultaneously." This term must be interpreted in view of what actually happens on a project. It's obvious not all of the activities can be done at the exact same time. However, they must be accomplished before the entire project is completed. For example, if the road is washed out, the end result is to replace the road. To accomplish this, the activities would include replacement of fill, riprap, crushed surfacing, paving, striping and guardrail. The work activities are not being phased because of future funding or other reasons; but simply continuing on until the work is completed and the new road is in place. As long as the activities are being carried in a logical sequence to produce the end result, the work is being done "simultaneously" for purposes of the statute.

## Other Considerations

1. If various work activities could be treated as separate projects as defined by RCW 47.28.035, but they have been combined for accounting and/or contracting convenience, the reasons for the combination should be documented. This prevents an appearance that the dollar limitation on state force use has been exceeded.
2. RCW 47.28.035 provides a definition of what is considered to be a project for purposes of estimating the costs of using state forces. That definition must be applied uniformly by the Department in making such estimates.
3. If the decision is made to divide the work activities into separate projects, document the reasons for it. Make sure the decision is based on legitimate reasons as opposed to separating the work for the sole purpose of being able to use more state forces.

To better understand how the statutory definition of a project would apply to various fact situations, the following examples are provided.

**Example 1:** Assume two major slides occur, causing extensive damage to the roadway. The damaged areas are separated on the roadway by only a few feet. Technically, the work to clear and repair the two areas is not continuous because of the separation. However, since the distance is so minimal, the work in both areas would be considered as one continuous project. Also, RCW 47.28.035 refers to “. . . one continuous or interrelated project.” In the example, all of the work is interrelated because both areas would have to be repaired before that section of roadway could be used by the traveling public. Thus, for purposes of the statute, the work activities at both locations would be treated as one single project.

**Example 2:** Two major slides occur on the same highway but are located several miles apart. Unlike, Example 1, the distance between the slides is substantial so work at the two locations would not be considered as one continuous project. Also, the repair work at location one can be completed to open that section of the roadway independent of the repair work at location two. Thus, the work at the two sites is not interrelated. As a consequence, the work at the slide areas would be considered two separate projects.

**Example 3:** A slide covers one mile of road. In order to restore the road for traffic use, the following work activities must be done: (1) removal of debris; (2) replacement of fill material; (3) repair of the shoulders; (4) repaving; and (5) placement of new guardrail. Each of these activities is interrelated in order to put the road back into service. The work is also being done in a logical sequence so it is being performed “simultaneously.” Therefore, the sum total of the work would be considered as one project instead of five separate jobs for purposes of estimating the cost of using state forces.

**Example 4:** Three slides occur on the same highway. Two are located ten feet apart and the third one is located five miles to the north. The only work activities involved to open the roadway in all three locations is to remove the debris and clean the ditches. The issue of what is considered a project for purposes of RCW 47.28.035 only applies where the activity involves either “construction, repair, alteration, or improvement work. Unlike examples, 1, 2, and 3, the work activities in this example would be considered emergency maintenance work. Therefore, state forces can be used to do all of the work regardless of costs and regardless of whether the three work areas are classified as one or more projects.

**Example 5:** A storm does damage to a bridge structure and two culverts in the same area. Work is done immediately to repair the culverts. However, because of lack of funding or other legitimate reasons, a decision is made to delay repair work to the bridge. Since the repair work on the culverts can be accomplished without repairing the bridge, the two activities are not interrelated. Also, the bridge work will occur at a later date so the work is not continuous. Therefore, the repair of the culverts and the subsequent bridge repair work can be treated as two separate projects.

**Example 6:** Work is done to correct unstable slopes in multiple locations. Each site can be corrected independent of the improvement work at the other sites. Also, the work is not continuous because of the separate locations. Therefore, the improvement work at each location would be considered a separate project.

**Example 7:** One rest area is damaged. The repairs include removal of debris, replacing sections of the sidewalk, and repaving. The work is continuous because all of the repairs are being made at one location. These activities are also interrelated because the repairs must be done in order to put the rest area in the condition it was prior to the damage. The individual repair activities cannot be considered as separate projects, but must be treated as one project for purposes of estimating the cost of using state forces.

## Conclusion

The purpose of RCW 47.28.035 is to preclude the Department from dividing a proposed project into separate units of work or classes of work in order to avoid the dollar limitation on the use of state forces. Therefore, the statute defines what a project is for that purpose. There will be many situations where the application of the statutory definition does not provide a clear answer as to whether the proposed work can be incorporated into more than one project. If in those situations the work activities are in fact divided into separate projects, the decision can be justified as long as the Department can show that the reason for it was not to circumvent the statutory restrictions on state force use.



# ***Maintenance Work Order Process (DM)***

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## **General**

When an emergency/disaster occurs a method for capturing expenditures for the work both within the Region as well as for federal Emergency Relief (ER) work is needed. The Work Order Authorization (WOA) is the method used to capture these expenditures. A separate WOA is normally set-up for each individual disaster site and has a unique identifying number. For a Disaster Maintenance (DM) WOA this number has a “DM” prefix.

The WOA is also used for budgeting purposes and in obligating federal funds; thus it is important that the WO is as current as possible and accurately reflects current and future expenditure needs.

Approval of the DM work order and assigning the “DM number” has been delegated to the Regions. The specifics of this process are listed below.

Disaster Maintenance (DM) work orders are initially set up with state funds since early on it is not known whether they will be eligible for federal participation or not. In many cases, part or all of the emergency work may be done prior to knowing if the project will receive federal participation. Once the magnitude of the disaster and the funding requirements are known and before Headquarters Accounting Services can bill FHWA for reimbursement, it may be necessary for Headquarters Maintenance to obtain a federal appropriation from the Office of Financial Management (OFM).

As a general rule (except for specific nonparticipating items), emergency work and/or incidental permanent work within 180 days of the disaster is eligible for 100 percent federal participation. Permanent work and emergency work after 180 days is eligible for federal participation at a federal pro-rata share for the route the work is on, in most cases 86.5 percent.

When requesting information from Headquarters on the status of a WOA, reference the work order number and the federal aid number if known.

In setting up DM work orders, Region management and field personnel will also consider:

1. The need to prepare Detailed Damage Inspection Report (DDIR) for FHWA review/approval that clearly defines scope of work, type of work, location, and estimated costs of the emergency and/or permanent work.
2. The need to manage the DM setups and be accountable for the costs incurred under the DM setup.
3. That the Region be able to ascertain, through inspection, that the work performed was accomplished in accordance with the scope and/or approved change orders to the DDIR.
4. The estimated cost associated with a work order setup. Because of the complexity of some emergency work it may be necessary to have some work orders for an estimated amount greater than the \$60,000/\$100,000 limit.

## Procedures for Setting up DM WOA

Action By	Action
Region Maintenance Analyst or Designee	<ul style="list-style-type: none"> <li>• Assign DM Work Order Number and log required data.</li> <li>• Prepare Work Order Authorization (WOA), get required signatures and FAX to Headquarters Accounting Services — Project Support Service Section (PSS) prior to noon of the first working day after the number is assigned.</li> </ul>
Headquarters Accounting Office, Project Support Service (PSS) Section	<ul style="list-style-type: none"> <li>• Set up the work order in TRAINS.</li> <li>• Send a copy of approved work order to Headquarters Maintenance.</li> <li>• Send a copy of approved work order to Headquarters Program Management.</li> </ul>
Headquarters Program Management	<ul style="list-style-type: none"> <li>• Send the project to FHWA for obligation/ authorization (Form 120-006).</li> <li>• Send a copy of the approved form to Region Program Management and the Maintenance Analyst.</li> </ul>
Region	<ul style="list-style-type: none"> <li>• Ensure that charges are made to the appropriate group depending on the eligibility of the charges and the time frame in which they were incurred.</li> </ul>
Headquarters Accounting Office, PSS Section.	<ul style="list-style-type: none"> <li>• Upon notification that federal funds have been approved, set up the federal funds on federal eligible groups per the federal agreement.</li> <li>• Transfer the eligible expenditures which have accumulated from the state appropriation to the federal appropriation.</li> </ul>

Groups will need to be set up for the following as needed within each Group Category:

- Emergency and Incidental Permanent Work within 180 days
- Emergency and Incidental Permanent Work after 180 days
- Permanent Work
- Non-Participating Work

It is essential that the group title be used with each group so that the appropriate expenditures can be moved if federal participation is received.

At the time of the initial DM set up, PSS Section will set up only the groups which have been requested by the Region. A group for Emergency and Incidental Permanent Work within 180 days will be reserved for state force work.

The groups on DM Work Orders are not limited to Group Category 04. As long as all other requirements have been met, other group categories may be used. For example, it is permissible to set up groups which are in Group Category 01 (Work Done Agreement) or Group Category 02 (Work Done agreement). Other groups can be added later (by E-Mail) as long as the authorized dollars are not being increased. An example is Group Category 99 which is Vendor Supplied Services and Materials. It is possible to use Group Category 99 following Purchase Authority G3 Guidelines. Appendix 17-Road Repair Service could also be used in some cases.



Payments for Emergency and Incidental Permanent Work done after 180 days must be charged to the appropriate group. The key is when the work is done or goods received, not when the bill was paid. (If work was actually done within the 180 days it remains in Group 01 even though the bills may be paid AFTER the 180 day limit.) The 180 days is measured from the declared first day of the emergency, which may be prior to the date that the damage occurred.

### **Assignment of DM Work Order Numbers**

Each Region will assign their own DM Work Order numbers. The first two characters of the work order number will be DM (Disaster Maintenance) to indicate the type of work order. The third character of the work order will be used to define the Region (DMAxxx for the Northwest Region, DMBxxx for the North Central Region, DMCxxx for the Olympic Region, DMDxxx for the Southwest Region, DMExxx for the South Central Region, DMGxxx for the Eastern Region). The next three characters are numeric and will be assigned sequentially by the Region. The block of DM numbers will not be further subdivided.

In order to expedite work order set up, minimize confusion, and ensure that Regions, Headquarters Maintenance, Headquarters Program Management, and Headquarters Accounting each has the information they need, the following rules will be observed.

1. Responsibility for assigning DM numbers will be assigned to an individual.
2. The individual (or designee) responsible for assigning DM numbers will be available to assign numbers whenever they are needed.
3. The individual responsible for assigning DM numbers will prepare the Work Order Authorizations for the DM Work Orders, acquire required signatures, and fax (or e-mail) them to Headquarters Accounting Services, PSS Section prior to noon of the first working day following the assignment of the number.
4. DM numbers will not be reserved for potential work but only set up for actual projects.
5. Each Region will maintain a log of DM numbers which carries the data elements that they require plus any other elements which may have been requested by Headquarters Maintenance, Program Management, and Accounting.

## Work Order Authorization Form

A sample Work Order Authorization (WOA) form, 120-021 EF is included in Appendix 2. This form is available in electronic format. For consistency and to speed processing of work orders within Headquarters, all Regions will submit work order authorizations on the current version of the form. It is not required that each Region use the electronic format, only that the work order have the same information in the same format as the sample provided.

When preparing a WOA request, whether it is for a new setup or an adjustment to an existing setup, complete, accurate information must be provided.

It is important for federal emergency work that the Region monitors the work order closely and at the end of the 180-day time limit, when appropriate, switches from the Group for Emergency Work and/or incidental Permanent Work within 180 days to the Group for Emergency Work after 180 days.

## Review by Region Prior to Submitting WOA

To aid processing within Headquarters, to reduce processing time and to minimize the number of errors, the Regions must completely and accurately fill in the WOA.

Prior to submitting an increase for a work order authorization to Headquarters an effort should be made to check TRAINS to ensure that all GROUP CATEGORIES will have sufficient authorization after the WOA is processed.

If a group is going to be set up on the work order which references a payable agreement, the agreement needs to be completed through the Headquarters review process and ready for set up in TRAINS prior to submittal of the work order authorization to Headquarters Accounting. If the agreement is not completed prior to the WOA being submitted for approval, the group set up will be delayed until the reviewed agreement is received in Headquarters Accounting.

Work order authorizations for the construction phase of a federal Aid Emergency Relief (ER) project containing Permanent Work must have:

- Complete environmental documentation
- Certified Right-of-Way and the design completed prior to receiving federal approval (this includes state force construction).

When submitting a WOA for construction include along with the request:

- Copy of the estimate
- Design approval date (if applicable)
- Right-of-Way certification and the NEPA dates indicating the environmental classification of the project, (NEPA, CE, EA, EIS, etc.).

Failure to have any of these items complete prior to submitting the funding request to FHWA will result in delays of the funding approval and may delay the start of the project. Note, the Region must have a signed DDIR (FHWA signature) for the permanent work prior to initiating a work order for construction.

## When to Submit a Work Order Authorization Increase

The Work Order Manager should periodically check the status of the work order. If TRAINS shows a WO is overrun, or it will soon overrun, and work is ongoing, a WO increase should be prepared and submitted to Headquarters. The increase should provide adequate funds to cover the overrun and estimated future expenditures. The estimate should be reasonable and should be based on the best information available at the time. Significant increases/decreases to existing work orders need to be submitted prior to overrunning the WO whenever possible.

When reducing existing work orders prior to closure, consideration must be given to estimating expenditures that will occur prior to the work order actually closing. Submitting a request to reduce a work order to actual expenditures when the groups are still open will almost always result in the work order overrunning or the actual expenditures changing prior to the work order being processed through Headquarters.

## Examples of Emergency Maintenance Work Orders

Parameters for this type of work activity are flexible to the extent that they are required to meet only one criteria, i.e., the cost of the activity described under the DM work order setup must be at least \$5,000 to meet FHWA eligibility requirements, given the total of all DM work orders statewide meet the federal minimum for the event of \$700,000

Parameters for a DM work order may be identified by Maintenance Section, Sign Route (in its entirety) or specific locations, so long as the type of activity being performed is functionally related or continuous in nature. Given these parameters, the following examples can be used by field personnel in reviewing and setting up Emergency Maintenance DM work orders:

**Example 1:** High winds caused extensive damage to trees and signs along an entire maintenance area/sign route; in this case one DM work order may be used for the entire section. A similar example would be damage to signals in several locations where the work would be accomplished by the Region-wide signal crew.

**Example 2:** Bridge scouring and related erosion occurred at MP 79-Mill Cr. Br., MP 89-Twin Canyon Br., MP 108-Rainey Cr. Br., MP 116-Silver Cr. Br., and MP 123-Cora Br. In this example there are three options.

1. Bridge scouring and related erosion may be considered one project since the work is similar in nature and repairs will be accomplished by one organization – the Regions' Bridge Crew – and can all be placed on one WO.
2. The second option is for the Region to establish an individual WO for each location. This is desirable if there is a need to track the individual bridge repair costs.
3. Or third, separate groups can be set up for each bridge on one WO.
  - In instances where repair activities on a single sign route are diverse in nature and/or widely separated in terms of miles of roadway field personnel may set up individual work orders (or they could be set up on one WO with a separate group for each type of work) for example:

**Example 3:** SR 12, MP 71 to 75; slide clean up, ditch cleaning, culvert cleaning, and traffic control might be one WO.

**Example 4:** SR 12, MP 143 to 148; roadway settlements in several locations may be a separate WO for the emergency/incidental permanent work performed by maintenance state forces.

**Example 5:** SR 12, MP 154.5; loss of roadway. A DM WO would be set up to cover only the traffic control and emergency incidental/permanent work, with any permanent work to be handled either through the emergency bidding authority or as an unprogrammed project under the Preservation Program under a separate WO.

**Example 6:** SR 12, MP 143 to 148; has emergency/incidental permanent work. Within that section at MP 145 to 146 there is a section of lost roadway that will require permanent work by contract using the unprogrammed project process. When setting up work orders, one WO is set up for the emergency/incidental work for the whole section while another would be set up to capture the permanent work for that part of the section.

## **Introduction**

Emergency work is all necessary work done during or immediately following a disaster to restore essential traffic, to minimize the extent of the damage, or to protect the remaining facilities.

Emergency Relief work (including emergency work, incidental permanent work, and permanent work) at a site is eligible for ER funds if the damage was caused by a federally declared event and the cost of the work exceeds \$5,000/site. Since debris removal costs may be widespread rather than site-specific, FHWA will determine if the costs exceed normal maintenance.

The Detailed Damage Inspection Report (DDIR), WSDOT Form 300-001EF, Appendix 3, and its approval is used to document the scope and eligibility of the work. Normally the Region Maintenance Analyst is responsible for preparing the DDIR along with FHWA. The DDIR must be prepared (normally by the Region) and reviewed for eligibility by FHWA within 90 days after the ER event is approved by the FHWA Administrator. The DDIR divides the work on the project into three categories “Emergency, Incidental Permanent, and Permanent” work. The following is a further definition of these three categories.

## **Emergency Work**

The intent of temporary operations, including emergency work, is to restore essential traffic which cannot wait for a finding of eligibility and programming of a project. Emergency work should be accomplished in a manner which will reduce additional work required for permanent work. The Department will need to coordinate with resource agencies for permit requirements.

Emergency work may be eligible for 100 percent federal aid as long as the work is within the first 180 days after the emergency begins. The 180 days is calculated from the first date of the incident as determined with FHWA. The 180-day ending date will be shown on the FHWA Form 120-006.

The use of Emergency Relief (ER) funds for emergency work on roadways will normally be limited to the amount necessary to bring the washed-out fills and slip-outs back to grade with a gravel surface. In most cases the emergency work will not construct the roadway to a true line and grade but rather follow the terrain and be constructed in the easiest and fastest manner. Work on the roadway, nevertheless, should be adequate so that traffic can travel over it safely at a speed reasonable for the site conditions. Where routes handle heavy traffic, an appropriate type of bituminous surface as a emergency work will be eligible for short sections of roadway.

## Incidental Permanent Work

FHWA's concurrence in the need for repair does not in itself authorize the agency to proceed with permanent restoration work on damaged roadways. However, there may be situations in which immediate completion of the permanent restoration portion of the work is the most economical and feasible way to quickly restore essential traffic. In these situations the permanent restoration work is considered to be incidental permanent restoration work and can be performed with the emergency work, provided it is properly documented in the DDIR. If such work has been accomplished prior to the site damage review, retroactive approval may be given when circumstances warrant. Always coordinate with your FHWA Regional engineer, and ensure you have a signed DDIR before you proceed with this type of work. Also, ensure that HQ has a signed federal aid agreement (Form 120) before proceeding with the work.

### Documentation of this Determination is Essential

**Example 1:** An example would be a bridge and approaches being washed out, construction of a detour being both costly and time consuming, and the agency having precast concrete girders readily available that could be used at the site. In such a case, immediate construction of the permanent structure and approaches could be accomplished at the discretion of the Department and FHWA would consider the work to be incidental permanent restoration and would be documented and reimbursed in the same way as the emergency work.

**Example 2:** The placement of the final surfacing is normally considered to be permanent work. But, it may be considered incidental permanent restoration work in some cases. Such paving must have FHWA concurrence, on the DDIR or subsequent to the DDIR, to be eligible for federal participation. FHWA will consider traffic characteristics, remoteness of the site, traffic control requirements and socioeconomic factors before approval.

## Permanent Work

Permanent repairs are those repairs undertaken, normally after emergency work has been completed, to restore the highway to pre-disaster conditions. Permanent repairs require a separate FHWA Form 120-006 before starting any phase of permanent work, including preliminary engineering for the permanent repair or going to bid if the work is contracted out. Any permanent work performed prior to approval and authorization of the 120-006 is not eligible for federal reimbursement. (This is in addition to the 120-006 form required for the emergency or incidental permanent work.)

A work order authorization for "Permanent Work" needs to be submitted to Headquarters at least three weeks ahead of the planned start date to allow adequate time for processing in Headquarters (Program Management and Accounting) and with FHWA.

Permanent restoration is funded at the normal match rate for the route regardless of when the work is done. Permanent restoration shall be administered using normal federal-aid procedures that include written authorization, NEPA clearance, design approval, permits, right-of-way certification, Plans, Specifications and Estimates (PS&E), advertisement period, etc. The construction phase of all permanent restoration work must begin within two years after the event.

Permanent restoration may involve one or more of the following categories of work:

1. *Restoration-in-Kind*. The ER program provides for repair and restoration of highway facilities to pre-disaster conditions. Restoration-in-kind is the expected predominant type of repair to be accomplished with ER funds. Any additional features or changes in character from that of the pre-disaster facility are considered to be betterments and are generally not eligible for ER funding unless they can be justified because of construction, economy, prevention of future recurring damage, or technical feasibility.
2. *Replacement Facilities*. Where a facility has been damaged to the extent that restoration to its pre-disaster condition is not technically or economically feasible, a replacement facility is appropriate. Replacement facilities should be constructed to current design standards. ER participation in a replacement roadway will be limited to the costs of current design standards of comparable capacity (i.e., number of lanes), and character (i.e., surfacing type, access control, rural/urban section). Replacement of a bridge will be the cost of a new bridge to current design standards for the type and volume of traffic it will carry during its design life.

ER participation may be prorated at the costs of a comparable facility when the proposed replacement project exceeds the capacity and character of the destroyed facility.

3. *Betterments*. A betterment is defined as any additional feature, upgrading or change in capacity, or character of the facility from its pre-disaster condition. Betterments are generally not eligible for ER funding unless justified on the basis of economy, suitability and engineering feasibility, and reasonable assurance of preventing future similar damage. Betterments should be obvious and quickly justified without extensive public hearing, environmental, historical, right-of-way or other encumbrances. The justification must weigh the costs of the betterment against the probability of future recurring eligible damage and repair costs.

Upgrading that results from construction of replacement facilities to current standards as defined above is not considered a betterment requiring further justification.

However, with respect to roadways, increases in capacity or a change in character of the facility would be considered betterments and are not justified for ER participation.



Betterments which have been approved in the past with proper justification include:

- Installation of riprap
- Installation of hydraulic enhancements
- Relocation
- Increased waterway opening
- Slope/bank stabilization
- Slide stabilization
- Dike construction
- Raise grade of roadway

Betterments resulting from environmental or permit requirements beyond the control of the agency are eligible for ER funds, if these betterments are normally required when the agency makes repairs of a similar nature in its own work.

Minor relocations and alignment shifts are frequently advisable and are generally eligible for ER participation. However, any design changes made to avoid damage which could be expected to occur infrequently is questionable. Added features of appropriate protection, such as slope stabilization, slope protection, and slide prevention measures wherever practicable, must have proper support. Slide stabilization work has been declared ineligible in problem areas where slides recur regularly. The cost of monitoring slide stabilization measures after completion of the initial stabilization is not eligible. ER participation in the initial construction does not create a continuing ER responsibility for future additional work.

Betterments which are eligible for reimbursement will be addressed, agreed to, and documented on the DDIR or approved separately by WSDOT and FHWA in response to a local agency request justifying the proposed betterment.

4. *Replacement-in-Kind.* Where extensive damage has occurred, ER funds may be used for replacement-in-kind as the proper solution but with current standard safety features. Where relocation is necessary, each case is considered carefully to determine what part of the relocation is justified for construction with ER funds.
5. *Wayside Areas.* Wayside areas include rest areas and truck weighing stations. Access and parking facilities at a wayside area can be cleared and protected as part of an ER project. Local agency and WSDOT maintenance facilities are not included.
6. *Replacement of Culverts.* Upgrading culverts to current standards must be specifically related to eligible disaster damage repair. Damaged culverts are eligible for repair in kind. Destroyed culverts are eligible for replacement to current standards. Area-wide upgrading of deficient culverts on an area or route basis is not eligible.



7. *Deficient Bridges*. This includes bridges unsafe in structural condition only and does not consider waterway opening, functional obsolescence or serviceability. A structurally deficient bridge which was not under construction or scheduled for replacement with other federal funds may be eligible. ER funds do not replace other federal funds nor will they fund permanent repairs if the bridge is scheduled for replacement. The following represent two common situations:
- a. Bridge is damaged and is repairable. ER funds may participate in:
    - (1) Reasonable emergency work to restore travel.
    - (2) Repair of disaster damage to restore a bridge to a structurally safe condition.
    - (3) Repair of disaster damage if other funds are used to simultaneously correct the structural deficiencies (ER funds cannot be used to correct structural deficiencies).
  - b. Bridge is destroyed or repair is not feasible. ER funds may participate in:
    - (1) Reasonable emergency work to restore traffic.
    - (2) New comparable replacement structure to current standards if bridge was not scheduled for replacement.
8. *Bridge Betterments*. Two common bridge betterment situations are:
- a. Bridge is destroyed. A new comparable replacement structure would be eligible. Betterments are generally not a consideration except:
    - (1) Extensive relocation of a replacement bridge is an ineligible betterment and ER participation will normally be limited to the cost of the structure and a reasonable approach length.
    - (2) Replacement of a current non navigable structure or movable bridge with a high level navigable structure is beyond the intent of a comparable facility and is an ineligible betterment.
  - b. Bridge is seriously damaged, but repair is feasible. Repair-in-kind is eligible for ER funds.

Added protection features such as riprap, spur dikes or additional channel work if justified as a betterment would be eligible (i.e., there is reasonable assurance that similar future damage would be prevented and the cost of the betterment does not unreasonably exceed anticipated future ER costs).

9. *Control Features.* Stream channels outside the agency's right-of-way are generally not eligible. Work involved in channel changes, hydraulic enhancements, riprap, bank protection, clearance of debris and wreckage from the channels and stream beds, and other associated permanent work is not eligible. However, if the agency can establish it has jurisdiction and responsibility for the maintenance and proper operation of this section of the stream the work may be eligible. Normally, projects associated with channel work (riprap, bank protection, etc.) that require right-of-way purchases and/or easements outside the right-of-way are not eligible. The fact the agency responsible for channel maintenance does not have funds to finance the repair and protection work, is not an acceptable reason for ER fund assistance. In situations involving requests for participation in erosion control and bank protection outside the agency right-of-way, the following items must be verified by the agency to obtain eligibility:

- The work is directly related to protection of the highway facility.
- The work is not eligible for funds from another agency.
- No other agency has the responsibility for such work.
- The applicant agrees to accept the future maintenance of all work performed.

When work of this type is proposed, the project documents should include a letter from the local agency covering all four of the above features including acceptance of the responsibility for maintenance. Other supporting data should include copies of correspondence with the Corps of Engineers or other appropriate agency to verify that no other eligibility or responsibility exists.

- Increased bridge width or other geometric improvements and correction of non disaster-related structural or surfacing improvements such as deteriorated pilings or decks are not eligible.

10. *Protective Work.* When permanent and emergency work cost considerably less than proposed protective measures such as riprap, eligibility of protective measures is questionable. For example, if repairs consisting of replacement-in-kind cost only \$5,500 and the estimated cost to provide sufficient protection to prevent damage under similar unusual conditions is \$9,000, participation beyond that necessary for replacement-in-kind would not be economically justified.

11. *"Convenient" Damage.* To eliminate a recurring annual maintenance problem based on the occurrence of a disaster is questionable. For instance, the Department proposes to replace a damaged triple box culvert and roadway fill with a bridge. This is a betterment to alleviate an annual maintenance problem which was accelerated by a disaster. ER participation in the construction cost of a bridge is limited to the amount necessary to restore the triple box culvert.

12. *Rock and Mud Slides.* The removal of rock and mud slides is eligible unless determined to be a pre-existing condition. Such a slide, unless justified on their own as a catastrophic failure, must be associated with the overall natural disaster and must have occurred during the event period as determined by FHWA and/or FEMA.

When an old slide has been activated during a natural disaster, its correction to provide a safe roadway is eligible. Should the agency propose to relocate a road instead of correcting the old slide, the cost of the relocation to pre-disaster capacity and character may be eligible if justified as a betterment.

Slide stabilization is also a betterment. ER participation must be based on detailed analysis of the slide and reasonable assurance of preventing similar future damage, showing stabilization costs do not unreasonably exceed anticipated ER costs. Such analysis must include road relocation, do-nothing alternatives and consideration of previous testing recommendations for the area.

13. *Plugged Culverts.* Cleaning out plugged culverts is an eligible activity as long as it is considered beyond heavy maintenance and is associated with other eligible damage. Replacement of plugged culverts should be considered eligible only when justified as a betterment or when cleaning is not cost effective.

## **Additional Examples of Emergency/Incidental Permanent/Permanent Work**

### **Example 1**

- a. The fill section of a road failed, leaving a two-lane road impassable. WSDOT Maintenance Crew blocked traffic and proceeded to bring in fill material. Once the material was in place, the crew opened the road to traffic on gravel. At this point essential traffic had been restored, therefore the emergency work was complete. Paving the surface was accomplished a month later due to other reasons. Therefore, the paving and striping is considered permanent work. The emergency work would be eligible for 100 percent ER and the permanent work would be eligible for the standard pro-rata share for that highway.
- b. Same example, except the paving is immediately accomplished. Since the crew had most of the equipment already at the site while doing the fill work, it was decided that it would be more cost effective to complete the project while doing the emergency work. Because it was more cost effective to complete along with the emergency work, this permanent restoration would then be considered incidental permanent and funded at 100 percent level by FHWA. In this example the emergency work and incidental permanent restoration would both qualify for 100 percent ER funds.

### Example 2

- a. A bridge washed out making the highway impassable. A temporary bridge was constructed until the main bridge was replaced. The temporary structure restores essential traffic and is therefore eligible for 100 percent ER funding. The replacement of the bridge would be permanent restoration eligible for the standard pro-rata share for that highway.
- b. Same example, except due to the location, no temporary detour can be constructed; therefore, the bridge replacement becomes incidental permanent replacement and if accomplished with 180 days is eligible for 100 percent ER funding because it is required to restore essential traffic.
- c. Same example, a detour is constructed, the old bridge is removed, and a year later a new bridge is constructed and detour is removed. The detour construction would be emergency work at 100 percent ER funding, since it serves to restore essential traffic and prevent damage to the remaining facility. The removal of the old bridge, construction of the new bridge, and the detour removal would be permanent restoration eligible for reimbursement at the pro-rata share.

### Example 3

- a. A large slide covered the highway making it impassable and due to the threat of continued activity, the Department made the decision for safety reasons not to allow any work on the slide. The Department constructed a detour around the slide. This detour is emergency work required to restore essential traffic and is eligible for 100 percent ER funding. The removal of the slide material is considered permanent restoration and is eligible for the standard pro-rata share for that highway.
- b. Same example, except the Department has determined that the slide material is too expensive to remove and due to the size of the slide would not be a safe work environment; therefore, the decision was made to make the detour alignment a permanent structure. Since the detour is required to restore essential traffic, it would be considered emergency work/incidental permanent restoration and would be eligible for 100 percent ER funding, if completed within the first 180 days.

### Example 4

- a. A section of roadway sinks. Maintenance fills up the hole and opens the road to traffic. A short time later roadway sinks again, requiring the same fix. The roadway sinks a third time requiring the same fix. Finally, the roadway stabilizes. Because all of the work described was required to restore essential traffic and preserve the existing roadway, all of the work would be 100 percent federal funding emergency work, if completed within the first 180 days.

## Purpose and Scope

To provide guidance in contracting out emergency work in accordance with the applicable statutory laws and in the administration of the resulting contract.

## Rules

If an outside contractor is to perform work during a declared emergency, the rules set forth below apply regardless of whether the work is considered a maintenance activity, construction activity, or a combination of both.

1. Regardless of the estimated dollar amount of the contract, the contractor must be pre-qualified. If the estimate is \$50,000 or less, D-27 60 may be used to expedite the qualification process.
2. If the work involves the emergency protection and restoration of highways, RCW 47.28.170 allows alternative contracting methods regardless of the size of the contract. The Department may solicit written bids (at least three bids) for the work without publishing a call for bids and then award the contract to the lowest responsible bidder.

The Department may also contract without bids for emergency work under the same statute for a period not to exceed 30 working days. The price of the work would be negotiated but could not exceed the cost of doing the work by force account. The 30-day time frame cannot be extended. However, at the end of the 30-day period, the Department may have the remaining emergency work done by obtaining at least three written bids and awarding the contract work to the lowest responsible bidder.

3. If the emergency contract work will not exceed \$60,000, the Department need not require a bid deposit nor a performance bond. If a performance bond is not required, however, progress payments to the contractor may, at the discretion of the Region Administrator, be conditioned on submittal of paid invoices to substantiate proof that disbursements have been made to laborers, material-men, mechanics, and subcontractors from the previous partial payment. If the contract will exceed \$60,000, a performance bond is required.
4. RCW 60.28.011 requires that 5 percent of the moneys earned by the Contractor be withheld by the public agency as a trust fund for the protection and payment of (a) the claims of any person arising under the contract and (b) state taxes which may be due from the Contractor. This requirement applies to all public improvements or work, other than for professional services. If the Department does not properly withhold the money, or if the money is refunded to the Contractor without the appropriate clearances from Claimants, the Department will be obligated to pay legitimate claims and/or taxes.

5. Since the work is being contracted out, the Department must follow all rules regarding the payment of prevailing wages. In addition, if federal reimbursement will be sought for the project, it will be necessary to include the required federal aid contract provisions.
6. Regardless of the dollar amount of the work, the Department shall prepare a written contract setting forth the terms, conditions, and responsibilities of the contractor, including reference to the applicable *Standard Specifications*.

## **Contracting Procedures**

Once the decision is made to enter a contract with an outside entity:

1. Prequalification (Required in all cases)
  - a. Under \$60,000?  
Use Abbreviated Process (Form DOT 272-063EF)
  - b. Over \$60,000?  
Use a firm already pre-qualified or call Pre-contract
2. Wages
  - a. No federal dollars involved?  
State Wage Laws Apply  
Statement of Intent and Affidavit of Wages Paid
  - b. Federal dollars involved?  
Davis-Bacon Act applies  
Required Federal Aid Provisions  
Payrolls and Interviews Required  
Statement of Intent and Affidavit of Wages Paid
3. Bond
  - a. Under \$60,000?  
Not required (Consider Invoice Verification)
  - b. Over \$60,000?  
Performance Bond is required

4. Retainage
  - a. Always required
  - b. Pay taxes and claims/verify and release
  - c. Obligation if not retained
  - d. Could require a bond in lieu of retainage
5. Written Contract is Required
6. Type of Contract
  - a. Negotiated, single contractor, no bids
    - (1) Cannot exceed 30 working days
    - (2) If getting close to 30 days, start one of the appropriate processes:
  - a. Solicited Bids
    - (1) Three required
    - (2) Needs bid documents — description of work and quantities
  - b. Conventional Published Call for Bids
    - (1) Plan preparation
    - (2) Review process
    - (3) Policy inclusions: Such as training, Disadvantaged Business Enterprises, etc.

### **Contract Administration Procedures**

1. *Layout.* The responsibility for layout (defining the work on the ground — surveying, staking, etc.) of the work is the state's, unless the contract provisions say otherwise.
2. *Materials.* If standard items are used, they must meet the *Standard Specifications* requirements and they must be sampled and tested as required by the *Construction Manual*. Regions may insert special provisions that call out other specs. These should be approved by Headquarters Construction (after-the-fact approvals are possible, but there is a risk).
3. *Inspection.* A state employee must either be present, or must be able to see the work done since the last visit.
4. *Payment.* Using Contract Administration and Payment System (CAPS), estimates are prepared. If CAPS is not used, payments may be made by voucher. If the work is being funded under the construction programs, CAPS and Construction Contract Information System (CCIS) must be used. The use of CAPS leads to the assignment of a "00" contract number. CCIS entries are needed and are made by the Region.

5. *Subcontracting.* Subs can do up to 70 percent of the work. Subs must be approved by the state and must follow all of the same requirements as the Prime Contractor.
6. *Retainage.* For projects using CAPS, the retainage is done automatically and all reviews, clearances, and claims are automatically tracked by CAPS. If the work is being paid by voucher, the originating office will need to withhold five percent unless a bond is provided. At the end of the job, the originating office verifies that taxes and claims have been satisfied before releasing the funds or bond.
7. *Wages.* On all jobs, the Prime and all subs must submit a Statement of Intent to Pay Prevailing Wages, obtained from Labor and Industries, and provide an Affidavit of Wages Paid at completion. On federal-funded jobs, the state must collect certified payrolls from the Prime and all subs. The state must also conduct field interviews of employees to confirm the amounts shown on the payrolls.
8. *Changes.* Any changes to the work must be in writing and must be approved by the Region Representative, the Region Construction Engineer, or the Headquarters Construction Office, depending on the nature of the change (see the [Construction Manual 1-2.4C](#) for guidance).
9. *Closure.* The Region is responsible for determining the final payment amount, preparing final records, and as-built plans.



## ***Project Closure***

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Once the work is complete, and if the project is federally funded, two separate actions must take place.

1. All work orders associated with the federal aid project must be closed.
2. The federal aid project must be closed. This requires the Region to prepare the appropriate form and submit it to Headquarters Project Support Services with a copy to Headquarters Program Management and FHWA. If the project requires FHWA write the final report, then the Region is responsible to coordinate with FHWA to get the report completed.

The closure and the form to be used depends on which program the project is in.

1. **Projects in M2** — Closure of “DM” projects by Maintenance Administration — Form 422-100A (Appendix 5)
2. **Projects in the Highway Construction Program** — Closure of “00” and “MS” projects by Construction Administration — Form 422-100 EF (Appendix 4)

Ninety days after final acceptance of the project by the Director, Environmental and Engineering Programs, the Headquarters Accounting Services Office will change all construction work orders to state funds and the federal project will be closed.



## **Betterments Per FHWA Memorandum**

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The ER program is intended to assist the states in repairing damaged highway facilities to their pre-disaster condition. In-kind restoration is the predominate type of repair. However, on occasion, a state may decide to incorporate additional features into the repair work that help protect the highway facility from future disaster damage, or to make changes that modify the function or character of a highway facility from what existed prior to the disaster. These added protective features or changes to the function or character of the facility are viewed as betterments for the purposes of the ER program. Betterments involving added protective features are not eligible for ER funding unless found to be cost-effective in terms of reducing probable future recurring repair costs to the ER program. Betterments that change the function or character of the facility are generally not eligible for ER funding.

### **Categories of betterments for protection from possible future damage**

The first category of betterments includes those that help protect highway facilities from possible future damage.

*Examples are:*

- Raising roadway grades
- Relocating roadways to higher ground or away from slide prone areas
- Stabilizing slide areas
- Stabilizing slopes
- Installing riprap
- Lengthening or raising bridges to increase waterway openings
- Deepening channels
- Increasing the size or number of drainage structures
- Replacing culverts with bridges
- Installing seismic retrofits on bridges
- Adding scour protection at bridges
- Adding spur dikes

If a betterment involving an added protective feature is included in an ER repair project, the betterment may be considered eligible for ER funding under 23 CFR 668.109(b)(6) if it can be economically justified based on an analysis of the cost of the betterment versus projected savings in costs to the ER program should future disasters occur. This cost/benefit analysis must focus solely on benefits resulting from estimated savings in future recurring repair costs under the ER program. The analysis cannot include other factors typically included in highway benefit/cost evaluations, such as traffic delays costs, added user costs, motorist safety, economic impacts, etc.

It is recognized that in many instances betterments will fail to meet the test of being economically justified for use of ER funding. If ER funding cannot be provided for a betterment, this does not mean that the betterment should necessarily be excluded from the ER repair project. If a betterment provides considerable benefit when other factors are considered, the state is encouraged to use regular apportioned federal-aid highway funds, as appropriate, to fund a betterment.

One exception to the above discussion on betterments associated with added protective features involves grade raises associated with basin flooding. The FHWA has determined that raising the grades of critical federal-aid highways faced with long-term loss of use due to basin flooding is eligible for ER funding (see 23 CFR 668.109(b)(8)). In these instances, if the FHWA Administrator finds that a basin flooding event is eligible for ER funding, reasonable grade raises require no further economic justification as betterments.

Another exception involves repairs of features, such as bridges, that may require permits or approvals from other entities. If these other entities are routinely requiring added features as standard industry practice on other projects of similar nature to the ER project, then these added features can be included on the ER project without further justification as a betterment.

## **Categories of betterments to change the function or character of the facility**

*Examples:*

- Adding lanes
- Upgrading surfaces, such as from gravel to paved
- Improving access control
- Adding grade separations
- Changing from rural to urban cross-section

In general, betterments that change the function or character of a facility are not eligible for ER funding. One exception is established under 23 U.S.C. 120(e) that allows ER funding participation in replacement bridge facilities that can accommodate traffic volumes over the design life of the bridge, thus potentially allowing ER funding for added lanes on bridges.

*Examples:*

Situations where use of ER funding for repair activities is not considered a betterment are:

Replacement of older features or facilities with new ones — the mere fact that a damaged highway feature or facility is replaced with something new that may extend the service life of the facility, in and of itself is not a betterment.

Incorporation of current design standards — repaired facilities may be built to current design standards, which could result in improved or added features that do not change the function or character of the facility. For example, a repaired length of roadway may have wider lanes or shoulders and additional roadside safety hardware that result from following current design standards. This is not a betterment.

Replacement in-kind on existing location not practical or feasible — on rare occasions, when it is neither practical nor feasible to replace a damaged highway facility in-kind on its existing location, an alternative selected through the environmental/public involvement process, if of comparable function and character to the destroyed facility, is eligible for ER funding. This is not a betterment. (See the following discussion on replacement facilities for more information on this special situation.)

Additional required features resulting from the environmental process — ER projects may include additional required features as an outcome of the project being developed in accordance with the NEPA process. These features are eligible for ER funding. This is not a betterment. (See the following discussion on environmental considerations for more information.)



## **Replacement Facilities**

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A state may decide to replace a damaged highway facility with a new replacement facility. The extent of ER participation varies depending on the circumstances involved. Various scenarios, with examples, are discussed below.

### **Scenario 1**

A highway facility has been seriously damaged; however, inspection verifies that it is possible to repair and restore the existing facility. Although the facility is repairable, the state decides it wants to replace the existing facility with a new or alternative facility. In this case, ER funding can be applied towards a new or alternative replacement facility; however, ER funding is limited to the ER program share of the estimated cost to repair the existing facility. Regular apportioned federal-aid highway funds may be used to fund project costs above the amount eligible for ER funding.

#### **Example**

An elevated structure serving as a portion of a non-Interstate route in an urban area, although seriously damaged by an earthquake, does not collapse. It is determined the structure is repairable at an estimated cost of \$50 million. The state does not want to repair the elevated structure, but instead wants to replace it with an alternate facility at-grade or depressed. If the alternate facility provides comparable traffic service and will accommodate the known corridor traffic demands of the pre-disaster facility, then ER funds may participate in the federal share of the replacement facility up to an amount of \$40 million in ER funds (\$50 million estimated cost of repair multiplied by the 80 percent federal share for non-Interstate ER repair work). This is commonly referred to as capping the amount of eligible ER funds.

### **Scenario 2**

A highway facility has been seriously damaged and inspection confirms that it is not repairable. The state decides it wants to replace the existing facility with an in-kind replacement facility (of comparable function and character to the damaged facility) on the existing location. In this case, ER funding may participate in the total cost of the replacement facility.

#### **Example**

A bridge on a non-Interstate route crossing a river is heavily damaged and collapses during flooding. It is determined the bridge cannot be repaired, but must be replaced. The state decides to replace the bridge at the existing site and the replacement structure costs \$5 million to build. Emergency relief funding may participate in 80 percent of the incurred costs, which in this example amount to \$4 million.

### Scenario 3

A highway facility has been seriously damaged and inspection confirms that it is not repairable. Although it is feasible to build a replacement facility at the location of the existing facility, the state chooses to replace the existing facility with an in-kind replacement on a new location. In this case, ER funding for the replacement facility is limited (capped) to the ER program share of the estimated cost to replace the facility in-kind at its existing location. Regular apportioned federal-aid highway funds may be used to fund project costs above the amount eligible for ER funding.

#### Example

In the same example used in the second scenario above, instead of replacing the bridge at the existing site, the state chooses to replace the bridge at a new site a half mile downstream, using this as an opportunity to improve the overall alignment of this section of roadway. Because of stream characteristics at the new downstream bridge site, a longer structure is required. Also, the new site requires a mile of additional approach work. The result is that a bridge at the new site costs an additional \$2 million (to a total of \$7 million) above the estimated cost to replace the bridge at the existing site. For this \$7 million project, ER funding may participate in the federal share of costs up to an amount of \$4 million (\$5 million estimated cost of replacement at the existing site multiplied by the 80 percent federal share for non-Interstate ER repair work).

### Scenario 4

A highway facility has been seriously damaged and inspection confirms that it is not repairable. Additionally, because of the very unique circumstances involved, it is also determined that it is neither practical nor feasible to replace the facility in-kind at its existing location. Consequently, an alternative replacement facility is developed through the NEPA process that is on a new location. Provided this alternative is of comparable function and character to the destroyed facility, it is eligible for ER funding. It is noted this scenario rarely arises under the ER program. In almost all cases, it is practical or feasible to replace a damaged facility in-kind on its existing location, and the determination that the facility must be built on a new location is intended to be an extremely stringent test.

#### Example

A rural non-Interstate highway, located in a valley area, is blocked by a massive landslide that also dams up a river in the valley. The landslide forms an earthen dam, backing up the river and forming a lake. Two miles of roadway are submerged under a significant depth of water. A decision is made by authorities that the landslide formed dam will remain in place along with the lake it has created. It is determined it is neither practical nor feasible to replace the highway at the existing location. As a result, the highway must be relocated and the appropriate replacement facility, developed through the environmental/public involvement process, becomes a relocated facility, four miles in length, bypassing the submerged section of roadway. The relocated facility costs \$20 million to build and ER funding may participate in 80 percent (\$16 million) of this total cost.



## ***Environmental Considerations***

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The term “emergency” is defined differently by each federal, state, and local agency. However, an emergency declared by WSDOT may or may not be considered an emergency under presidential, political, or environmental regulation declaration. A synopsis of the varying definitions is provided.

### **Federal Laws**

#### **National Environmental Policy Act (NEPA)**

Each Federal Agency has its own definition.

#### **Endangered Species Act (ESA)**

An emergency is a situation involving an act of God, disasters, casualties, national defense or security measures, etc., and includes response activities that must be taken to prevent the imminent loss of human life or property.

Source: 50 Code of Federal Register (CFR) 402.05

#### **Federal Highway Administration (FHWA)**

**Natural disaster.** A sudden and unusual natural occurrence, including but not limited to intense rainfall, floods, hurricanes, tornadoes, tidal waves, landslides, volcanoes or earthquakes which cause serious damage.

Source: 23 CFR 668.103

**Catastrophic failure.** The sudden failure of a major element, or segment, of the highway system due to an external cause. The failure must not be primarily attributable to gradual and progressive deterioration or lack of proper maintenance. The closure of a facility because of imminent danger of collapse is not in itself a sudden failure.

Source: 23 CFR 668.103

#### **US Army Corps of Engineers**

An “emergency” is a situation, which would result in an unacceptable hazard to life, a significant loss of property, or an immediate, unforeseen, and significant economic hardship if corrective action requiring a permit is not undertaken within a time period less than the normal time needed to process the application under standard procedures.

Source: 33 CFR 325.2(e)(4)

## **State Laws**

### **State Environmental Policy Act (SEPA)**

Actions that must be undertaken immediately or within a time too short to allow full compliance with this chapter, to avoid an imminent threat to public health or safety, to prevent an imminent danger to public or private property, or to prevent an imminent threat of serious environmental degradation, shall be exempt. Agencies may specify these emergency actions in their procedures.

Source: WAC 197-11-880 Emergencies

### **Transportation, Department of (WSDOT)**

The emergency exemptions defined in WAC 197-11-880 include, but are not limited to, the following emergency actions taken by the Department:

1. Issuance of emergency load restrictions on highways and bridges.
2. Performance of emergency protection or restoration of highways and other transportation facilities under circumstances defined in RCW 47.28.170.
3. Approval of funding for emergency projects.
4. Emergency disposal of hazardous material.
5. Emergency disaster maintenance.
6. Installation, removal or alteration of emergency generator equipment.
7. Restriction of use of bridges due to structural deterioration.
8. Emergency removal of materials dangerous to highways, bridges, or other transportation facilities.

**Emergency protection and restoration of highways.** Whenever the Department finds that as a consequence of accident, natural disaster, or other emergency, an existing state highway is in jeopardy or is rendered impassible in one or both directions and the Department further finds that prompt reconstruction, repair, or other work is needed to preserve or restore the highway for public travel, the Department may obtain at least three written bids for the work without publishing a call for bids, and the secretary of transportation may award a contract forthwith to the lowest responsible bidder.

Source RCW 47.28.170

### **Fish and Wildlife, Department of (WDFW)**

Emergency means an immediate threat to life, the public, property, or of environmental degradation.

Source: RCW 75.20.100 (5)(b)

“Emergency” means an immediate threat to life, public or private property, or an immediate threat of serious environmental degradation, arising from weather or stream flow conditions, other natural conditions, or fire.

Source WAC 220-110-020 (22)

### **Section 401 of Clean Water Act**

No definition of or exemption allowed for emergencies.

## **Local Laws**

### **Shoreline Management Act (SMA)**

“Substantial development” shall mean any development of which the total cost or fair market value exceeds two thousand five hundred dollars, or any development, which materially interferes with the normal public use of the water or shorelines of the state; except that the following shall not be considered substantial developments for the purpose of this chapter:

1. Normal maintenance, or repair, of existing structures or developments including damage by accident, fire, or elements;
2. Construction of the normal protective bulkhead common to single family residences;
3. Emergency construction necessary to protect property from damage by the elements;

Source: RCW 90.58.030 (3) (e)

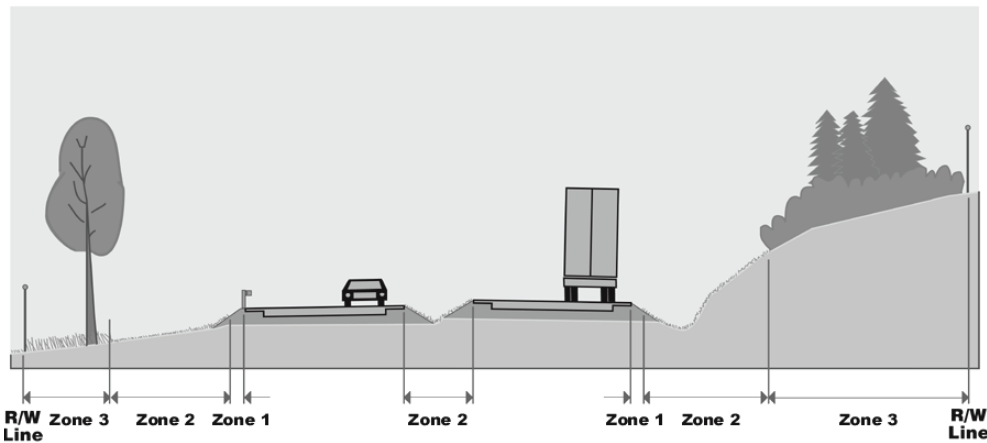
An emergency is an unanticipated and imminent threat to public health, safety or the environment, which requires immediate action within a time too short to allow full compliance with this chapter. Emergency construction does not include development of new permanent protective structures where none previously existed. Where new protective structures are deemed by the administrator to be the appropriate means to address the emergency situation, upon abatement of the emergency situation the new structure shall be removed or any permit which would have been required, absent an emergency, pursuant to Chapter 90.58 RCW, these regulations, or the local master program, obtained. All emergency construction shall be consistent with the policies of Chapter 90.58 RCW and local master program. As a general matter, flooding or other seasonal events that can be anticipated and may occur but that are not imminent are not an emergency.

Source: WAC 173-27-040 (2)(d)

## Natural and Technological Hazards within Washington

For detailed information regarding the following events, reference WSDOT Disaster Plan or the Washington Emergency Management Department at <http://emd.wa.gov/>:

Natural Hazards	Technological Hazards
Avalanche	Abandoned Underground Mine
Drought	Chemical
Earthquake	Civil Disturbance
Flood	Dam Failure
Landslide	Hazardous Material
Severe Storm	Local Hazard
Tsunami	Pipeline
Volcano	Radiological
Wildland Fire	Terrorism
	Transportation
	Urban Fire



Typical Roadside Management Zones

## Road Structure

An understanding of the road structure and its relationship to water quality, quantity, and habitat is critical to the successful implementation of the ESA 4(d) program.

1. The road structure is part of the Water Quality (WQ) treatment system that removes sediments and pollutants from water. The road structure directs water from the road:
  - a. Across gravel
  - b. To the shoulder
  - c. To the front slope of the ditch
  - d. Through the ditch to swale/retention/detention areas
  - e. To outlets
2. Stabilization of the road structure is vital. The structure must be stabilized as soon as the erosive process starts in Zone 2 (for environmental purposes only).

## Compensatory Mitigation

The Council on Environmental Quality (CEQ), National Environmental Policy Act (NEPA), State Environmental Policy Act (SEPA), Hydraulic Code Rules, and the ESA 4(d) Routine Road Maintenance Program include six elements in their definition of mitigation:

1. Avoiding
2. Minimizing
3. Rectifying
4. Preserving and Maintaining
5. Compensating
6. Monitoring

Typically, mitigation is thought of in three terms: avoidance, minimization, and compensation.

1. However, reducing or eliminating impact to the environment by using **preservation** and maintenance operations during the life of the action is also mitigation.
2. Compensatory mitigation is outside the definition of ordinary maintenance according to WSDOT RCW 47.
3. Routine highway maintenance activities are allowed by NMFS, USFWS, Ecology, and WDFW on the condition that WSDOT avoids and minimizes impacts through the use of BMPs and develops a program to fund corrective action repairs for Chronic Environmental Deficiencies (CED).
4. Corrective actions that add new features to the highway system (i.e. bank barb) do require compensatory mitigation.
5. Permanent repair work (which adds new structures that change the course, current, or cross section of a stream or river) usually requires compensatory mitigation as part of the project.

## Funding

The Highway Improvements (I-4) Program for CED provides funding for long term fixes that restore the natural environmental process.

Emergency projects (performed by either maintenance or construction) must follow the Federal Highway Administration (FHWA), Emergency Relief (ER) Program requirements.

1. Initial emergency work must be limited to:
  - a. Stabilizing the situation;
  - b. Minimizing effects; and
  - c. Using BMPs to avoid further impact.

2. Permanent new work:
  - a. Examines all alternatives (including no action);
  - b. Meets NEPA and SEPA requirements;
  - c. Fully mitigates direct and indirect impacts;
  - d. Starts after the issuance of environmental permits; and
  - e. Uses BMPs.

### **Three Types of Maintenance Activities for Environmental Consideration (Definitions)**

WSDOT's RCW identifies maintenance activities as either normal or emergency. However, after several years of environmental compliance monitoring it has been determined that maintenance conducts *three types* of work activities.

*Notes: Normal Maintenance can be separated into Routine Maintenance and Unscheduled Maintenance.*

#### **Routine Maintenance**

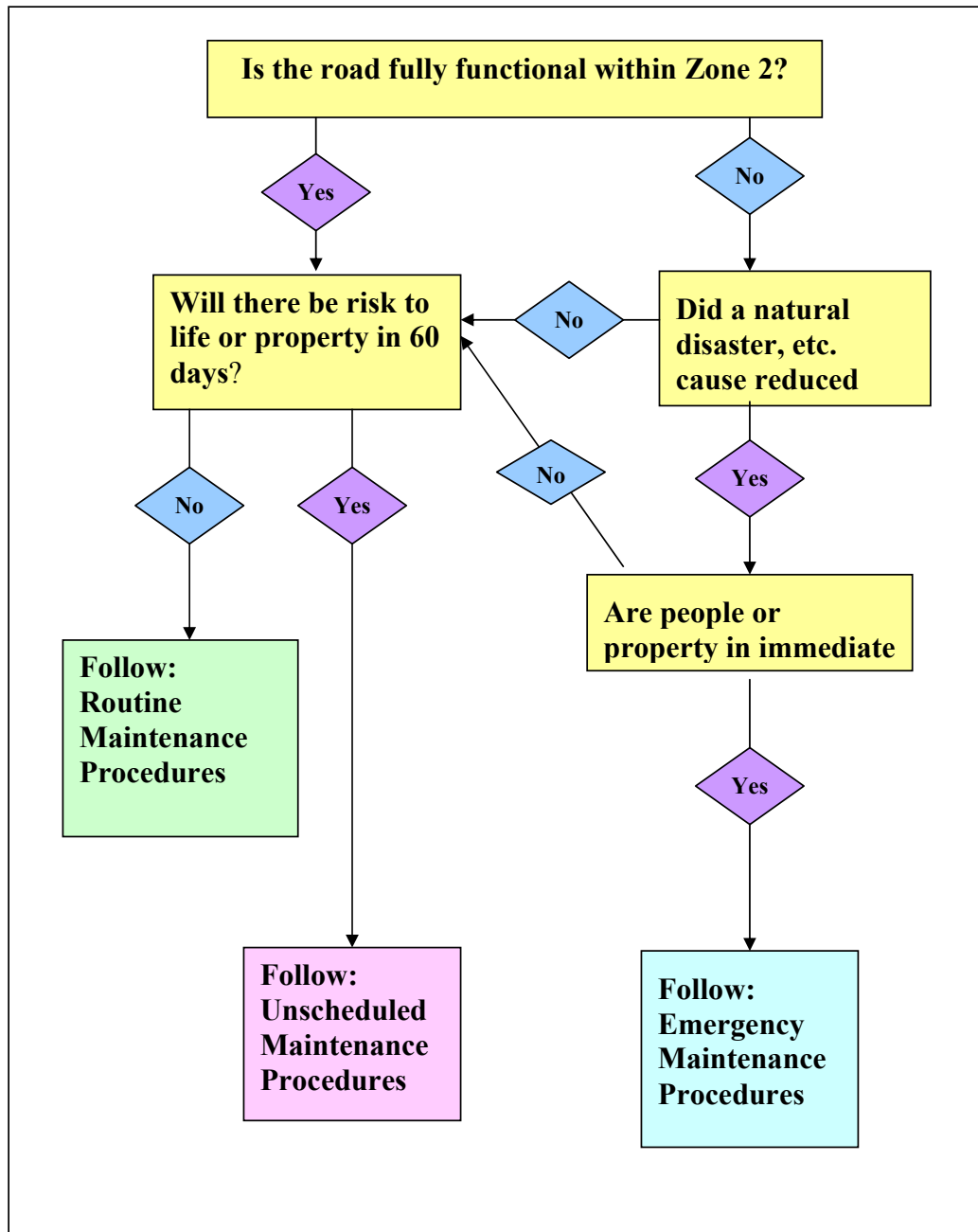
1. Budgeted work
2. Performed routinely
3. On a scheduled basis
4. Intended only to maintain the highway facility/element so that it substantially retains its original intended use and function

#### **Unscheduled Maintenance**

1. Not budgeted
2. Unscheduled activities (due to weather conditions, vandalism, etc.)
3. The event poses an imminent danger to existing structures or the traveling public
4. Confined to work which retains the functionality of the structure's original design
5. Does not include the construction of new roadway elements

#### **Emergency/Disaster Maintenance**

1. Not budgeted
2. Not scheduled
3. Similar to unscheduled maintenance activities except that the conditions are greater in scope and magnitude
4. Confined to work which retains the functionality of the structure's original design
5. Does not include the construction of permanent new roadway elements



**Road Maintenance  
Emergency Response Chart**

### Three Types of Emergency Response

#### **Natural or human caused disasters**

Includes events such as fire, flood, earthquake, etc.

#### **Unscheduled Maintenance Activities**

1. Unanticipated repairs of structures and facilities;
2. Beginning within a few days, or before the next wet weather event;
3. Insufficient time remains to complete the normal HPA permitting process and therefore requires expedited permits; and
4. If the danger becomes more immediate and regulations cannot be met, the applications should be treated as Emergency/Disaster Maintenance.

#### **Hazardous Materials Incident**

1. **Containment and cleaning:**
  - a. The responsible party will clean up after themselves; however
  - b. In cases when the responsible party cannot be identified or made to clean up their spill, the responsibility falls to the Department of Ecology.
2. **WSDOT maintenance personnel:**
  - a. Manage vehicle traffic at incidents on state highways;
  - b. Provide technical information (i.e. drainage characteristics);
  - c. Take control actions, when necessary and feasible, to prevent the release of small quantities of petroleum products into surface waters;
  - d. Are provided spill kit training; and
  - e. Are provided spill kits for maintenance vehicles.

### **Emergency Response and Failure to Respond**

#### **During an Emergency Response:**

- Stabilize the situation
- Minimize impacts
- Use BMPS to avoid further impact

#### **Failure during an Emergency Response may result in:**

- Serious environmental degradation
- Threat to public health or safety
- Damage to public or private property



## **Environmental Documents (this section is for Environmental Staff only)**

### **Categorical Exclusions (NEPA):**

1. Actions that do not (individually or cumulatively) have a significant environmental effect are excluded from the requirement to prepare an Environmental Assessment or Environmental Impact Statement.
2. Repair projects that are Categorically Exempt (for SEPA) may require additional documentation in the NEPA process. This occurs when repair projects receive funding under the Emergency Relief (ER) Program, they must comply with NEPA requirements.
3. ER Projects that involve permanent repair work to restore the existing facility in-kind at the existing location are likely to be viewed as Categorical Exclusions.

### **Categorical Exemptions (SEPA):**

1. Actions that do not (individually or cumulatively) have a significant environmental effect are Categorical Exemptions.
2. Maintenance work that stabilizes the situation and construction work that restores the highway system have been classified as Categorical Exemptions under WAC 468-12-880 Exemptions for Emergency Actions. They are not subject to SEPA review.
3. Emergency repairs restoring essential travel, minimizing the extent of damage, or protecting remaining facilities have been classified as Categorical Exclusions under 23 CFR 771.117.

## **Emergency Response (ER) Projects**

### **Betterments**

Although it may appear that a project qualifies as Categorical Exclusion, certain betterments (a.k.a. retrofits) may be of enough significance that an Environmental Assessment or an Environmental Impact Statement is necessary.

### **Replacement**

1. When an ER project involves constructing replacement facilities an Environmental Assessment or an Environmental Impact Statement may be required, particularly when a replacement facility is proposed on a new location.
2. When ER funding pays for the replacement of a facility, any required added features are eligible for ER funding. These are not viewed as betterments, but rather as integral parts of the replacement project needed to comply with NEPA.

### **ER Projects Incorporating Added Features**

As a result of an ER project being developed in accordance with the NEPA process, it may be necessary for the project to incorporate added features to mitigate impacts associated with items such as wetlands, noise, endangered species, etc. If these added features associated with betterments are determined:

1. Eligible for ER funding, then the added features are also eligible for ER funding.
2. Ineligible for ER funding, then other funding sources are to be used to construct the added features.

### **Limited ER Funding**

1. When an alternative facility must be built as replacement for a damaged or destroyed facility and ER funding is limited, the ER funding pays for the replacement of the facility, including any added features, but only up to the limited amount established for ER funding.
2. Replacement projects or betterments may adopt the NEPA document for SEPA compliance, including Documented Categorical Exclusions in lieu of the SEPA checklist.
3. WSDOT has an implementing agreement (June, 1996) with the Department of Ecology covering adoption of Documented Categorical Exclusions.

### **Permits**

In cases of imminent danger and when the affected structure is only required to maintain the functionality of its original design, WSDOT shall issue a Joint Aquatic Resource Permit Application (JARPA) application requesting an expedited, written Hydraulic Project Approval (HPA) permit, for:

1. Work to repair existing structures
2. Moving obstructions
3. Restoring banks
4. Protecting property
5. Protecting fish resources

The Hydraulic Project Approval (HPA) permit is the most common state permit required for work in waters of the state, it:

1. Does not contain emergency exemptions;
2. Must be obtained for any emergency response work; and
3. Allows for the permanent repair of structures.

**Note:** An emergency response does not mean exemption from environmental documentation and permit requirements. The required permits must be applied for during or after the incident.

## Maintenance Procedures for Hydraulic Work in Watercourses

### Routine Maintenance

1. Follow normal procedures.
2. Start work after the Standard HPA is issued.
3. Use BMPs.

### Unscheduled Maintenance

1. Expedite internal procedures.
2. Start work within a few days (or before the next anticipated storm event.)
  - a. If insufficient time exists for the Standard HPA Permit, an expedited HPA will be requested.
  - b. If the danger becomes more immediate and permitting requirements cannot be met, the event will become an Emergency/Disaster Maintenance action.
3. Use BMPs.

### Emergency/Disaster Maintenance

1. If an HPA has not been issued, or there is inadequate time to get one through normal channels, immediately contact Washington Department of Fish and Wildlife (WDFW) for an expedited or oral approval.
  - a. During normal business hours:
    - 1) Contact the Regional Area Habitat Biologist (AHB);
    - 2) Take digital photos, if possible;
    - 3) E-mail photos to AHB with explanation of work; and
    - 4) Fax a completed JARPA application.
  - b. After normal business hours: All Regions will contact WDFW at (360) 902-2537.
2. Contact the Regional Maintenance Environmental Coordinators or the Environmental Manager if any doubt remains concerning the event.
3. Start work as soon as possible.
4. Apply for written permits (if required) for permanent repairs after stabilizing the emergency.

5. Use BMPs

Emergency Contact Personnel		
Region	Regional Environmental Manager	Regional Maintenance Environmental Coordinator
Northwest	(206) 440-4548	(206) 440-4523
Southwest	(360) 905-2174	(360) 905-2173
North Central	(509) 667-3055	(509) 667-3054
South Central	(509) 577-1750	(509) 577-1758
Olympic	(360) 570-6701	(360) 570-6707
Eastern	(509) 324-6134	(509) 324-6133

**Notification Procedures**

Compliance with the Regional ESA 4(d) Program requires each Region to develop notification procedures for contacting resource agencies during emergency responses. To obtain a Region’s procedure, contact the above manager or coordinator.

**Documentation Procedures**

WSDOT can be protected from future liability through documentation.

1. Telephone Logs: Keeping telephone billing statements as documentation provides incalculable proof that notification requirements were made in a timely manner to the proper authority.
2. Photographs: Taking photographs documenting site conditions before, during, and after an event provides invaluable information. Digital photographs allow for a quicker response.
3. Diaries or Disaster Maintenance (DM) work orders. Record events and observations as they occur, record the who, what, where, when, and how of the event. Often a few short sentences in a field notebook are better than a few foggy memories.
4. WSDOT Emergency Response Checklist. Completion of this checklist is recommended, but not required. See [Appendix 6](#).

**Federal Emergency Relief Funding and HPA Matrix**

**Emergency/Temporary Work:**

1. Expedited or Oral Emergency HPA Approval. The Expedited Permit is granted within 15 days after receipt of a complete JARPA application, however it is only valid for 60 days; and
2. The oral Emergency HPA Permit is granted immediately upon request, however it is only valid for 30 days; and must be followed by a written Emergency HPA Permit before the 30 days has elapsed.

**Incidental/Permanent Work:**

1. Oral Emergency HPA Permit, which is only valid for 30 days; or
2. Expedited HPA Permit, which is only valid for 60 days.

**Permanent Work:**

1. Standard HPA permit is granted within 45 days of receipt of a complete JARPA application; and
2. Is valid for the length of the work (not to exceed five years).

Emergency Response	Hydraulic Permit Approval		
Type of ER Work	Type of Permit	Processing Time	Length of Validity
<b>Emergency/ Temporary</b>	Emergency HPA Permit (oral)	Immediately, by phone	30 days
	Expedited HPA Permit	Up to 15 days	60 days
<b>Incidental/ Permanent</b>	Emergency HPA Permit (oral)	Immediately, by phone	30 days
	Expedited HPA Permit	Up to 15 days	60 days
<b>Permanent</b>	Standard HPA permit	Up to 45 days	Length of work; not to exceed five years.

**Take Limit**

A ‘**take limit**’ for threatened species under NMFS 10 (ii) of the ESA 4(d) rule for non-federal actions is allowed by WSDOT’s Regional Road Maintenance Endangered Species Act Program Guidelines, Part 3 application.

1. An ESA 4(d) special rule exemption from the Section 9 ‘take prohibition’ for routine road maintenance has not, as yet, been determined, although USFWS comments have been incorporated into the Regional Program.
2. Bull trout and southwestern Washington Lower Columbia River coastal cutthroat trout are under the jurisdiction of the USFWS.
3. Bull trout and coastal cutthroat trout are included in the Regional Program because of their presence within Washington State.
4. WSDOT follows the Regional Program for non-federal routine road maintenance work, including bull trout and coastal cutthroat.

## **ESA Federal Nexus**

Emergency response maintenance work that could trigger a Federal “nexus” that requires the consultation requirements of ESA Section 7 include:

1. Federal Pass through funding (i.e. FHWA Emergency Relief Funding or FEMA funding);
2. Corps provided assistance (flood fight);
3. Natural Resource Conservation Service (NRCS) provides assistance;
4. Federal Permit Authorizes work (Corps permits); or
5. Work located on federal lands (USFW, National Park Service, Military, or Tribal Lands).

## **Federal Pass Through Funding**

State funding initially pays for all emergency work. When an emergency occurs, it is unknown whether the action will be eligible for federal support. In many cases, part or all of the emergency work is done prior to this determination.

1. The Services will be notified<sup>1</sup> that WSDOT is taking an emergency action. This initial contact:
  - a. Constitutes the first stage of the ESA Section 7 consultation (required when emergency consultation is initiated for emergency situations (50 CFR 402.05)).
  - b. Is to inform the Services (NMFS & USFWS) that emergency procedures are being invoked and that measures to minimize impacts will be employed.
2. Emergency work is limited to:
  - a. Stabilizing the situation;
  - b. Minimizing effects; and
  - c. Using BMPs to avoid further impact.
3. To comply with ESA Section 7 consultation requirements, after the emergency it is necessary to coordinate with the Services (NMFS & USFWS) to conclude the consultation (if ER funding was received).
4. Permanent repairs (that add new structures which are federally funded) will follow the normal ESA Section 7 consultation process.

## **Federal Assistance**

The Corps and NRCS are responsible for emergency consultations. The ESA allows the emergency action to be implemented, and then followed up with a written consultation with the Services after the action has taken place.

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<sup>1</sup> WSDOT is the FHWA non-federal representative for ESA informal consultations and preparation of biological assessments.

## Federal Permit

The most common federal permit requiring an ESA Section 7 consultation is the Army Corps of Engineers' Dredge and Fill Permits under Section 404 of the Clean Water Act. Most maintenance activities (routine, unscheduled and emergency/disaster maintenance) satisfy the criteria for "Discharges not requiring permits," contained in paragraph 33 CFR 323.4(a)(2) of the Corps regulations:

Maintenance, including emergency reconstruction of recently damaged parts of currently serviceable structures such as dikes, dams, levees, groins, riprap, breakwaters, causeways, bridge abutments, or approaches, and transportation structures. Maintenance does not include any modification that changes the character, scope, or size of the original fill design. Emergency reconstruction must occur within a reasonable period of time after damage occurs in order to qualify for this exemption.

The Army Corps of Engineers (Corps) should be notified<sup>2</sup> that WSDOT is taking an emergency action. This initial contact:

1. Constitutes the first stage in ESA Section 7 consultation (required when emergency consultation is initiated for emergency situations (50 CFR 402.05)).
2. Is to inform the Corps that emergency procedures are being invoked and that measures to minimize impacts will be employed.
3. Emergency work is limited to:
  - a. Stabilizing the situation
  - b. Minimizing effects
  - c. Using BMPs to avoid further impact
4. If the Corps determines that a permit is required because the exemption was not appropriate, an after the fact emergency ESA Section 7 consultation with the Services will be required.
5. Permanent repairs that add new fill material, outside of the original design, will require a Corps permit and follow the normal ESA Section 7 consultation process.

## WSDOT Emergency Goal

While maintaining transportation systems during an emergency, WSDOT's overall goals are to save lives, protect property (both state and private), and preserve the environment.

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<sup>2</sup> WSDOT is the Corps non-federal representative for ESA informal consultations and preparation of biological assessments.





**Betterment** A betterment is defined as any additional feature, upgrading, or change in capacity or character of the facility from its pre-disaster condition. Costs for a betterment are generally not eligible for ER funding unless justified on the basis of economy, suitability, and engineering feasibility and reasonable assurance of preventing future similar damage. A betterment should be obviously and quickly justifiable without extensive public hearing, environmental, historical, right-of-way, or other encumbrances. The justification must weigh the costs of the betterment against the probability of future recurring eligible damage and repair costs.

Upgrading resulting from construction of replacement facilities to current standards as defined above, is not considered a betterment relative to the need for further justification. However, with respect to roadways, increases in capacity or a change in character of the facility would be considered a betterment but are not justified for ER participation.

### **Catastrophic Failure**

The sudden failure of a major element of the highway system due to an external cause. The failure must not be attributable primarily to gradual and progressive deterioration or lack of proper maintenance. Closing a facility because of danger of imminent collapse is not in itself a catastrophic failure.

### **Emergency Repairs/Emergency Opening**

Repairs, including temporary traffic operations, which are undertaken during or immediately following a disaster to: (1) minimize the extent of damage, (2) protect remaining facilities, or (3) restore essential travel.

### **External Cause**

An outside force or phenomenon separate from the damaged element and not primarily the result of an existing condition.

### **Force Account**

The performance of highway construction work by a State transportation agency, a local agency, a railroad, or a public utility company by use of labor, equipment, materials, and supplies furnished by them and used under their direct control.

### **Functional Classification**

Streets and highways are grouped into classes or systems according to the character of service they are intended to provide. This process is called functional classification. Most travel involves movement through a network of roads, so it is necessary to determine how this travel can be channeled within the network in a logical and efficient manner. Functional classification defines the nature of this channeling process by defining the role that any particular road or street should play in serving the flow of trips through a highway network.

**Heavy Maintenance**

Work usually done by local agencies to repair damage normally expected from seasonal and/or occasionally-unusual natural conditions or events. It includes work at a site, required as a direct result of a disaster, which reasonably can be accommodated by a local agency's road maintenance forces. Snow removal is considered heavy maintenance. Heavy maintenance is not eligible for Emergency Relief assistance.

**Natural Disaster**

Sudden and unusual natural occurrences which cause serious damage, such as intense rainfall, floods, windstorms, landslides, tidal waves, or earthquakes.

**Permanent Restoration**

Repair and restoration of highway facilities to pre-disaster conditions, including restoration in kind or replacement facilities.

**Proclamation**

A declaration of emergency by the Governor or President.

**Serious Damage**

Heavy, major, or unusual damage to a highway which severely impairs the safety or usefulness of the highway or results in road closure. Serious damage must be beyond the scope of heavy maintenance.

**Disaster Event Date**

A specific date which FHWA approves as the event date of the disaster (i.e., earthquake). This date is generally the same as that declared by FEMA.

**Disaster Event Period**

The time span or duration between the beginning date and ending date approved by FHWA for certain disasters such as storms. These dates are generally the same as those declared by FEMA.

# Appendix 1



**Washington State  
Department of Transportation**

## Declaration of Emergency

For the purpose of documenting the use of alternative bidding procedures under RCW 47.28.170 and estimating the costs of using State Forces for emergency work under RCW 47.28.030.

1. Date of Emergency	2. SR	3. MP Locations/Limits	4. County
5. Preliminary Estimate: <input type="checkbox"/> Up to \$100,000* <input type="checkbox"/> Over \$100,000** <input type="checkbox"/> Over \$700,000 ***			6. Work Order No. (if known)

7. Cause and Description:

8. <input type="checkbox"/> Maintenance Superintendent/Project Engineer* <input type="checkbox"/> Director, Regional Administrator or Designee** <input type="checkbox"/> Review By Secretary of Transportation or Designee***	9. Signature
	10. Date

\* Projects for up to \$100,000 or less can be authorized by the Maintenance Superintendent. or Project Engineer

\*\* Projects over \$100,000 require authorization by the Regional Administrator.

\*\*\* Projects over \$700,000 requires review by the Secretary of Transportation or designee.

1. Record the beginning date of the project.
2. Record the State Route (SR) number affected.
3. Record the mile post location (both start and end if know).
4. Record the county the damage occurred in.
5. Check the appropriate box based on the preliminary estimate.
6. Record the work order number (DM, MS, etc.) if known.
7. In brief narrative, explain the cause of the event, describe the damage and the need to use emergency procedures.
8. Check the appropriate box for the level of signature authority.
9. Signature of appropriate authority.
10. Date the declaration is signed.
11. Distribution: Original - Retained by Region; Copy - Headquarters Office of Emergency Management and Headquarters Accounting.

DOT Form 540-021 EF  
Revised 1/2007

◆ Supersedes Previous Editions ◆

# Appendix 2



## Disaster Maintenance Work Order Authorization

Work Order Number <b>DM</b>	Supplement No.	Sub Program <b>M2</b>	Manager	Organization Code
SR(s)	MP From	To	County(s)	
Work Order Title			Control Section(s)	
Work Description			Source of Funds <input type="checkbox"/> State <input type="checkbox"/> FEMA <input type="checkbox"/> ER (FHWA) <input type="checkbox"/> Other	

Group	Group Category					Subtotals
	01 Work Done Contract	02 Work Done Agreement	03 Construction Engineering	04 State Force Work	Other (Specify)	
<b>Previous Authorization Totals</b>						
Emerg./Incid. Perm. Work Within 180 Days						
Emerg./Incid. Perm. Work After 180 Days						
Permanent Work						
Non-Participating Work						
<b>This Request Amount</b>						
<b>New Authorization Totals</b>						
<b>Total Emergency &amp; Incident Perm. Work</b>	<b>Total Permanent Work</b>		<b>Total Non-Part.</b>	<b>Total Authorization</b>		

Additional Project Information

Notes to Accounting

**For Federal Aid Projects Only**

FA Number      FA %      FA Appropriation      FHWA Auth. Date

\_\_\_\_\_

NEPA Approval Date \_\_\_\_\_ Right of Way Required

Design Approval Date \_\_\_\_\_  Yes  No

Initiated By \_\_\_\_\_ Date \_\_\_\_\_

Expenditure Authorization By \_\_\_\_\_ Date \_\_\_\_\_

Copy Distribution:

HQ Maintenance     HQ Program Management

\_\_\_\_\_

DOT Form 120-021 EF  
01/2007

# Appendix 3



**Washington State  
Department of Transportation**

## Detailed Damage Inspection Report FHWA Emergency Relief

Applicant		County(s)	FHWA Disaster No.
Location of Damage (Name of Road or Street)		Milepost	Inspection Date
		From _____ To _____	Federal-Aid Route
Description of Damage (Include Bridge Number(s) if Applicable)			Local /State Project No(s).

### Cost Estimate (Including Preliminary and Construction Engineering)

Temporary/Emergency Repair and Incidental Permanent Restoration work are eligible for 100% Federal participation until

<b>Temporary/Emergency Repair</b> <i>(Work required to restore essential travel and protect the remaining facility from immediate threat.)</i>		Temp./Emerg. Repair
Method of Work: <input type="checkbox"/> Local/State Force Account <input type="checkbox"/> Emergency Contract		
<b>Total Temporary Repair</b> \$		
<b>Incidental Permanent Restoration</b> <i>(That portion of the permanent work which has been determined to be more economical to be constructed along with the Temporary/Emergency work.)</i>		Incid. Perm. Restoration
Method of Work: <input type="checkbox"/> Local/State Force Account <input type="checkbox"/> Emergency Contract		
<b>Total Incidental Perm.</b> \$		
<b>Permanent Restoration</b> <i>(This work is eligible for Federal participation at the standard matching ratio. This work must receive additional FHWA authorization before advertisement.) Describe any proposed betterments and their eligibility.</i>		Permanent Restoration
Preliminary Engineering _____ Right of Way _____ Construction _____		
Method of Work: <input type="checkbox"/> Local/State Force Account <input type="checkbox"/> Contract		
<b>Total Perm. Restoration</b> \$		
NEPA Environmental Classification <input type="checkbox"/> Categorical Exclusion <input type="checkbox"/> EA/EIS		<b>Total Estimated Cost</b> \$
Recommendation <input type="checkbox"/> Eligible <input type="checkbox"/> Ineligible	FHWA Engineer	Date
Concurrence <input type="checkbox"/> Yes <input type="checkbox"/> No	State Representative	Date
Concurrence <input type="checkbox"/> Yes <input type="checkbox"/> No	Local Agency Representative	Date

At the time of this inspection, all work was complete; therefore, this report constitutes the final field inspection.

DOT Form 300-001EF  
1/97

# Appendix 4



## Interim Inspection of Federal-Aid Project

Washington Division	Date of Inspection	Federal-Aid No.		
WSDOT Contract Number	Project Title			
Inspected By <input type="checkbox"/> Region <input type="checkbox"/> Construction Office	Quality of Work <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	Progress of Work <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	Time Elapsed _____ %	Work Completed _____ %
Inspection Made By		In Company With		
Remarks:				

DOT Form 422-100 EF  
Revised 6/03

# Appendix 5



**Washington State  
Department of Transportation**

## Inspection of Federal-Aid Projects in Maintenance Program

Project Number	Program <b>M2</b>	Region	Federal-Aid No. <b>ER-</b>
County(s)		Project Title	
Type of Inspection <input type="checkbox"/> Interim <input type="checkbox"/> Final	Inspected By <input type="checkbox"/> Region <input type="checkbox"/> Construction Office	Quality of Work <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory	Progress of Work <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory
Date Work Started: _____		Date Work Completed: _____	
<b>Project Cost</b>	Temporary/Incidental Permanent Work	Permanent Work	
State Force Work:	_____	_____	
Contract / Agreement Work:	_____	_____	
Sub Total:	_____	_____	
Ineligible Work:	_____	_____	
<b>Total Cost:</b>	_____	_____	
Description of Work:			
Remarks:			
Inspector's Signature	Inspector's Title	Date of Inspection	In Company With

DOT Form 422-100A EF  
5/96

cc: Funds Mgmt. Engr., MS47325; Project Support Supvr., MS 47420; FHWA Olympia, MS 0943





**Appendix 6**

**WSDOT Environmental  
Emergency Response Checklist**

Activity: \_\_\_\_\_ County: \_\_\_\_\_ WRIA: \_\_\_\_\_

Activity: \_\_\_\_\_

Activity Location: \_\_\_\_\_

Activity Description: \_\_\_\_\_

Waterbodies Involved: \_\_\_\_\_

Wetland: Y /N  \_\_\_\_\_ acres    ESA Species Present: Y /N     ESA Consultation: Y /N

Types of Species present (if known): \_\_\_\_\_

\_\_\_\_\_    **Unscheduled Maintenance: Will there be risk to life or property in 60 days?**  
Date: \_\_\_\_\_

\_\_\_\_\_    **Emergency/Disaster Maintenance: Are people or property in immediate danger?**  
Date: \_\_\_\_\_

**Agency Notification:**

\_\_\_\_\_    **During normal business hours: WDFW Regional Area Habitat Biologist**

\_\_\_\_\_    **After normal business hours: WDFW Hotline (360) 902-2537**

Name: \_\_\_\_\_ Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

Type of HPA received:

\_\_\_\_\_    No HPA needed

\_\_\_\_\_    Standard HPA Received

\_\_\_\_\_    Expedited HPA Received

\_\_\_\_\_    Oral HPA Approval Received

\_\_\_\_\_    Written request submitted to WDFW within 30 days of Oral HPA approval date.

Written request dated: \_\_\_\_\_

\_\_\_\_\_    **WSDOT Regional Environmental Manager or Maintenance  
Environmental Coordinator**

Name: \_\_\_\_\_ Assistance Needed: Y /N

Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

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**Corp of Engineers**

Name: \_\_\_\_\_ Permit Needed: Y  / N

Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

---

**Ecology's Federal Permit Manager for WSDOT (if a Corp permit is needed)**

Name: \_\_\_\_\_ WQ Certification Needed: Y  / N

Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

---

**Ecology's Regional Office**

Name: \_\_\_\_\_ Permit Needed: Y  / N  Exemption Approved: Y  / N

Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

---

**Local Shoreline Permit Manager or Shoreline Administrator**

Name: \_\_\_\_\_ Permit Needed: Y  / N

Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

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**National Marine Fisheries Service (NMFS)**

Name: \_\_\_\_\_ Assistance Needed: Y  / N

Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

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**United States Fish and Wildlife Service (USFWS)**

Name: \_\_\_\_\_ Assistance Needed: Y  / N

Phone Number: \_\_\_\_\_ Date: \_\_\_\_\_

Comments: \_\_\_\_\_

---

Signature: \_\_\_\_\_ Date: \_\_\_\_\_ Phone: \_\_\_\_\_

## Headquarters Emergency Operations Center

The HQ EOC is the coordination and resource support structure that monitors, and supports WSDOT's actions before, during, and after a significant event that impacts any component of the transportation system. The HQ EOC's role during emergencies is to provide a forum at which information and coordination can be centralized. This creates a common operational picture that includes situational awareness. With this information the HQ EOC is able to update on-going incident status to the State EOC, Executive Staff, local jurisdictions, and the public. When field requirements surpass the department's inherent capability, the HQ EOC will seek support from the WSDOT executive staff. The HQ EOC may also support other EOC's and joint information activities. HQ EOC also maintains hard copies of each Region's EOC Procedures Manual and EOP Appendices.

### Location

The primary Headquarters EOC is located in the Transportation Building at:  
310 Maple Park Avenue SE  
Olympia, WA 98504  
Phone: 360-570-2310

The alternate Headquarters EOC is located in the Edna Lucille Goodrich Building at:  
7345 Linderson Way SW  
Tumwater, WA 98501  
Phone: 360-709-8070

## Region Emergency Operations Center

A WSDOT region EOC will be activated when it appears that the emergency needs will be beyond the resources available within any one area, or as dictated by the event. The Region Administrator is responsible for designating and maintaining the Region EOC at the Region office, or an alternate location. Each Region will create and maintain a Region EOC Procedures Manual, which describes in detail how the Region operates its EOC. This manual should be reviewed and updated annually, or when necessary situations warrant otherwise.

### Minimum Equipment Requirements for Region EOC's

- A. Redundant Communications Capabilities
  - 800 MHz Radio with the EOC (225) Talk group
  - BAT Phone
  - Satellite Phone(s) (Portable and/or Fixed)
- B. Computers & Associated Peripherals (i.e. printers)
- C. Supporting Emergency Plans

## Locations

**Aviation Emergency Operation Center**

8900 East Marginal Way South  
Seattle, WA 98108  
(206) 949-9366

**Bridge Design EOC**

7345 Linderson Way SW  
Tumwater, WA 98501  
360-705-4217

**Bridge Preservation EOC**

7345 Linderson Way SW  
Tumwater, WA 98501  
360-570-2550

**Eastern Region**

2714 North Mayfair Street  
Spokane, WA 99207  
(509) 324-6534

**Ferries Emergency Operation Center**

2901 3rd Ave, Suite 500  
Seattle, WA 98121  
(206) 515-3456  
Email: wsfwsuo@wsdot.wa.gov

**North Central Region**

1551 North Wenatchee Ave  
Wenatchee, WA 98807  
509-667-2800

**Northwest Region**

15700 Dayton Avenue North  
Seattle, WA 98133  
(206) 440-5012

**Olympic Region**

5720 Capitol Boulevard  
Olympia, WA 98504  
360-357-2339

**South Central Region**

2809 Rudkin Road  
Union Gap, Yakima, WA 98909  
(509) 575-2566

**Southwest Region**

4200 Main Street  
Vancouver, WA 98668  
360-750-4081

## **Washington State Ferries Emergency Operations Center**

The WSF EOC shall be activated to support WSDOT's response coordination and communications efforts during Level 2 or Level 3 emergencies (per the Incident Command System concepts). The task of activating the WSF EOC can be assigned by the Watch Supervisor to any available staff member in the WSF Operations Center. The WSF EOC houses interoperable communications equipment, computers, printers, reference materials, aerial photographs, vessel fire safety plans and other consumable supplies to aid in response to, and recovery from any emergency that threatens the Washington State Ferry System. WSF Safety Management Systems (SMS) Emergency Operation Center Procedure Manual is securely maintained at WSF HQ Facility. The manual outlines in detail, WSF policy, duties and responsibilities pertaining to the activation and operation of their Emergency Operation Center. The manual should be reviewed and updated annually or when necessary situation warrant otherwise. WSDOT HQ EOC also has been provided a copy of the manual which is also secured.

## **Washington State Ferries Operations Center**

The Operations Center for WSF is located at the WSF Headquarters Administration Building, 2901 3rd Ave, Seattle WA and is staffed 24 hours per day, 365 days per year. The functions, duties, responsibilities and assets of the WSF Operations Center are all focused toward providing support to the terminals, vessels, customers, and WSF personnel. WSF Safety Management Systems Operations Center Procedure Manual outlines, in detail, WSF policy, duties and responsibilities pertaining to the Watch Center.

## **WSDOT Aviation Search and Rescue, Mobile Incident Command Post**

WSDOT Office of Emergency Management Aviation section owns and maintains the WSDOT Mobile Incident Command Post (ICP). The Mobile ICP is used primarily for aviation-related search and rescue (SAR) incidents, and for coordinating aviation resources during disaster response missions under Emergency Support Function (ESF) #9. The Mobile ICP is a 40-foot gooseneck trailer that features a two-person communications room, planning room, central office for the Incident Commander or Planning Section Chief, and a 10 KW generator that can power the unit for 72 hours. There is also a 42-inch plotter, laser printers and copiers, as well as tables and chairs for staff.

The communications capabilities of the Mobile ICP include:

- HF, 2 VHF-FM radios
- Aircraft Band VHF-AM
- 2-Meter Amateur, Satellite Broadband Internet with VoIP
- Satellite Cell Phone
- Wide Band Receiver
- WSDOT/WSP 800 MHz and dual Analog Cell phones

## **Traffic Management Center (TMC)**

WSDOT has Traffic Management Centers located in each region. The TMC primary mission is to efficiently move vehicles on state roadways. TMC Operators monitor traffic conditions, determine corrective actions to minimize congestion and improve traffic flow, plus provide congestion and incident information to the media so travelers can make informed decisions on travel modes or routes. TMC Operators use a variety of Intelligent Transportation System (ITS) devices to keep abreast of what drivers are doing, what field staff members are doing, and how the entire freeway system is functioning. Most TMCs are staffed 24 hours a day and have direct communication with the Washington State Patrol. TMCs provide centralized communications and coordination with responding WSDOT field staff. During an EOC activation, TMCs work closely with region EOCs, Maintenance Area facilities, and the WSP to prioritize incidents as they occur and provide timely response. They also maintain the Road Closures and Conditions Log in Web EOC to provide EOC's across the state with situational awareness concerning state highway access. Absent a regional EOC, TMCs are a critical source of information for high-level EOC operations.

Currently the following locations in Washington State have the capability to talk on the WSDOT 800MHz EOC Talk-Group:

1. Washington State EOC (Camp Murray)
2. Kitsap County EOC
3. Whatcom County EOC
4. Grays Harbor County EOC
5. Pierce County EOC
6. Snohomish County EOC
7. Skagit County EOC
8. San Juan County EOC
9. King County ECC
10. Island County EOC
11. Seattle EOC
12. Bellingham EOC
13. Bellevue EOC
14. Tacoma EOC
15. Thurston County EOC
16. Mason County EOC
17. Clallam County EOC
18. Jefferson County EOC

Currently there are BAT phones in the following locations:

1. Headquarters EOC
2. Olympic Region EOC
3. Northwest Region EOC
4. Southwest Region EOC
5. South Central Region EOC
6. North Central Region EOC
7. Eastern Region EOC
8. Washington State EOC – ESF1 Station
9. Washington State Ferries EOC

