

# Managing Catastrophic Transportation Emergencies: A Guide For Transportation Executives

Wednesday, March 30<sup>th</sup>

2:00-3:30 EST



# Webinar Presenters



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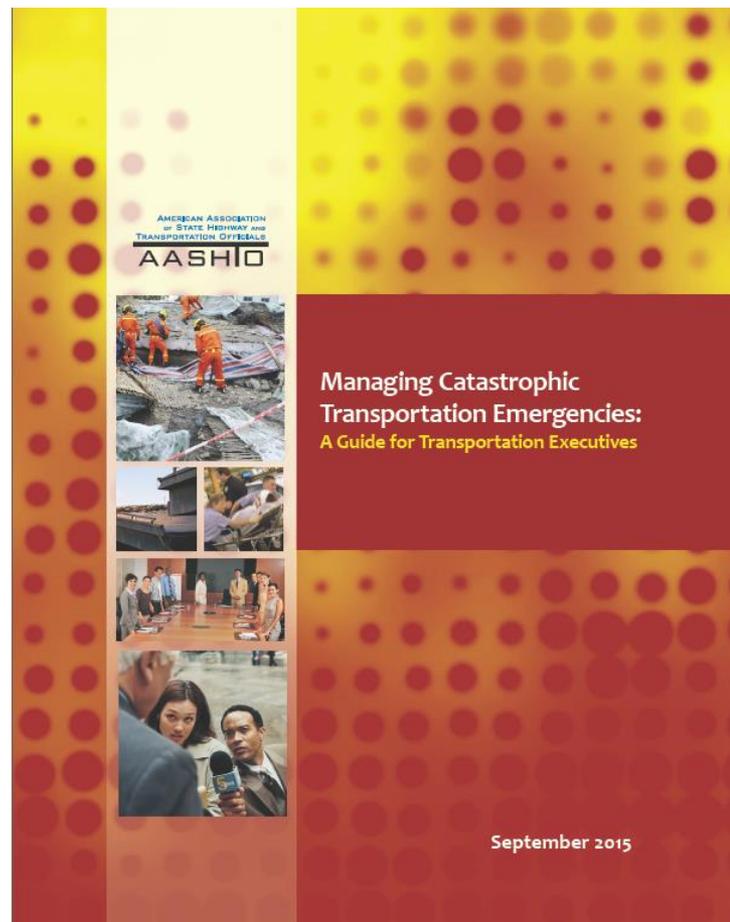
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# Today's Agenda

Approach

Findings

Guide Overview



# Research Team

Principal Investigator

- Jeff Western

Countermeasures Assessment & Security Experts

- Ernest “Ron” Frazier
- David Ekern
- Michael Smith

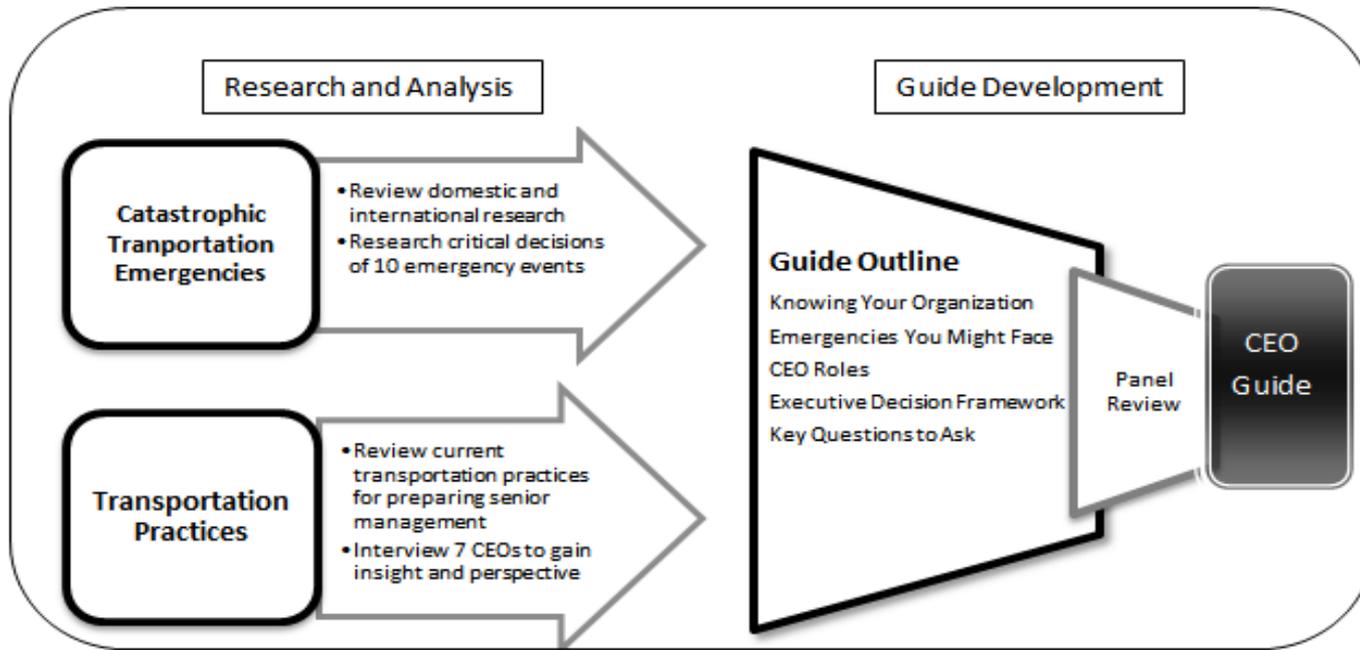
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- Patricia Bye (Assistant PI)
- Mark Krentz

# The Goal

**Objective** Develop a Guide for preparing transportation agency executives and senior leaders for their roles in response to and recovery from catastrophic emergencies.

## Research Approach



# Literature Review: Purpose

- To review a broad range of both **domestic and international events** through published case studies, after-action reports, articles and newspapers. Select a subset of U.S. events that have **occurred within the last 10 years** which resulted in significant traffic impacts.
- To determine the **impact** of the event on the transportation system and the **actions** of the DOT in the response and recovery.
- To **better understand the roles of transportation executives before, during and post-incident** such as how senior executives reacted, how they coped with the crisis, what critical issues were faced, and whom they relied upon to manage the event.
- To look for **decisions** made or not made and the **interactions** at the senior executive level and with the political community.

# Literature Review: Case Studies

	<b>Rationale</b>	<b>Agencies Involved</b>
<b>Missouri River Flood 2011</b>	Multiple state coordination and explore working with federal partners ACOE and FWHA.	Missouri DOT, Iowa DOT Kansas DOT Nebraska Dept. of Roads
<b>Joplin, Missouri Tornado 2011</b>	Transportation's role in supporting emergency response and needs of community.	Missouri DOT Kansas DOT
<b>Pennsylvania Valentine's Day Snowstorm, 2007</b>	Opportunity to understand how to reestablish confidence in the DOT.	PennDOT
<b>Obama Inauguration, 2009</b>	Transportation's role in a Planned Special Event and range of partners that can be part of Inter-agency coordination.	DC Metro VDOT Maryland DOT
<b>I-35W Bridge Collapse, Minneapolis, MN 2007</b>	How to restore trust and confidence in agency from community, politicians and employees.	MnDOT
<b>Texas Hurricanes Rita (2003) and Ike (2008)</b>	Learning from experiences and making successful improvements.	TxDOT
<b>MacArthur Maze Fire, Oakland CA 2007</b>	Successfully responding to and expediting recovery after an event.	Caltrans
<b>Hampton Road Bridge Tunnel Flooding, 2009</b>	How to respond to an event that occurs even though "all was working as planned"	VDOT

# Existing Practices Guidance

- Security and Emergency Management – An Information Briefing for Executives and Senior Leaders in State Departments of Transportation
- Guide For Emergency Transportation Operations: Executive Guide (Vol. 1)
- Public Transportation System Security and Emergency Preparedness Planning Guide
- Role of Transportation Management Centers in Emergency Operations Guidebook
- WSDOT Procedures Manual: Emergency Relief Procedures Manual
- A Transportation Executive's Guide to Organizational Improvement
- Governor's Guide to Homeland Security
- Sacramento State Executive's Guide to Emergency Operations Planning
- Policing Terrorism: An Executive's Guide

# Event/Role Focused Interviews

**Flooding** Missouri River Flood of 2011: Deb Miller – former Director of Kansas DOT

**Tornado** 2011 Joplin, Missouri tornado: Deb Miller – former Director of Kansas DOT

**Bridge Failure** I-35W Bridge Collapse in Minnesota: Bob McFarlin – former acting Commissioner Minnesota DOT

**Hurricanes** Ike 2008 / Rita 2003: Mike Beherns– former Director Texas DOT

**Snow Storm** PA Turnpike: Allen Biehler – former Secretary Pennsylvania DOT

**Bridge Fire** MacArthur Maze 2009: Will Kempton – former Director of Caltrans

**Infrastructure Failure** Hampton Roads Tunnel Closure 2009: Dave Ekern – former Commissioner Virginia DOT

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Tom Warne – former Director Utah DOT

Neil Pedersen – current TRB Executive Director and former Director of Maryland State Highway Administration

Lloyd Brown – current Public Affairs Director for AASHTO and former PAC Washington State DOT

# Research Highlights

CEOs bring a wide variety of experiences and backgrounds to the position.

There is a wide variance in the level of education CEOs receive when they assume their duties.

Transportation is an Emergency Support Function #1 for a reason.

*“I wish I would have known then what I know now which is just how important a role that a DOT plays in a state’s response!”*

*“Unrecognized by most Governors is the real capability and power of their state DOT operations and maintenance functions. They do not realize that the DOT is the only agency other than the National Guard that can mobilize needed equipment and staff to provide an initial response to event until he/she has time to mobilize the National Guard.”*

A catastrophic event will occur in every CEO tenure.

*“Not **IF** it will happen but **WHEN** it does happen”*

# Research Highlights continued

Good communication and teamwork is a key to good response.

*“Know your organization and your people. Take the business seriously and know how you fit as its leader.”*

*“Get to know your counterparts in agencies and surrounding states before something happens.”*

There is a need for emergency preparation, response and recovery training.

*“There is a tremendous training/education gap for new professionals and line staff on the principles of emergency preparation and response. Currently, there are relatively few private sector service providers who understand what is needed to provide effective emergency response services.”*

Manuals and workshops, while helpful, are less important than knowing key staff, how to reach them when needed, and what they can do with the resources they have when the emergency happens.

Remember that you can't do everything yourself.

*“Need to ask your people WHAT DO YOU EXPECT FROM ME! Be visible to staff and talk to them face to face. Tell them that you are here to help them get their job done.”*

# Principles of Guide Development

**Consistent** with the NGA Governor's Guide and incorporates the principles of other key publications at a national level.

**Reviews DOT capabilities & limitations** in emergencies and **highlights multiple roles** CEO plays in event.

**Useful tools** included such as :

- 2-page tear out: personal note to read the "day before your 1<sup>st</sup> day"
- Checklist of what to get from the staff on 1<sup>st</sup> day
- Templates/worksheets for staff to create state-specific go-sheets, e.g., contact information
- Resources

**Written in personal style** with useful advice and key questions to ask.

**Helps senior executives understand** what is "catastrophic" and how to ask the right questions and to "find" the right person or persons that have the expertise to help when the need arises.

## Examples of Executive Guidance Approaches

*"The manual is short enough to read in a weekend..."*

*"This guide is meant to be used as a 'toolbox' .... [and] is organized in a way that you can read any section without reading the entire document."*

*"What should I read if my time is limited?... It has been written for "readability" as an inducement for you to take the time to read the full document."*

# Guide Outline

Preface    How to Use This Guide

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Intro        Introduction

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Part 1        What Emergencies You Might Face

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Part 2        Knowing Your Organization

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Part 3        Understanding Your Role

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Part 4        What Are Right Questions to Ask

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Part 5        Resources and References

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# How to Use Guide

To help CEOs succeed in their new role, Guide has been developed based on the thoughts and advice from others who have been in CEO position.

It includes:

- Primer on the types of events DOTs will face
- Questions to ask staff to prepare
- Useful advice/ideas used by DOTs
- Where to look for more in-depth information

**“The question you face is not IF it will happen but am I prepared WHEN it does happen”**

# Introduction

Over the last 15 years transportation agencies have been focused on understanding, inventing and implementing a refocused mission and serving the nation's transportation needs.

There are five fundamental responsibilities in security/emergency response as the leader of a transportation agency:

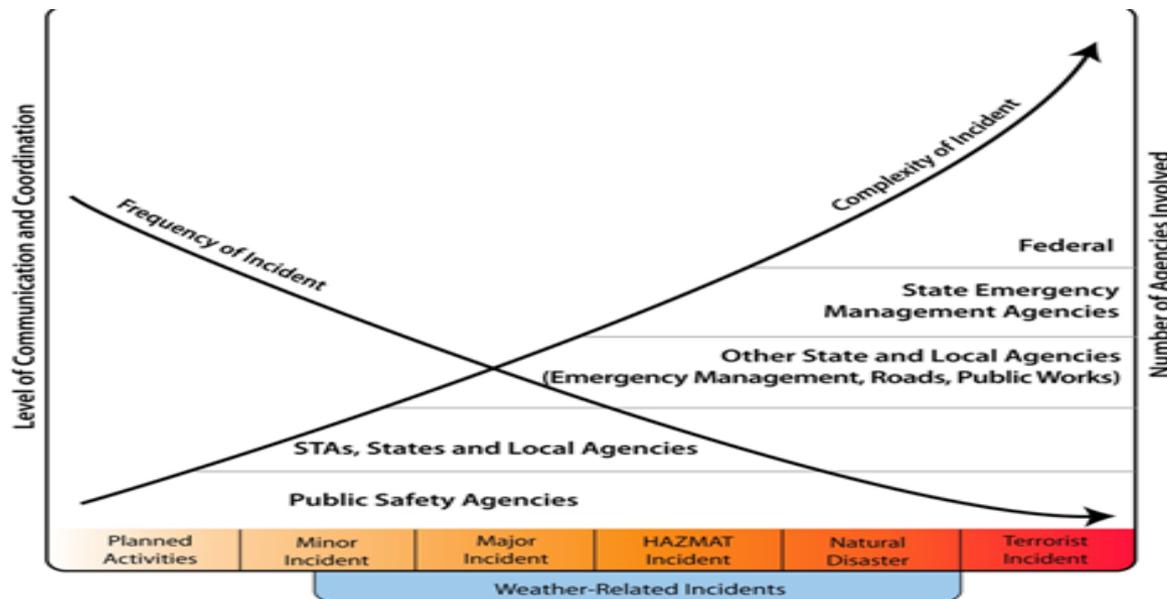
1. Prevent incidents within your control and responsibility;
2. Protect transportation users, agency personnel and critical infrastructure;
3. Support regional, state, and local emergency responders with resources including facilities, equipment, and personnel;
4. Recover swiftly from incidents; and
5. Evaluate response(s) and continually improve plans, training, skills and protocols.

# What Emergencies You Might Face

As the CEO, you need to understand and ensure your agency and staff stays current regarding applicable state and national standards for emergency preparedness.

Through these initiatives, specific procedures and protocols have been ESTABLISHED for the management of emergencies.

**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.**



National Response Framework (NRF)

# Emergencies You Might Face con't

## What You NEED TO KNOW

- Transportaion plays a critical role in an emergency event.
- NIMS integrates best practices into a comprehensive framework for use nationwide by emergency management personnel.
- Response agencies must use ICS/NIMS to maintain Federal Funding.
- Transportation is ESF#1 for a reason.

## YOUR RESPONSIBILITIES

- Articulate Policy
- Assess the Response
- Plan for Multi-Agency Response
- Provide Input to Incident Commander on priorities, goals ,and direction

## What you NEED TO DO

- Create and maintain a Continuity of Operations Plan consisted with the requirements of the DHS.
- Plan for an Area Command approach prior to the incident
  - Hold planning meetings and prepare mutual aid agreements.
  - Involve other agencies' personnel in your ICS organization
  - Advocate the use of "Area and/or Unified Command"
- Conduct interagency training and exercises

# Knowing Your Organization

Success in dealing with a critical situation is a combination of the extent to which your agency is prepared to deal with the situation and your relationships with those responsible for executing the plans for responding to the emergency, whether familiarity with the staff within your organization or knowing key leaders within your partner organizations.

- Develop solid relationships with key operations staff to ensure that they know what to do and will keep you adequately informed with clear, accurate, and timely information as emergency situations unfold.
- Give them confidence they have your trust. To do this, you must know who they are and what they do.

**“An important leadership approach is to be more focused on having the ‘right people with the right mindset’ than to have volumes of procedures that may or may not be read.”**

# Knowing Your Organization con't

## What You NEED TO KNOW

- Know your organization and your people.
- Know how you fit as its leader.
- Good communication and teamwork is a key to good response.

## YOUR RESPONSIBILITIES

- Know your staff and listen to their needs
- Understand the importance of training and exercises
- Stay in touch with the big picture
- Support and motivate your team

## What you NEED TO DO

- Take the business seriously and know how you fit as its leader. Learn before you speak.... trust before you criticize.
- Be visible during response and recovery operations.
- Understand the decisions that may need to be made before, during and after an emergency.
- Develop solid relationships with key operations staff. Reinforce that you trust them and will work with them to make the operation better.
- Ride with the field response staff.

# Understanding Your Role

During emergencies you will have a number of roles that may include:

- Operations Leader
- Political Leader
- Spokesperson
- Fiscal Decision Maker

As operations leader, you will set the agenda for the DOT and staff and must establish the priorities for planning, preparation, training for and responding to emergencies since that is what the agencies reputation (and funding) may be built on.

You must have the full confidence of the elected official (typically the Governor) to whom you report. Running interference could be the most important thing you have to do.

During an emergency/crisis situation, you sit at the nexus of multiple stakeholders, resources, authorities, and responsibilities. You need to be the advocate for your agency with other agencies so they can understand your capabilities and resources.

**“The CEO must focus on clear and correct information and the long-term reputation of the organization.”**

# Understanding Your Role con't

## What You NEED TO KNOW

- During emergencies transportation CEOs have a number of roles.
- You may be the public face of the state's response in many events.
- You must have the full confidence of the elected official (typically the Governor) to whom you report.
- They do remember how the DOT responded when the major incident or weather event occurred.

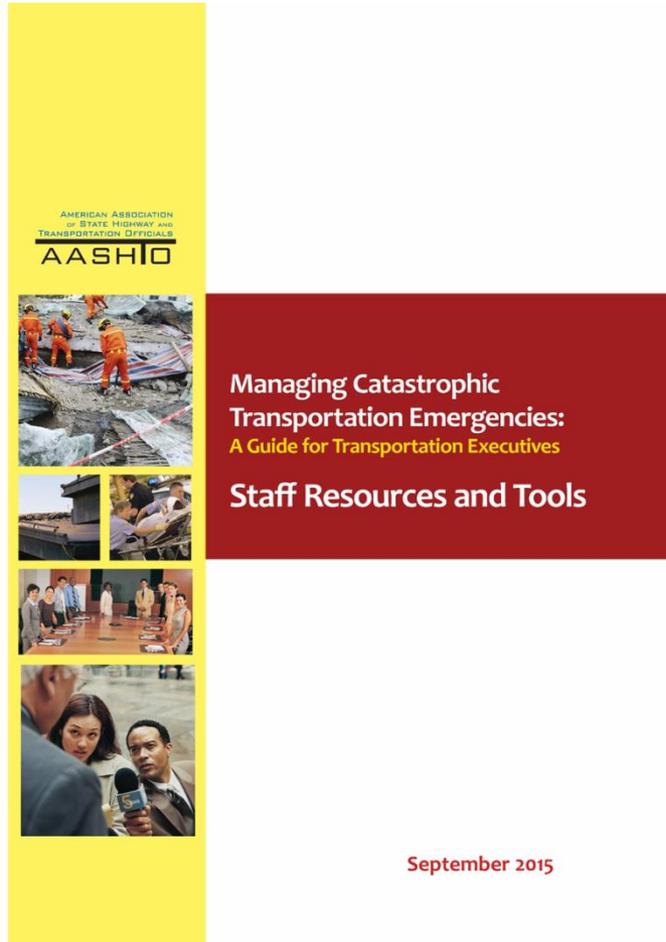
## YOUR RESPONSIBILITIES

- Focus on the long-term reputation of the DOT
- Communicate clearly and correctly
- Advocate for your agency with the Governor and other agencies
- Support your partner agencies

## What you NEED TO DO

- Be prepared. Understand state plans and organizational roles and missions in support of those plans.
- Reinforce that emergency response and preparedness is a primary part of DOT mission.
- Understand the relationship between various stakeholders, resources, authorities and responsibilities.
- Establish solid relationships with the leadership in partner agencies both within the state and in neighboring states.

# Resources and Tools



## Executive Handouts

- “First Day” Overview
- CEO Decisions Before/During/After

## BEFORE: PREVENT/PROTECT/MITIGATE

Decisions	Advice from Peers
<b>What events do we need to be prepared for?</b>	Know events your agency experienced in the past. What additional threats are there? What mitigation approaches are available?
<b>Is key staff in place?</b>	Get familiar with your people and the DOT roles in emergency management during an incident.
<b>Do we have the right people in place to do the job?</b>	Pay attention to staff placement and replacement.
<b>Has staff been trained?</b>	Put programs in place to ensure that staff has training and experience to be able to think on their feet. Conduct interagency training and exercises with other state agencies, such as emergency management and state patrol.
<b>Do we have current plans in place?</b>	Have plans in place with protocol of actions for staff that include back-up plans, COOP plans, resilience/recovery plans, and customer communication plans. Make sure internal emergency procedures and emergency response protocols are in place and have been practiced.
<b>Do we have MOUs in place?</b>	Hold planning meetings and prepare mutual aid agreements. Ensure that agency plans and procedures complement the state's overall emergency structure and plans.
<b>Do we have the right equipment and materials?</b>	Be sure you have equipment and materials ready and in place for expected and unexpected events. Do you have flexibility to adapt to changing situations?
<b>Do we have contracts in place?</b>	Establish vendor relationships prior to an event. Have contracts with contractors in advance, if possible.
<b>How can we improve?</b>	Make sure lessons learned from past events are implemented. Ensure recommended actions and lessons learned from drills/exercises are documented and implemented. Reinforce understanding within the agency that emergency response and preparedness is a critical, primary part of agency mission and one of the most rewarding parts of the job.
<b>Do we have effective public communications in place?</b>	Can our web site and phone number site (511) handle anticipated increase in traffic, e.g. on travel and weather information page? Does the DOT PIO have contacts for other agencies to make sure that everyone is sending out the same message to the public?

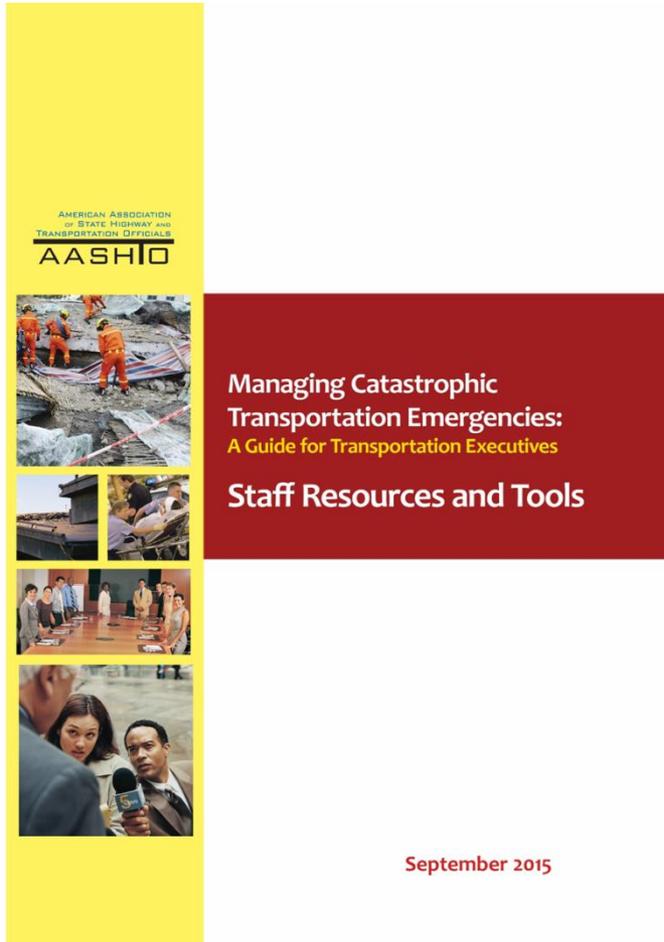
## DURING: RESPOND

Decisions	Advice from Peers
<b>What needs to get done?</b>	Establish priorities when necessary, such as clearing highways as soon as possible to support the response.
<b>What are the priorities?</b>	Tell your people that they will need to make decisions and that you will stand by them.
<b>What support does the local response need?</b>	Be visible to your staff and talk to them face-to-face. Tell them that you are here to help them get their job done. Know what can be authorized under code from what others are recommending.
<b>Who do I need to communicate with?</b>	Communicate early and regularly with critical audiences. Be transparent with information and public data.
<b>How do I gain confidence of public?</b>	Be visible to the public early in a crisis to give a face to the responses. Does the DOT PIO have contact with other agencies to make sure that everyone is sending out the same message to the public?
<b>What messages should be delivered?</b>	Demonstrate that you are in charge <i>and</i> that your agency's primary goal is to do whatever is necessary to protect public safety and address the needs of people involved in the event. Empathy is critical. Let the public know that leadership is concerned about them.
<b>Where should I go?</b>	Get oriented on where to go and whom to contact. Visit communications and operations centers at the district or local level.
<b>What can I do to help my staff?</b>	Know what the staff wants you to do during the event. Remember that you cannot do everything yourself. Know when to step back and let employees and contractors perform their jobs.
<b>Does the situation need to be escalated from local response?</b>	What are the internal escalation points? Is the escalation process working? Understand the incident management escalation points—from local to regional to national—and the resulting changes in communication protocols.
<b>What can I do to help other state and regional agencies?</b>	Be an advocate for your agency with other agencies so they can understand your capabilities and resources. Ask your counterparts at the state level what you can do to help them. Collaboration is critical to your success. <ul style="list-style-type: none"> <li>a. Cities, counties/parishes, MPOs; Regional authorities—seaports, airports, toll authorities; Transit; Public safety agencies</li> <li>b. Community leaders—business leaders, church/mosque/synagogue leaders, critical neighborhood leaders; Local school districts; Media</li> </ul>

## AFTER: RECOVER

Decisions	Advice from Peers
<b>When do we get back to normal operations?</b>	<p>Know or establish criteria that determine when your agency goes back to normal operations versus emergency response mode.</p> <p>Prepare how to transition response/recovery efforts back to the local community when necessary.</p>
<b>How do we get back to normal?</b>	<p>Understand any long-term recovery needs and issues, e.g. restoration of damaged or lost infrastructure. Identify repair/replacement decisions and approaches. Do your staff and local agencies know the criteria for reimbursement from FHWA and FEMA if damage qualifies for funding?</p> <p>Evaluate phased approaches such as using temporary solutions and multi-modal approaches to expedite recovery.</p> <p>Identify how to transition from emergency mode to normal operations.</p>
<b>What worked well and what needs to improve?</b>	<p>Ensure that an after-action report is done and the recommendations and remedial actions become part of the agency's corrective action program. Make sure that the information is shared with everyone that was involved.</p> <p>Get regular, periodic updates on remedial actions to ensure they are being implemented.</p>
<b>What can we do to implement lessons learned from the event?</b>	<p>Make sure there is support for changes made from lessons learned.</p> <p>Create a culture in which people learn and are sustained, even when mistakes are made.</p>

# Resources and Tools



## Staff Templates

- 1-page Agency Wallet Cards
- Agency Resources Template
- Emergency Contact List Template

September 2015



# Templates: Agency Resources

Area Engineer		Phone No.	
Area Supt.		Phone No.	
Area Super.		Phone No.	
Sub-Area Super.		Phone No.	

Equipment			
	Pickups		Bucket Trucks
	Loaders		Flashing Light Trailers
	Backhoes		Variable Message Boards
	Water Trucks		Type III Barricades
	Trucks		Water Pumps
	Graders		Chainsaws
	Bobcats		Equipment Trailers
	Concrete Safety Barriers		

Employee	Radio Call Number	Cell Phone Number

# Templates: Agency Contacts

- Internal
- Federal
- Regional
- State
- Local

Organization				
Agency/Sub-Organization	POC Name	Position Title	E-mail	Telephone
<b>Internal</b>				
Homeland Security Coordinator				
Emergency Management Coordinator				
ESF-1 Coordinator				
District Contacts				
District A				
District B				
<i>(continue list as necessary)</i>				
<b>Federal Government</b>				
U.S. Department of Transportation (U.S. DOT)				
Federal Aviation Administration (FAA)				
Federal Highway Administration (FHWA)				
Local FHWA Contact				
Federal Motor Carrier Safety Administration (FMSCA)				
Surface Transportation Board (STB)				
Pipeline and Hazardous Materials Safety Admin. (PHMSA)				
U.S. Department of Homeland Security (U.S. DHS)				
Office of Infrastructure Protection (IP)				
Protective Security Advisor (PSA)				
<b>Organization</b>				
Agency/Sub-Organization	POC Name	Position Title	E-mail	Telephone

# Thank You

For additional information please contact:

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