

Emergency Support Function #1 – Transportation Annex

ESF Coordinator:

Department of Transportation

Primary Agency:

Department of Transportation

Support Agencies:

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Homeland Security
Department of the Interior
Department of Justice
Department of State
General Services Administration
U.S. Postal Service

INTRODUCTION

Purpose

Emergency Support Function (ESF) #1 – Transportation provides support to the Department of Homeland Security (DHS) by assisting Federal, State, tribal, and local governmental entities, voluntary organizations, nongovernmental organizations, and the private sector in the management of transportation systems and infrastructure during domestic threats or in response to incidents. ESF #1 also participates in prevention, preparedness, response, recovery, and mitigation activities. ESF #1 carries out the Department of Transportation (DOT)'s statutory responsibilities, including regulation of transportation, management of the Nation's airspace, and ensuring the safety and security of the national transportation system.

Scope

ESF #1 embodies considerable intermodal expertise and public and private sector transportation stakeholder relationships. DOT, with the assistance of the ESF #1 support agencies, provides transportation assistance in domestic incident management, including the following activities:

- Monitor and report status of and damage to the transportation system and infrastructure as a result of the incident.
- Identify temporary alternative transportation solutions that can be implemented by others when systems or infrastructure are damaged, unavailable, or overwhelmed.
- Perform activities conducted under the direct authority of DOT elements as these relate to aviation, maritime, surface, railroad, and pipeline transportation.
- Coordinate the restoration and recovery of the transportation systems and infrastructure.
- Coordinate and support prevention, preparedness, response, recovery, and mitigation activities among transportation stakeholders within the authorities and resource limitations of ESF #1 agencies.

ESF #1 is not responsible for movement of goods, equipment, animals, or people.

Policies

Primary responsibility for management of incidents involving transportation normally rests with State and local authorities and the private sector, which own and operate the majority of the Nation's transportation resources. As such, a Federal response must acknowledge State and local transportation policies, authorities, and plans that manage transportation systems and prioritize the movement of relief personnel and supplies during emergencies.

The Secretary of Transportation coordinates ESF #1, consistent with DOT's statutory mission, to promote fast, safe, efficient, and convenient transportation in support of the national objectives of general welfare, economic growth and stability, and the security of the United States.

DHS/Federal Emergency Management Agency (FEMA) is responsible for the provision of transportation assets and services (including contracts or other agreements for transportation assistance) for responders, equipment, and goods, consistent with the ESF #7 – Logistics Management and Resource Support Annex.

The ability to sustain transportation services, mitigate adverse economic impacts, meet societal needs, and move emergency relief personnel and commodities will hinge on effective transportation decisions at all levels. Unnecessary reductions or restrictions to transportation will directly impact the effectiveness of all prevention, preparedness, response, recovery, and mitigation efforts.

Department of Defense (DOD) transportation support will be provided in accordance with Defense Support of Civil Authorities, the memorandum of understanding between DOD and DOT concerning commercial aviation programs, and the memorandum of agreement between DOD and DOT concerning the National Defense Reserve Fleet and the Ready Reserve Force.

DOT/Federal Aviation Administration (FAA) is responsible for the operation and regulation of the U.S. National Airspace System, including during emergencies.

In cases where State, tribal, and local authorities are overwhelmed, Federal support for mass evacuations is addressed in the Mass Evacuation Incident Annex to the *National Response Framework (NRF)*. ESF #1 can provide any or all of the activities within the scope of this annex to support the Mass Evacuation Incident Annex.

During mass evacuations, consistent with the Mass Evacuation Incident Annex, DHS/FEMA provides transport for persons, including individuals with special needs, provided they meet the following criteria:

- Evacuees can be accommodated at both embarkation points and at destination general population shelters.
- Evacuees can travel on commercial long-haul buses, aircraft or passenger trains, or lift-equipped buses.
- Evacuees do not have medical needs indicating that they should be transported by ESF #8 – Public Health and Medical Services.

Consistent with the Mass Evacuation Incident Annex and the Post-Katrina Emergency Management Reform Act, DHS/FEMA is responsible for evacuation of service and companion animals.

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Evacuation of medical patients is the responsibility of ESF #8. DHS/FEMA can support ESF #8 by providing limited bus evacuations between medical facilities within the limitations and capabilities of the assets and drivers.

CONCEPT OF OPERATIONS

General

ESF #1 provides DHS with a single point to obtain key transportation-related information, planning, and emergency management, including prevention, preparedness, response, recovery, and mitigation capabilities at the Headquarters, regional, State, and local levels. The ESF #1 structure integrates DOT and support agency capabilities and resources into the *NRF* and the *National Incident Management System (NIMS)*.

Initial response activities that ESF #1 conducts during emergencies include the following:

- Monitoring and reporting the status of and damage to the transportation system and infrastructure.
- Identifying temporary alternative transportation solutions to be implemented by others when primary systems or routes are unavailable or overwhelmed.
- Implementing appropriate air traffic and airspace management measures.
- Coordinating the issuance of regulatory waivers and exemptions.

In addition to the above initial activities, ESF #1 provides longer-term coordination of the restoration and recovery of the affected transportation systems and infrastructure if required.

Activation

The National Response Coordination Center (NRCC) issues operation orders and mission assignments to activate ESF #1 based on the scope and magnitude of the threat or incident.

The NRCC notifies the DOT Crisis Management Center (CMC), which serves as the focal point for the Department's emergency response and the formal point of contact for ESF #1 activation within DOT.

DOT, in turn, activates Headquarters and regional ESF #1 staff and primary and support agencies as required, including support to specialized teams such as modal transportation experts acting under the *NRF*. In cases where Regional Response Coordination Centers (RRCCs) activate ESF #1 in individual regions, the Regional Emergency Transportation Coordinator (RETCO) notifies the CMC and coordinates activation and activities with ESF #1 in the NRCC.

ORGANIZATION

Headquarters Response Organization

NRCC: When activated, ESF #1 provides staff to the NRCC. Staffing levels and composition will be determined by the scope, scale, and nature of the threat or incident. Additional technical expertise, planning, and operational support are provided by DOT Headquarters and field offices.

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DOT Emergency Response Team: DOT activates the Department's Emergency Response Team. The team works closely with other departments and agencies and DOT's extensive stakeholder network to assess the affected transportation systems, identify alternatives to damaged or overwhelmed modes to be implemented by others, and identify the sector's needs.

DOT/FAA Response Cells: FAA activates specialized response cells to manage and coordinate air navigation services and other aviation-related efforts.

Regional Response Organization

DOT's Regional Emergency Transportation Program: The Regional Emergency Transportation Program provides the staff and expertise required to support ESF #1 in the field. The program consists of a Headquarters element and 10 regions, which are based on the standard Federal regions. The Regional Emergency Transportation Coordinators and Representatives (RETCO/RETREP) provide full-time, collateral duty and volunteer DOT and contractor staff to augment regional and State incident command structures. This includes RRCCs, Joint Field Offices (JFOs), and State emergency operations centers, as needed. This cadre also provides regional DOT transportation support during nonemergency periods in contingency planning efforts within the limits of available resources and/or as funded by FEMA.

The DOT RETCO provides direction for the regional ESF #1 mission. The RETCO is the Secretary of Transportation's representative for emergency preparedness and response matters within the region and receives policy guidance and operational direction from the Office of the Secretary.

The RETCO is responsible for the administrative support of DOT individuals involved in regional emergency transportation operations and coordination with DOT Headquarters in the management of all financial transactions undertaken through mission assignments and interagency agreements issued to ESF #1.

ACTIONS: INITIAL ACTIONS

National Activation

DOT: Immediately upon notification of a threat or an imminent or actual incident, the following actions will be taken, as required:

- Initiate reporting to the Office of the Secretary of Transportation, the National Operations Center (NOC) elements (NOC watch, National Infrastructure Coordinating Center (NICC), NRCC, and TSOC), Domestic Readiness Group (DRG), Counterterrorism Security Group (CSG), DOT operating administrations and regional offices, and the RETCO.
- Activate the DOT Emergency Response Team.
- Staff ESF #1 at the NRCC.
- Dispatch staff to the Incident Management Planning Team (IMPT), DRG, CSG, NRCC, RRCC(s), JFO(s), and Evacuation Liaison Team.
- Activate the RETCOs and RETREPs.
- Inform and invite participation by ESF #1 support agencies.

Support Agencies: Provide staff and support to ESF #1.

Regional Activation

At the regional level (RRCC and/or JFO), the RETCO or a designated representative establishes communications with the NRCC, the FCO/FRC, the CMC, and the Principal Federal Official (if designated).

Initial Emergency Support Activities

- **Monitor and report status of and damage to transportation systems and infrastructure as a result of the incident.** DOT provides this information (via the CMC) to the NOC, NRCC, and NICC, as well as the affected RRCCs and JFOs. Information is compiled from a variety of sources, including ESF #1 support agencies, ESF #1 cadre at various locations, each of DOT's Operating Administrations (through more than 300 field offices nationwide), and key transportation associations and transportation providers. Reports include specific damages sustained, ongoing recovery efforts, alternatives planned or implemented by others, and assessments of the impact.

The NOC, NICC, and Transportation Security Operations Center (TSOC) provide relevant situational awareness and threat information reports input to ESF #1 in its lead role in reporting the status of transportation infrastructure.

- **Identify temporary alternative transportation solutions implemented by others when systems or infrastructure are damaged, unavailable, or overwhelmed.** Primary responsibility for arranging for alternate transportation services lies at the State and local levels, with the system owner or operator and/or State and local government. However, during major incidents, or when Federal coordination or funding support is required, ESF #1 identifies alternate transportation services implemented by others.

The Transportation Security Administration, as Sector-Specific Agency for transportation, supports ESF #1 in the identification and prioritization of critical transportation infrastructure and key resources (CIKR) and, in cases of terrorist threats or attacks, will recommend actions to protect these resources.

The DHS Office of Infrastructure Protection supports ESF #1 in the identification and prioritization of nontransportation CIKR that may be impacted by transportation.

Within the limits of the scope of this annex, the RETCO or designated alternate coordinates with appropriate State, tribal, and local entities, DOT Headquarters, and the NRCC in decisions regarding issues such as movement restrictions, critical facilities closures, and evacuations.

On a case-by-case basis, and within the limits of the scope of this annex, DOT will assist DHS/FEMA in coordinating passenger rail support to mass evacuations under the Mass Evacuation Incident Annex, when activated.

In addition to the above activities, during major evacuations, ESF #1 provides support to the DHS/FEMA-led Evacuation Liaison Team to assist in coordination of large-scale highway evacuations, especially when involving more than one State.

- **Perform activities conducted under the direct authority of DOT elements.** This includes a variety of statutory activities, including management of the National Airspace System; maritime, surface transportation, railroad, and pipeline regulatory activities; funding; issuing transportation regulatory waivers and exemptions (e.g., hours of service, hazardous materials regulations, etc.); and other emergency support.

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The RETCO or designated alternate coordinates with appropriate DOT regional operating administrations on the implementation of specific DOT statutory authorities providing immediate assistance. Examples include airspace management, long-term recovery of the transportation infrastructure, and any authorized mitigation efforts.

ACTIONS: CONTINUING AND ONGOING ACTIONS

In addition to sustaining the initial actions, ESF #1 provides long-term coordination of the restoration and recovery of the affected transportation systems and infrastructure.

- **Coordinate the restoration and recovery of the transportation infrastructure.** Primary responsibility for coordinating the restoration and recovery of the transportation infrastructure beyond the State and local level rests with DOT through the unique resources and expertise of each Operating Administration and the ESF #1 support agencies to facilitate recovery.

Prioritization of restoration efforts is based on response needs as identified within the JFO, RRCC, and NRCC, as well as the State, regional, or national interdependencies that may have far-reaching impacts.

Several DOT Operating Administrations have individual programs, funding sources, and technical experts (e.g., inspectors, engineers, etc.) that can be utilized to support restoration and recovery efforts. These include the FAA, the Federal Highway Administration, the Federal Transit Administration, the Federal Railroad Administration, the Pipeline and Hazardous Materials Safety Administration, the Maritime Administration, and the Research and Innovative Technologies Administration (including the Volpe Transportation Center).

- **Coordinate and support prevention, preparedness, and mitigation activities among transportation stakeholders.** This is a continuous activity that is conducted within the authorities and resource limitations of ESF #1 agencies. Activities include supporting Federal, State, and local planning efforts as they relate to transportation, including evacuation planning, contingency plans, etc. as well as working with the designated Special Needs Advisor, as described in the *NIMS*, to address persons with special needs in the planning process.

RESPONSIBILITIES

ESF Coordinator: DOT

DOT is responsible for planning and coordination of activities affecting transportation throughout prevention, preparedness, response, recovery, and mitigation. These activities include planning and coordination, maintaining ongoing contact with ESF primary and support agencies, conducting periodic ESF meetings and conference calls, coordinating efforts with State/local/tribal and private-sector organizations, and coordinating ESF activities relating to catastrophic incident and mass evacuation planning and critical infrastructure preparedness as appropriate.

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DOT:

- Provides support to DHS in prevention, preparedness, response, recovery, and mitigation activities among transportation infrastructure stakeholders at the regional, State, and local levels within the authorities and resource limitations of ESF #1 agencies. (Preparedness for mass evacuations is addressed in the Mass Evacuation Incident Annex.)
- Supports planning and coordination elements of preparedness as requested and funded on a reimbursable basis by DHS.
- Manages the financial aspects of the Federal ESF #1 response, including management of Stafford Act mission assignments or reimbursable agreements for non-Stafford Act Federal-to-Federal support.

Primary Agency: DOT

- Manages the headquarters and the regional ESF #1 activities.
- Provides trained personnel to staff ESF #1 positions at the NRCC, the RRCC, the JFO, or any other temporary facility in the impacted region appropriate to the ESF #1 mission.
- Deploys members to fill positions on emergency response teams, the IMPT, and other entities as necessary.
- Through DOT/FAA, oversees the operation and regulation of the U.S. National Airspace System, including during emergencies. Under certain conditions, DOT/FAA may delegate use of specified airspace for national defense, homeland security, law enforcement, and response (e.g., search and rescue) missions, but retains control of the airspace at all times. DOT/FAA may also implement air traffic and airspace management measures such as temporary flight restrictions in conjunction with these missions. Coordination of these activities can be initiated through ESF #1 or directly with DOT/FAA, as appropriate.
- Works with primary and support agencies, State and local transportation departments, and industry partners, and with input from the NICC and TSOC, to assess and report the damage to the transportation infrastructure and analyze the impact of the incident on transportation operations, nationally and regionally.
- Coordinates and implements, as required, emergency-related response and recovery functions performed under DOT statutory authorities. This includes management of the airspace within and surrounding the disaster-impacted area, emergency highway funding for federally owned highways and highways on the Federal Aid System, hazardous material movement, and damage assessment, including safety- and security-related actions.
- Provides technical assistance to Federal, State, tribal, and local governmental entities in determining the most viable transportation networks to, from, and within the incident area and on availability of accessible transportation.
- Assists in restoring the transportation infrastructure through ESF #3 – Public Works and Engineering and the Stafford Act program.

SUPPORT AGENCIES

Agency	Functions
<p>Department of Agriculture (USDA)</p>	<p>Forest Service</p> <ul style="list-style-type: none"> • If available, provides transportation assets to ESF #1 when Forest Service resources are the most effective to support the ESF #1 mission. • If available, provides appropriate engineering and contracting/procurement personnel and equipment to assist in emergency removal of debris, demolition, repair of roads and bridges, and temporary repair of essential public facilities. <p>Resources will be assigned commensurate with each unit’s level of training and the adequacy and availability of equipment. ESF #4 – Firefighting or the USDA/Forest Service Disaster and Emergency Operations Branch is the contact for this support.</p>
<p>Department of Commerce (DOC)</p>	<p>National Oceanic and Atmospheric Administration (NOAA)</p> <p>Provides the following products and information to support ESF #1 activities, including mass evacuations:</p> <ul style="list-style-type: none"> • Forecasts, watches, and warnings including weather, storm surge, and dispersion forecasts. • Surface and marine forecasts and nowcasts including ice and debris tracking. • Emergency hydrographic surveys, search and recovery, obstruction location, and vessel traffic rerouting in ports and waterways. • Remote aerial and orbital imagery through the DOC/NOAA desk at the NOC.
<p>Department of Defense</p>	<ul style="list-style-type: none"> • Provides military transportation capacity from the U.S. Transportation Command (USTRANSCOM) or other organizations to move essential resources, including DOT response personnel and associated equipment and supplies, when requested and upon approval by the Secretary of Defense. USTRANSCOM also provides staff to the headquarters ESF #1 function and the regional ESF #1 when requested and upon approval by the Secretary of Defense. • Provides assets to complement temporarily degraded or disrupted DOT/FAA air navigation services capabilities as requested by DOT/FAA and ESF #1. <p>U.S. Army Corps of Engineers (USACE)</p> <ul style="list-style-type: none"> • Provides support in the emergency operation and restoration of inland waterways, ports, and harbors under the supervision of DOD/USACE, including dredging operations. • Assists in restoring the transportation infrastructure.
<p>Department of Energy (DOE)</p>	<ul style="list-style-type: none"> • When requested, DOE/National Nuclear Security Administration provides fixed-wing and rotary aircraft to support radiological environment surveys and/or search capabilities during a radiological or nuclear incident. • Provides information on status of, needs for, and plans for restoration of interdependent infrastructure.

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Agency	Functions
<p>Department of Homeland Security</p>	<p>Customs and Border Protection (CBP)</p> <ul style="list-style-type: none"> • Identifies and provides transportation-related DHS/CBP assets and resources. • Provides assets to complement temporarily degraded or disrupted DOT/FAA air navigation services capabilities as requested by DOT/FAA and ESF #1.
	<p>Federal Emergency Management Agency</p> <ul style="list-style-type: none"> • Provides timely funding for activation and Stafford Act-eligible ESF #1 activities. • Provides necessary funding for ESF #1 participation in DHS- and FEMA-sponsored planning, training, exercises, and other preparedness activities.
	<p>Transportation Security Administration</p> <ul style="list-style-type: none"> • Through the TSOC, provides relevant transportation and threat information reports, including Information Sharing and Analysis Centers reports, to ESF #1 in its lead role in reporting the status of transportation infrastructure. • Serves as ESF #1 liaison to ESF #13 – Public Safety and Security, as appropriate. • Leads efforts to protect transportation infrastructure from the effects of acts of terrorism, and supports efforts to protect transportation infrastructure from the effects of manmade and natural disasters. • Provides assets to address security and on-site coordination requirements for the ground operations and in-flight segments of mass air evacuation operations as requested by ESF #1. • Provides assistance in the allocation and prioritization of resources through the Infrastructure Liaison and the NICC.
	<p>U.S. Coast Guard</p> <ul style="list-style-type: none"> • Identifies and provides assets and resources in support of the ESF #1 mission. • Coordinates with support agencies and other maritime stakeholders through ESF #1 to prioritize, evaluate, and support restoration of domestic ports, shipping, waterways, and related systems and infrastructure. • Provides staff to the DOT CMC during emergencies to provide status of maritime domain, including ports, waterways and operations, in ESF #1 for integration in overall transportation sector status reporting.
	<p>Office of Infrastructure Protection: Provides information and assistance concerning the recovery and restoration of transportation critical infrastructure, as well as all other CIKR impacted by transportation.</p>
<p>Department of the Interior (DOI)</p>	<ul style="list-style-type: none"> • Identifies, and if available, provides departmental transportation assets (e.g., fixed-wing aircraft and all-terrain vehicles) and support resources (e.g., mechanics, pilots) if these are the most effective to support the ESF #1 mission. Resources will be assigned commensurate with each unit’s level of training and the adequacy and availability of equipment. ESF #4 or the DOI Operations Center is the contact for this support. • Provides information on status of, needs for, and plans for restoration of infrastructure.
<p>Department of Justice</p>	<p>Identifies and provides departmental transportation support assets in support of the ESF #1 mission when not committed for internal operations.</p>

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Agency	Functions
Department of State (DOS)	<ul style="list-style-type: none">• When requested, provides liaison to the DOT CMC in the event of incidents having potential international implications.• In accordance with the International Coordination Support Annex, coordinates international offers of transportation-related assistance and support.• In coordination with DOT/FAA, modify or revoke previously approved foreign diplomatic aircraft clearances. This DOS action does not obviate the continuing need for flight crews to check the pertinent Notices to Airmen released by DOT/FAA. DOS will reference DOT/FAA airspace restrictions, including Temporary Flight Restrictions, as part of its processing of requests from foreign embassies/missions for diplomatic aircraft clearance.
General Services Administration	Assists in identifying sources for and contracting transportation services needed for execution of the ESF #1 mission.
U.S. Postal Service	Collects and reports on transportation infrastructure disruption and damages as information becomes available.