

EOC Activation AAR Process Standard

SUMMARY

This standard describes the process and requirements for collecting hotwash data after an Emergency Operations Center (EOC) activation. Responsible parties are identified along with supporting roles to the development of an After-Action Report. The Californian Public Utilities Commission (CPUC) General Order 166 requires select AAR information be submitted annually to the CPUC in the GO 166 filing. The Standard follows the process flow found in Appendix A, EOC AAR Process Flow Chart. For Pacific Gas and Electric (PG&E) Core Capabilities, see Appendix C, Core Capabilities.

TARGET AUDIENCE

- All staff responsible for responding to the Emergency Operations Center when it is activated for an emergency incident.
- All staff who are in LOB emergency preparedness (EP) departments or serve as a LOB EP Team Lead.
- Officers, directors, managers, and supervisors who manage employees who have a responsibility to respond to the EOC when activated.

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REQUIREMENTS

1 Strategy for Data Collection

- 1.1 It is the responsibility of the After-Action Review Process Owner (AAR PO) to develop the After-Action Report (AAR) strategy for the Emergency Operations Center (EOC). When the Director of EP&R Strategy and Execution (SE) approves the strategy, the AAR Process Owner communicates the AAR process to the EOC Responders long before any EOC Activation takes place. To achieve this, a good Change Management Plan is necessary to ensure that appropriate stakeholders are informed, and expectations set, ahead of emergency responses activities taking place.
- 1.2 When the EOC activates, it becomes critical that this strategy is communicated early on during the activation and expectations should be set for all Command and General staff to be responsible for collection of Plus/Delta and “hotwash” data daily, or at a cadence conducive to the emergency operations tempo. The AAR Process Owner, or the Director of EP&R SE should meet with the EOC Commander during the first operational period or at the earliest opportunity, notwithstanding emergency operations that are taking place.
- 1.3 Once the AAR Process Owner and the EOC Commander meet and agree on cadence, the EOC Commander should then communicate to the Emergency Operations Center (EOC) Planning Chief, the Plus/Delta data collection strategy. EOC members are directed to track and collect best practices and lessons learned data via direct observation, documentation review, first-hand experience, etc. The Plus/Delta documentation collection should begin before the end of the activation, and ideally as soon as the first operational period.
- 1.4 The Planning Chief will direct the Documentation Unit leader to disseminate electronic hotwash forms to each EOC member, who should capture and record information (electronic hotwashes submitted online; a e-paper hotwash is available and sent to the EOCHotwash mailbox only if needed), at their availability to do so.
- 1.5 Command and General Staff leaders should conduct informal team hotwashes at the end of the final operational period when feasible. These section hotwash should capture plus/delta information from a section level, record the hotwash on the online form, and submit electronically at their availability to do so. The hotwash information will be collected and reviewed at the Corrective Action Meeting held shortly after the deactivation of the EOC.
- 1.6 Forms and templates can be used to collect data daily. In all cases, the collected data should identify “Strengths” and “Areas for Improvement”. Identified below and included in the appendix are the following documents/templates:
 - 5mm for IC, Section Chiefs, and Section Leads
 - Templates for electronic collections
- 1.7 Individual and group hotwash forms filled out by staff can be submitted in two formats:
 - Automated online hotwash feedback (link distributed by the EOC Documentation Unit at the beginning of any EOC activation)

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1.7 (continued)

- E-paper feedback forms (distributed by the EOC Documentation Unit at the beginning of any EOC activation, see 2.3 for additional information about submitting individual feedback forms)

2 Data Collection

2.1 Immediately following deactivation of the EOC, the AAR PO is responsible for the collection of all data from:

- EOC Staff
- Section Chiefs
- LOB EP Team Leads
- Other LOB Emergency Preparedness Departments and Plan Owners (*i.e.*, Gas, PowerGen, Nuclear)
- Microsoft® Forms (automated online collection)
- EOCHotwash@pge.com mailbox

2.2 Data to be collected includes, but not limited to:

- Documentation Review
- Surveys
- Interviews
- Hotwash notes (*i.e.*, notes from field, other functions, and/or coordination centers)
- Debriefs
- Feedback Forms (both individual and automated online)

2.3 Individual and group forms should be completed online. Section Chiefs or Officers are responsible for ensuring their teams' form has been submitted. Online hotwash link will be available until the day of the Corrective Action meeting (section 6).

2.4 Should network connectivity fail, then send paper copies of all collected plus/delta data to the EOCHotwash@pge.com mailbox. Name the form in the following format: <yyyy.mm.dd> <Event> <OPx> <LanID> (e.g., "2020.10.4 PSPS OPx - xxxx") where OPx is the operational period and xxxx is participant's LanID.

2.5 In preparation for the data analysis (from the collected raw data input), the AAR PO (working with the assigned technical writer and/or AAR team) identifies any overarching activation objectives and may organize the data by:

- PG&E Core Capabilities
- Objectives

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2.5 (continued)

- Themes
- Lessons Learned
- Observations
- Reference to Any Plans or Procedures

2.6 IF any data appears incomplete or unclear,

THEN the AAR PO contacts and consults with the supplier of information.

2.7 A virtual incident or event follows the same process as outlined above but may have less physical (hard copy) data and more electronic data. Data collection may be limited to electronic means.

3 Data Analysis

3.1 Within two weeks following the closure of the EOC, the AAR PO convenes a data analysis team and conducts the data analysis. The data analysis team may include:

- Section Chiefs
- EOC staff
- LOB staff (if appropriate)
- EP Team Leads
- EP&R SMEs
- Technical Writer
- Other Technical Experts as appropriate

3.2 Using analysis tools such as Pareto charts, Fish Bone Diagrams, Pie Charts, and other Lean Six Sigma tools, the data analysis team completes the data analysis in a variety of methods, including, but not limited to:

- Synthesizing Data
- Reconstructing Observations
- Analyzing Trends
- Performing Root Cause Analysis

4 Deconfliction Meeting and Draft Report

4.1 Immediately following the data analysis, the AAR PO begins to draft the After-Action Report and conducts a deconfliction meeting. At this meeting the PO creates a draft AAR and partial improvement plan (IP); the PO also reviews a high-level summary of the event, and other findings, to eliminate conflicts that may appear in the draft report.

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4.2 To assist in resolving conflicts, the AAR PO may consult Section Chiefs, EOC staff, LOB staff, and technical writer, in addition to consulting with appropriate subject matter experts (SMEs). The deconfliction meeting produces a draft AAR/IP.

4.3 The report may include noteworthy items that were discovered during the activation and corrected on the spot. The draft AAR may include verbatim comments collected from hotwashes and other meetings, even if no corrective action is needed.

5 EP&R SE and LOB Review

5.1 Prior to releasing the report, the Process Owner will meet with the Director of EP&R SE to review and approve the draft report.

5.2 Once the EP&R SE Director has approved the draft report, the AAR PO shares the draft report with appropriate draft reviewers who discuss the draft AAR/IP with their respective Leaders for LOB approval.

5.3 Following the LOB leadership review, the EP Team Leads present findings to the AAR PO, who then produces a final draft.

6 Corrective-Action Meeting

6.1 The Corrective-Action Meeting (CAM) ideally takes place within 5 days following the EOC deactivation. The AAR PO conducts the CAM to obtain corrective actions in order to draft the AAR/IP.

6.2 In addition to those involved in the development of the AAR/IP, the CAM may include incident responders, EP&R SE, EP Team leads, LOB Leadership, EOC Section Chiefs, and EOC Command and General Staff.

6.3 If needed, the AAR PO makes any final changes to the AAR/IP following the CAM.

7 Final Approval

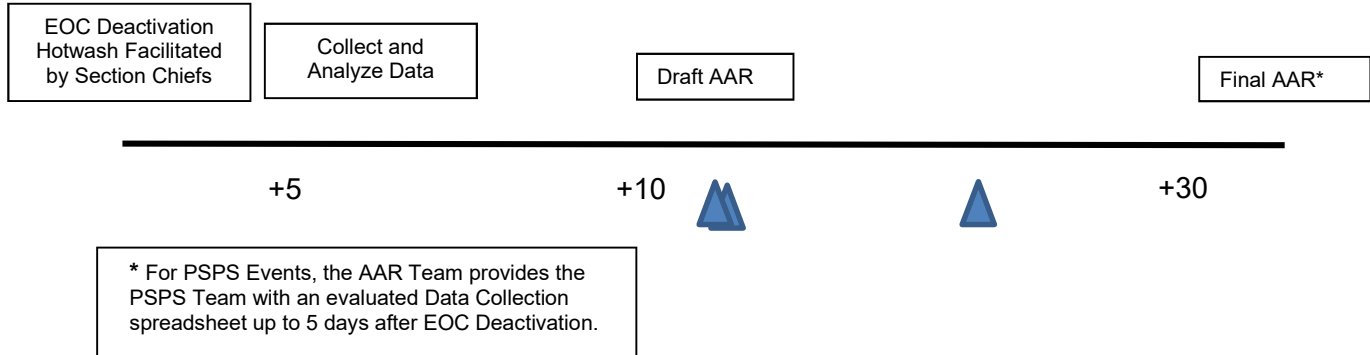
7.1 Following the CAM and approval of the AAR/IP, the AAR PO enters the AAR/IP into EDRS for the official record of approval. Once the AAR/IP has been approved, the report is uploaded into the approved location for After-Action Reports.

8 Improvement Plan and CAP

8.1 Within two weeks after the CAM (45 days after deactivation of the EOC), the AAR PO finalizes the Improvement Plan and compiles a complete list of actionable items to be tracked via PG&E's Corrective Action Program (CAP) process (see Appendix B, CAP Process).

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8.2 The AAR PO is responsible for ensuring all corrective action items are entered into the CAP system. The AAR PO is responsible to track all CAP items and will convene quarterly meetings with CAP owners until all CAP items are closed. Cadence of meetings may become more frequent at the discretion of leadership.



Refer to Appendix F, Detailed AAR Process, for a breakdown of AAR timeline.

END of Requirements

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DEFINITIONS

Hotwash – A meeting that provides an opportunity to discuss strengths and areas for improvement immediately following the activation.

IMPLEMENTATION RESPONSIBILITIES

The Director, Emergency Preparedness and Response, Strategy and Execution, is responsible for ensuring this standard is adhered to.

GOVERNING DOCUMENT

EMER-3001M Company Emergency Response Plan (CERP), Section 3.6.3

COMPLIANCE REQUIREMENT / REGULATORY COMMITMENT

CPUC GO 166, Standard 3, subsection B

Records and Information Management:

PG&E records are company assets that must be managed with integrity to ensure authenticity and reliability. Each Line of Business (LOB) must manage Records and Information in accordance with the Enterprise Records and Information (ERIM) Policy, Standards and Enterprise Records Retention Schedule (ERRS). Each Line of Business (LOB) is also responsible for ensuring records are complete, accurate, verifiable and can be retrieved upon request. Refer to GOV-7101S, “Enterprise Records and Information Management Standard” for further records management guidance or contact ERIM at Enterprise_RIM@pge.com.”

REFERENCE DOCUMENTS

Developmental References:

Homeland Security Exercise and Evaluation Program Manual

Supplemental References:

GOV-7101S, “Enterprise Records and Information Management Standard”

APPENDICES

Appendix A, EOC AAR Process Flow Chart

Appendix B, CAP Process

Appendix C, Core Capabilities

Appendix D, 5mm for Leaders

Appendix E, Hotwash Feedback Form

Appendix F, Detailed AAR Process

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ATTACHMENTS

EMER-2003S-Att.01 PG&E Core Capabilities

DOCUMENT REVISION

NA

DOCUMENT APPROVER

Angie Gibson, Director, Emergency Preparedness and Response, Strategy and Execution

DOCUMENT OWNER

██████████ Program Manager, Expert

DOCUMENT CONTACT

██████████ Technical Writer, Expert

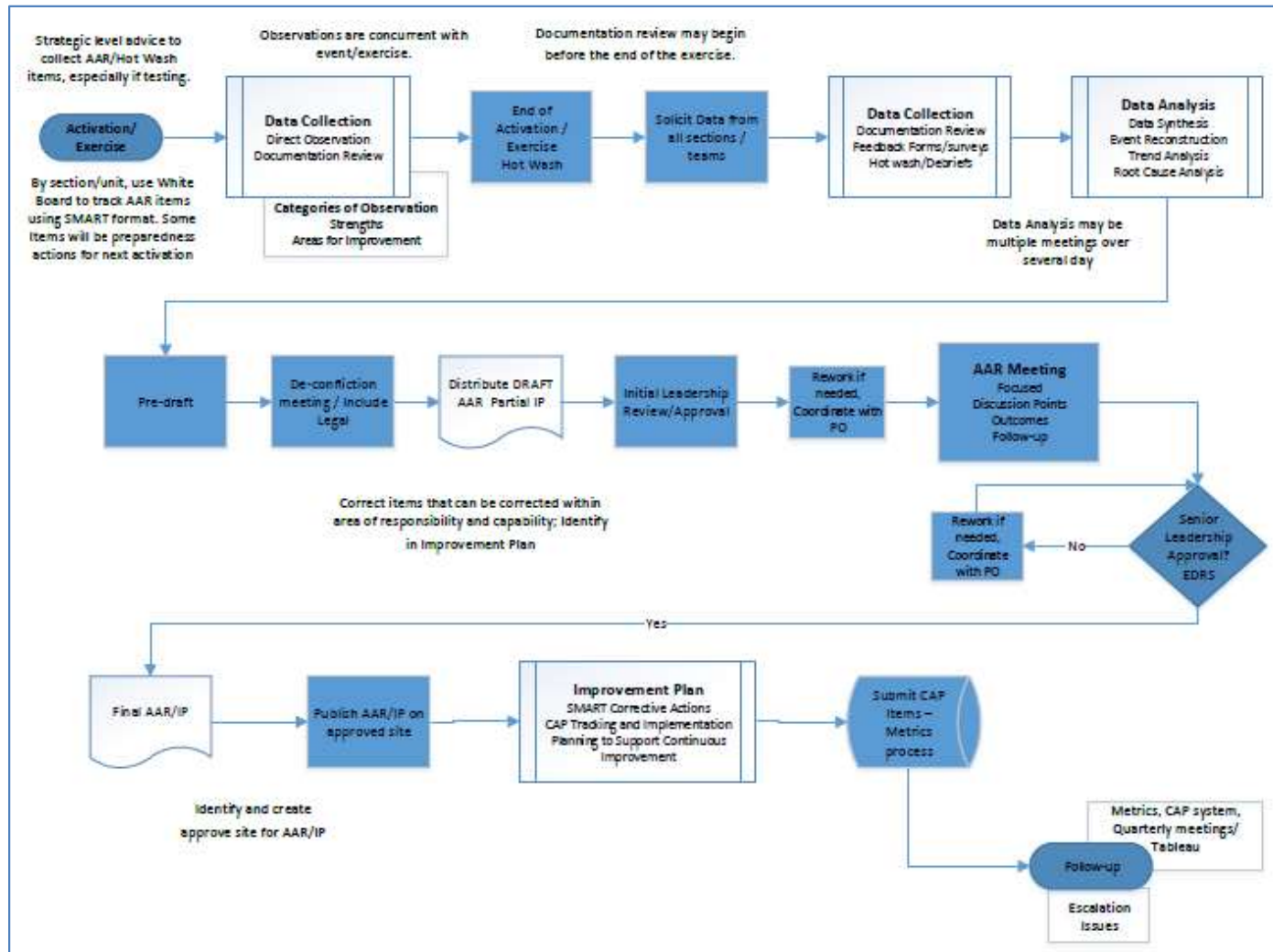
REVISION NOTES

Where?	What Changed?
1.4	Updated to identify online and e-paper hotwash forms.
1.5	Updated to include online hotwash forms.
2.3	Divided paragraph to address Corrective Action meeting.
2.4	Was part of 2.3; updated to address using paper hotwash form should connectivity fail for online form.
2.5, 2.6, 2.7	Paragraphs renumbered.
6	Renamed Corrective-Action Meeting.
6.1	Changed AAM to CAM; identified when CAM meeting takes place.
6.2	Updated with "CAM".
6.3	Updated with "CAM".
8.2	Updated figure

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Appendix A, EOC AAR Process Flow Chart

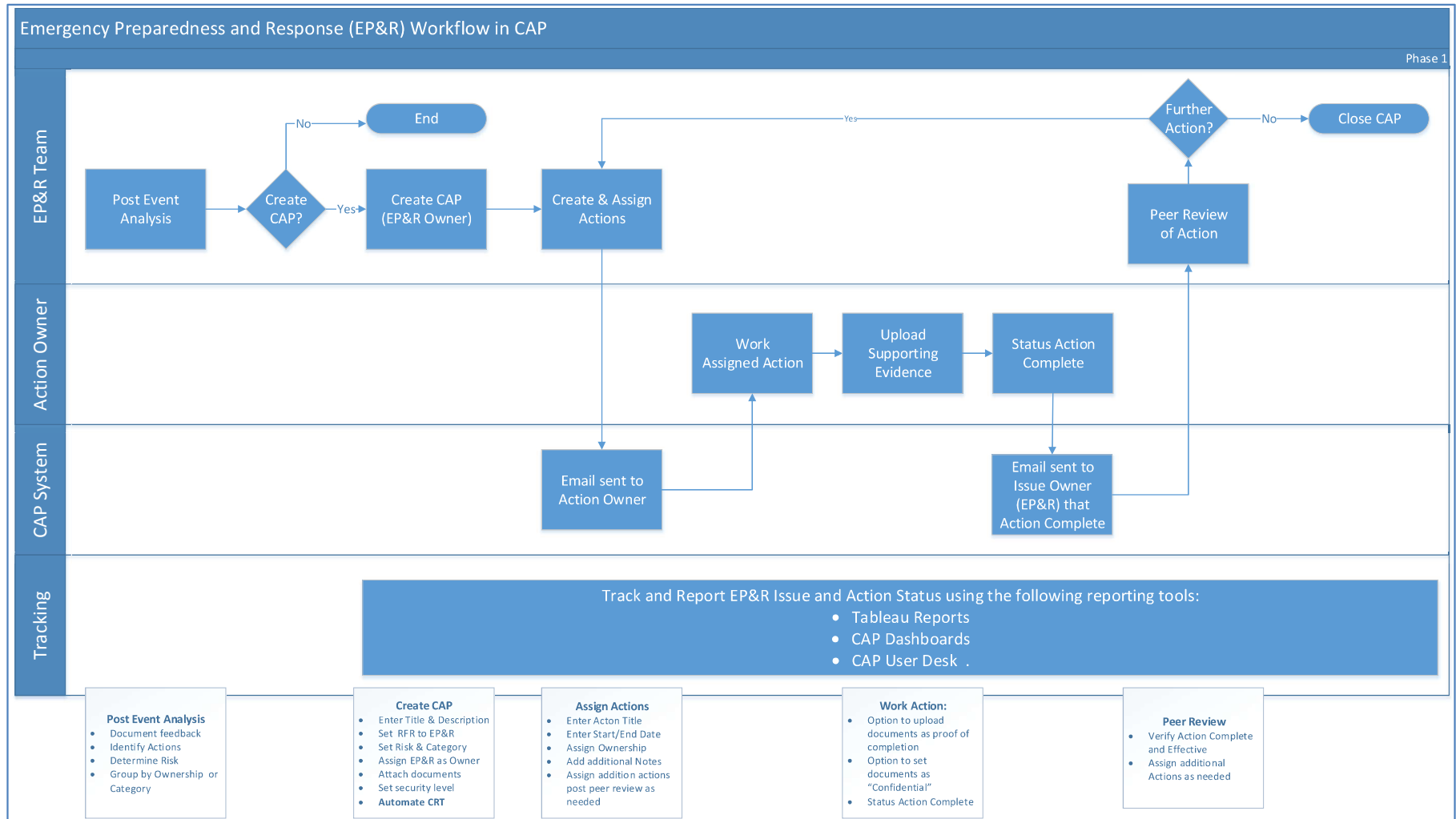
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Appendix B, CAP Process

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Appendix C, Core Capabilities

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For a more detailed list, see Attachment 1 (EMER-2003S-Att.01)

Core Capability		Definition
1	Logistics (Critical Resources)	Coordinating with all lines of business, provide essential services and resources to the affected population and surrounding communities, to include emergency power to critical facilities, fuel support for emergency responders, lodging, and food.
2	PGE Health and Medical Services	Provide lifesaving medical treatment via medically trained PG&E employees during a catastrophic emergency where public emergency response services are limited and avoid additional injury to all people in need within the affected area.
3	Situational Awareness	Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.
4	Physical Protective Measures	Corporate Security shall reduce or mitigate risks, including actions targeted at threats and vulnerabilities, and/or consequences, by controlling movement and protecting critical infrastructure.
5	Risk Management for Protection Programs and Activities	Identify, assess, and prioritize risks to inform Protection activities and investments.
6	Supply Chain Integrity and Security	Strengthen the security and resilience of the supply chain.
7	Critical Transportation	Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and the delivery of vital response personnel, equipment, and services in and/or out of the affected areas.
8	Environmental Response Health and Safety	Ensure the availability of guidance and resources to address all hazards including hazardous materials, acts of terrorism, and natural disasters in support of the responder operations and the affected communities.
9	Infrastructure Systems	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.
10	Mass Care Services	Provide life-sustaining services to the affected PG&E personnel with a focus on hydration, feeding, and sheltering to those who have the most need, as well as support for reunifying families.
11	On-Scene Security and Protection	Ensure a safe and secure environment through law enforcement and related security and protection operations for PGE emergency responders located within affected areas engaged in lifesaving and restoration operations.

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Appendix C, Core Capabilities

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Core Capability		Definition
12	Operational Communications	Ensure the capacity for timely communications in support of security, situational awareness, and operations by any and all means available, among and between affected communities in the impact area and all response services.
13	Planning	Conduct a systematic process engaging the whole enterprise as appropriate in the development of executable strategic, operational, and/or organization-based approaches to meet defined objectives.
14	Public Information and Warning	Coordinate and deliver timely, accurate and consistent information to employees, customers, media, government officials and other stakeholders regarding actions being taken to address hazards and provide assistance to contribute to the well-being of the community during and after an emergency.
15	Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and lines of business that supports the execution of core capabilities.
16	Intelligence and Information Sharing	Provide timely, accurate, and actionable information resulting from the planning, direction, analysis, production, dissemination, evaluation, and feedback of available information concerning prevention, protection, response and recovery efforts of PG&E or its interests. Information sharing is the ability to exchange intelligence, information, data, or knowledge among entities, as appropriate.
17	Interdiction and Disruption	Corporate Security and IT Cyber Security shall delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.
18	Access Control and Identity Verification	Apply a broad range of physical, technological, and cyber measures to control admittance to critical locations and systems, limiting access to authorized individuals to carry out legitimate activities.
19	Cyber security	Protect against damage to, the unauthorized use of, and/or the exploitation of (and, if needed, the restoration of) electronic communications systems and services (and the information contained therein).

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Appendix D, 5mm for Leaders

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Five Minute Meeting:

Topic: EOC Commander, Section Chiefs, Unit Leads Hotwash Data Collection Briefing

Date: 9/23/2020

Audience: EOC Activation Team

The key thing you need to know

Following deactivation of the Emergency Operations Center (EOC), EP&R SE will create an After-Action Report (AAR).

Why it matters to you

EOC participants contribute to the AAR by providing data of observations and actions during the activation in the form of:

- Surveys
- Interviews
- Hotwash notes (following each operational period)
- Debriefs
- Feedback Forms

When EOC participants complete the feedback forms then email to the EOCHotwash@pge.com mailbox by individuals or collected by the Section Chiefs and sent by their designee at Section Chief's discretion.

Name the form in the following format: <yyy> <mm.dd> PSPS <OPx> <LanID> (e.g., "2020 10.4 PSPS OPx - xxxx") where OPx is the operational period and xxxx is participant's LanID.

Key discussion points

Hotwash – A meeting that provides an opportunity to discuss strengths and areas for improvement immediately following each operational period.

- Leaders are expected to establish a non-attribution meeting environment to allow assigned personnel to address issues that went well or require improvement. Focus on the "what can be learned" and not the "who can be blamed."
- The discussion focuses on processes and resources that may be implemented or sustained during EOC operations or require improvement post EOC deactivation.
- **Leaders shape this process by reminding assigned personnel at the beginning of each operational period to document issues to be discussed during the hotwash following the operational period.**

Examples of questions to ask for daily hotwash meeting:

- What went well and what didn't go well?
- What was supposed to happen?
- What did happen?
- What caused the difference?
- What should be learned from this?
- Were the roles and responsibilities clearly identified?

Questions to ask for understanding

Why is data collected?
What data is collected?
How is the data used?

Who do I contact for more information?

EOCHotwash@pge.com


INTERNAL

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Appendix E, Hotwash Feedback Form

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	Pacific Gas and Electric Company®	<i>EP&R Strategy and Execution</i>
Interim Process Participant Feedback Form		
<h3>EOC DAILY HOTWASH FORM</h3>		
Event Name:	Op Period:	
<p>Your observations, comments, and input are greatly appreciated, and provide invaluable insight that will better prepare PG&E for emergency activations. Please keep comments concise, specific, and constructive. When completed email to: EOCHotwash@pge.com.</p> <p>Name the file in the following format: 2020.10.4 PSPS_OPx_xxxx_Hotwash ... where OPx is the operational period and xxxx is your LanID.</p>		
<h4>Part I: General Information</h4> <p>Please enter your responses in the form field.</p>		
Participant Information		
Name:	Date:	
PG&E LOB/Agency/Organization Affiliation:		
Position Title During Activation:		
Years of Experience in Present Position:		
Location during Activation:		
<h4>Part II: Participant Feedback</h4> <p>Individual response: <input type="checkbox"/> Group response: <input type="checkbox"/> (double click on a box to add "X")</p> <p>1. I observed the following strengths during this activation:</p>		
Strengths		
[Insert strength 1]		
[Insert strength 2]		
[Insert strength 3]		
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 Pacific Gas and Electric Company®	<i>EP&R Strategy and Execution</i>				
Interim Process Participant Feedback Form					
2. I observed the following areas for improvement during this activation:					
<table border="1"><thead><tr><th>Areas for Improvement</th></tr></thead><tbody><tr><td>[Insert area for improvement 1]</td></tr><tr><td>[Insert area for improvement 2]</td></tr><tr><td>[Insert area for improvement 3]</td></tr></tbody></table>		Areas for Improvement	[Insert area for improvement 1]	[Insert area for improvement 2]	[Insert area for improvement 3]
Areas for Improvement					
[Insert area for improvement 1]					
[Insert area for improvement 2]					
[Insert area for improvement 3]					
3. Please share any other pertinent information that will help us perform better next time.					
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