



ESF #1 Transportation

ESF Coordinating Agency:

NYS Department of Transportation (DOT)

DPC Support Members:

Division of Military and Naval Affairs (DMNA)

Division of State Police (DSP)

Metropolitan Transportation Authority (MTA)

Thruway Authority (TA)

Port Authority of New York & New Jersey (PA NY/NJ)

Department of Environmental Conservation (DEC)

Department of Corrections and Community

Supervision (DOCCS)

Office of Parks, Recreation and Historic Preservation
(OPRHP)

Non-DPC Members:

Bridge Authority (BA)

Canal Corporation (Canals)

New York Power Authority (NYPA)

EXECUTIVE SUMMARY

In the history of New York State, there have been many natural and human-caused disasters, along with planned events, that have negatively impacted the State's transportation systems and infrastructure, and as a result hindered the movement of goods and services, emergency response capabilities and the general public. Emergency Support Function #1 Transportation (ESF #1) coordinates the support and management of transportation systems and infrastructure, the regulation of transportation, and ensures the safety and security of the State's transportation systems during emergency and non-emergency events. ESF #1 also provides the framework for coordinating the State's transportation response efforts for disasters, events and emergencies that exceed the capacity of local governments by supporting them in their response efforts.

SECTION I: General Considerations and Planning Guidelines

Introduction

The coordinating agency for ESF #1 is the New York State Department of Transportation (NYS DOT). As the coordinating agency, NYS DOT will manage the activities of ESF #1 in conjunction with other member agencies when activated. ESF #1 will typically activate in situations where transportation systems have or may become largely impassable due to debris, storm damage, vehicle congestion or other type of disruption, and where response and recovery capabilities are restricted.

During a State Emergency Operations Center (EOC) activation, ESF #1 will also manage and oversee the Area Transportation Infrastructure

Critical

Capability

ESF #1 would support the following Critical Capabilities in New York State: Planning, Transportation, Damage Assessment, and Restoration of Infrastructure and Critical Services.

Groups (ATIGs). An ATIG is comprised of several regionally-based State agency liaisons working with local government(s) to address and resolve complex transportation infrastructure issues at the local and/or regional level, including reallocation of personnel and equipment assets from other local or county governments, NYS DOT and other State agencies. The ATIGs will operate and report under ESF #1 when activated. By having the ATIGs work under ESF #1 during activations, the State EOC can better manage and resolve statewide transportation issues and prioritize mission assignments.

History has shown that an early or advanced coordinated transportation response at the State level is crucial to providing support and assistance for emergency or pre-planned events. This may include early ESF #1 activation and communication with local governments and other State agencies to determine what level of resources will or may be needed to increase the State's overall preparedness for an event or incident. These efforts will be trained and tested prior to an event or incident.

Purpose

The State Comprehensive Emergency Management Plan (CEMP) has been structured into three distinct, but interconnected volumes. These are:

- Volume 1: All-Hazard Mitigation Plan
- Volume 2: Response and Short-Term Recovery
- Volume 3: Long-Term Recovery Plan

The purpose of the CEMP is to identify the State's overarching policies, authorities and response organizational structure that will be implemented in an emergency or disaster situation that warrants a State response. The CEMP serves as the foundational framework for the State's response levels, and also provides the operational basis from which other ESFs, functional, and hazard-specific annexes are built upon. These ESFs and annexes address a broad range of capabilities in response to the State's highest rated hazards.

The purpose of the ESF #1 Annex is to coordinate the management of transportation systems, assets and infrastructure during planned or unplanned events and emergencies. ESF #1 also participates in prevention, preparedness, response, recovery, and mitigation activities. ESF #1 resources will be provided through the State EOC when activated.

Under ESF #1, the term "transportation infrastructure" includes the following: roads, bridges, tunnels, airports, canals, ports and waterways, railroads, subways, sidewalks, bicycle lanes, and shared use paths that are owned by the State of New York, New York State authorities, other States, international authorities, as well as counties and local municipalities in New York State.

The primary mission for ESF #1 includes the following activities:

- Coordinate and report on damage assessments related to transportation infrastructure.
- Develop routing recommendations for response actions and access to affected areas.
- Restore transportation systems – Coordinate the restoration of affected transportation infrastructure to allow first responders to provide search and rescue missions and to enable aid to reach disaster survivors.
 - Coordinate and perform debris clearance with member agency resources and/or contractors.
 - Make emergency repairs to infrastructure to restore system availability.

Linkage to other State Plans

ESF #1 will be used to support the New York State Comprehensive Emergency Management Plan (CEMP), Volume 2, Response and Short-Term Recovery, as well as the following: ESF #3, NYS Coastal Storm Annex, and the Radiological Emergency Preparedness (REP) Plan.

- Coordinate with Federal, State, and local partners to ensure all necessary environmental regulations and permits are in place to support ESF #1 operations.
- Interpret and apply Federal Emergency Management Agency (FEMA) and Federal Highway Administration (FHWA) regulations and rules related to reimbursable expenses for debris clearance and emergency repairs, working in coordination with ESF #3.
- Monitor, control, and coordinate vehicular traffic flow.
- Provide infrastructure status reports for all modes of transportation.
- Coordinate the issuance of regulatory waivers and exemptions.
- Coordinate and support prevention, preparedness, response, recovery, and mitigation activities among transportation stakeholders within the authorities and resource limitations of ESF #1 members.
- ESF #1 supports the activities of all other ESFs, and works very closely with ESF #3 Public Works and Engineering, and ESF #7 Logistics. However, ESF #1 is not responsible for the movement of goods, equipment, animals or people, except for equipment as needed for ESF #1 operations.

Another function of ESF #1 is to provide updates on the operating status of the State's transportation infrastructure in emergency situations and planned events, which may also include the transportation infrastructure status of contiguous states and international provinces. ESF #1 also provides technical support in the planning process for emergency situations and planned events that may have a substantial impact on transportation systems and infrastructure.

Scope

The ESF #1 Annex is applicable to any incident that negatively impacts the State's transportation infrastructure or requires State involvement at the local level and warrants a State response and support. ESF #1 response efforts may include the following: assistance for evacuation, sharing of transportation information with other agencies, damage assessments and debris clearance. For the purposes of ESF #1, debris clearance would be considered the removal of debris from within the transportation infrastructure to restore transportation systems and routes. ESF #3 will be responsible for properly managing, monitoring, collecting, separating and transporting debris to an appropriate staging or disposal site. ESF #1 will coordinate response efforts with ESF #3, as appropriate.

It should be noted that evacuation planning is primarily a local government concern that would call for regional coordination, given the likely impact on regional transportation infrastructure. Therefore, the ESF #1 Annex could provide support for evacuation response by managing roadway access, transportation infrastructure, and detour planning in conjunction with local response efforts.

The Air Operations Group (AOG) will be managed and coordinated under the scope of the NYS Airspace Control Plan in support of ESF #1.

Situation

In the past, infrastructure has most commonly been disrupted by natural disasters such as leftover debris from flooding, wind storm events, record snow storms, soil failure, and weakening infrastructure from recurring storms that produce flash flooding. Moreover, it is important to point out that the overall New York State transportation infrastructure is multi-modal and covers all transportation systems. Natural, human caused and technological events may impact these modes of transportation just as highway transportation may be affected.

Some examples of weather events that have impacted New York State are as follows: Hurricane Sandy caused severe storm surge, flooding and destruction primarily in New York City, Long Island, and the Lower Hudson Valley regions; Hurricane Irene and Tropical Storm Lee caused severe flooding in the Catskill and the Southern Tier regions; various Lake-Effect snow events that have impacted the Western New York region east of Lake

Erie, and the Central New York region east of Lake Ontario. The most significant human caused event was the 9/11 attack on the World Trade Center in New York City, which halted subway services in lower Manhattan, and stopped Port Authority Trans-Hudson (PATH) train service between New Jersey and Manhattan. In addition, the debris removal and recovery operations closed multiple streets in and around the World Trade Center site for many months later and delayed travel across bridges and through tunnels because of increased security measures.

During an emergency situation or pre-planned event, the resulting conditions may cause the State's transportation systems and infrastructure to become largely inoperative or widely congested. As a result, all levels of government will be called upon to restore and maintain the transportation system(s) under their authority. These events are not limited to situations where physical damage occurs, but may also occur with large pre-planned events and possibly even evacuation planning for various weather or human caused events.

Along with operational concerns for response and short-term recovery, there will be a need for ongoing information updates during an event regarding transportation systems and infrastructure status. The criteria for providing required information will likely be established at the outset of the event and may be subject to change depending on the situation. This will apply to all levels of response from local government to State and Federal government.

Planning Assumptions

ESF #1 assistance is meant to provide relief for State, county and local governments to maintain, restore and reestablish transportation infrastructure during an emergency event, and support and assistance for a planned event. The assumptions include the following:

1. Planned and emergency events begin and end at the local government level.
2. For planned events or emergency situations, transportation infrastructure may be largely inoperative and may alter ingress and egress to and from the impacted area.
3. When local resources have been exhausted, the ATIG and ESF #1 will be needed.
4. Working challenges include road closures, partial closures, limited service, or unavailable support capabilities in the transportation infrastructure that may hinder emergency response and short-term recovery efforts.
5. It is anticipated that local governments will be fully engaged in their response efforts.
6. An individual ATIG may exhaust its ability to respond and as a result may request support through ESF #1 for assets outside of the impacted area; this action may prompt the activation of other ATIGs to support response efforts.
7. At their discretion, a county emergency manager may request for activation of the ATIG on behalf of local government for overall planning and additional resource support from the regional level; this request would be reviewed by ESF #1 during an activation and approved if appropriate.
8. State agency transportation entities may have existing local/state contracts or memorandums of understanding (MOUs) with local governments either for road maintenance or travel purposes. Measures taken by ESF #1 or the ATIG will not interfere with these contracts or agreements.
9. ESF #1 members have prepared agency plans unique to them for applying standard operating guidelines and/or procedures for putting into action restoration activities.
10. During an event, transportation infrastructure agencies will do their best to provide information on the current status of infrastructure under their authority, as accessible for the purposes of response and recovery efforts.

11. ESF #1 will draw on the resources and capabilities of member agencies primarily and may include non-member agency support for the purposes of event response and recovery efforts as needed.
12. The State may activate ESF #1 by its own initiative to support a State response.

Concept of Operations

1. An incident or event occurs in New York State that requires a State response.
2. NYS Office of Emergency Management (OEM) will determine the appropriate level of activation for the State depending on the incident or event situation.
3. State assistance will support local government response efforts.
4. NYS OEM and NYS DOT will both determine the level of participation required for ESF #1 in responding to an incident and when to initiate State response efforts.
5. For a State EOC Level 1 Full Activation, State ESF #1 will integrate and coordinate response efforts with Federal ESF #1 and other Federal ESFs as needed.
6. The activation of one or more ATIGs may coincide with activation of ESF #1.
7. For debris clearance, NYS DEC, NYS DOCCS, NYS OPRHP, and other member agencies may be included to support ESF #1 response efforts.
8. If conditions warrant an Air Operations function, the Air Operations Group (AOG) will be established.
 - Air Operations Group (AOG) capabilities will be managed and coordinated under the scope of the NYS Airspace Control Plan in support of ESF #1.
 - The New York National Guard and New York State Police Aviation will be the lead agencies for the Air Operations Group.
 - The Air Operations Group will determine the operational parameters for the other ESFs using aviation resources.
 - Other ESFs in need of air operations support will coordinate their missions through the Air Operations Group.
9. As the State EOC activation begins to scale back, ESF #1 will start demobilizing and preparing for possible transition to a Recovery Support Function (RSF) in coordination with other ESFs.

Policy or Authorities

- Federal: Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) National Response Framework (NRF)
- New York State (NYS): Once ESF #1 has been activated for the purpose of transportation infrastructure emergency repair work or debris clearance, the following State policies apply:
 - State agency assets may be utilized to conduct temporary repairs and/or debris clearance from the impacted transportation infrastructure and other public right of way after local resources have been exhausted.
 - Clearance refers to transportation infrastructure as passable for emergency vehicles only, and debris may remain near the infrastructure right-of-way on a temporary basis. Any environmental concerns fall under the authority of the State Department of Environmental Conservation, and debris clearance operations would need to be coordinated across all levels of government including local, State, and Federal agencies.

- State agency mission objectives will be allocated based on level of importance and in accordance with the following list of priorities:
 - **First:** To reopen the impacted transportation infrastructure and allow for safe passage of emergency vehicles and life sustaining service.
 - **Second:** To reestablish and reopen transportation infrastructure and other public right-of-way areas to enable repair crews the ability to expedite repairs to infrastructure or to restore utility services.
 - While it is expected that State ESF #1 and the ATIG would be activated for major emergencies that necessitate a Declaration of a State Disaster Emergency, the activation of ESF #1 and the ATIG is not restricted to a gubernatorial declaration; in either case, the ATIG would report to ESF #1. The following response and short-term recovery activities may be carried out in the absence of a gubernatorial declaration: 1) under the most pressing emergency situations, and at the direction of the Governor, and; 2) following a declaration of a state of emergency by a local government, and; 3) after a request for State assistance pursuant to Section 24(7) of NYS Executive Law, and; 4) where the local government has certified (in writing) that State employees are considered officers or employees of the political subdivision for the objectives of Section 25(5) of NYS Executive Law.
- 6 NYCRR Part 360, Solid Waste Regulations
 - 6 NYCRR Part 364, Waste Transporter Permits
 - 6 NYCRR Part 621, Uniform Procedures; in particular, Part 621.12, Emergency Authorizations
 - NYS Environmental Conservation Law (Article 15 – Water Resources, Title 5: Protection of Waters; Article 24 – Freshwater Wetlands, Title 7: Freshwater Wetlands Regulations; Article 25 – Tidal Wetlands, Title 4: Regulated Activities; Article 70: Uniform Procedures, § 70-0116 Emergency Authorization.
 - NYS Environmental Conservation Law Articles 17, 27, 33 and 70
 - NYS Defense Emergency Act of 1951
 - NYS Executive Order #26.1 of 2006
 - NYS Executive Law, Article 2-B

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The State Multi-Hazard Mitigation Plan was Federally approved by DHS/FEMA in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment, or THIRA. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Planning

All member agencies shall attend and participate in ESF #1 meetings, training sessions, conferences, and exercises, as required.

ESF #1 shall develop, test, and maintain any manual or automated listings as follows:

- Agency emergency points of contact that need, or may need to be contacted by agency representative(s) assigned to ESF #1; the State Watch Center (SWC) under NYS OEM will be responsible for agency notifications and contact updates to activate member agencies.
- Agency available transportation resources (from within the agency) such as types of equipment and equipment operators.
- Points of contact for agency available transportation resources (from agency contractors, vendors, etc.) such as equipment and equipment operators.

Review as necessary each support agency's automated or manual listings of emergency contacts.

Training, Exercising and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management

Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope, and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

(DEC) Post Flood Emergency Stream Intervention Training: The purpose of the manual is to ensure that aquatic natural resources, including all watercourses and their adjacent riparian, wetland and flood plains habitats, are not impacted by the emergency response actions. This training material will provide information on how to assess the situation, decide where to work and what the right approach would be under an emergency response condition.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

- NYS DOT may provide dump trucks, loaders, excavators, chippers, bulldozers, graders, portable variable message signs, and other equipment as available. For snow and ice operations, dump trucks will be equipped with plows, pickup trucks with plows, and snow blowers may also be utilized.
- NYS DMNA engineers have dump trucks, front loaders, bulldozers, and skid steers to perform debris clearance for restoring emergency access routes.
- NYS DSP vehicles with Troopers assigned may be available for traffic control and detour management in support of road closures and openings.
- MTA maintains numerous pieces of specialized equipment including vehicles such as wreckers, bucket trucks, payloaders, and various types of storm response equipment, including generators, light towers, sandbags, and variable message signs.
- NYSTA may provide dump trucks, loaders, excavators, chippers, bulldozers, graders, portable variable message signs, and other equipment as available. For snow and ice operations, dump trucks will be equipped with plows, pickup trucks with plows, and snow blowers may also be utilized.
- PA NY/NJ may provide vehicles and equipment for emergency response efforts in support of ESF #1 as available.

- NYS DEC may provide vehicles and equipment in support of emergency debris clearance operations for ESF #1 as available.
- NYS DOCCS may provide vehicles and equipment in support of emergency debris clearance operations for ESF #1 as available.
- NYS OPRHP may provide vehicles and equipment in support of debris clearance efforts with light and medium duty plow trucks for snow and ice operations, as available.
- NYSBA may provide vehicles and equipment for emergency response efforts in support of ESF #1 as available.
- NYS Canals may provide vehicles and equipment for emergency response efforts in support of ESF #1 as available.

In all instances where agencies have provided stockpile items, supplies, or specialized equipment resources in support of ESF #1, it is understood that those resources would be operated and/or utilized by the agency that provided them, unless otherwise indicated.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

NYS DOT and NYS OEM have a signed memorandum of understanding (MOU) that designates the use of the New York Wing Civil Air Patrol (NYW CAP) to provide resource support for NYS DOT with aerial reconnaissance, damage assessments, and other mission-related activities.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the NYS DOT serving as the ESF coordinator. These are:

**NYS EOC
Activation Levels**

- Steady State
- Level 4 – Enhanced Monitoring
- Level 3 – Partial Activation
- Level 2 – Full Activation
- Level 1 – Full State/Federal Response

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM Staff Only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with ESF coordinating agency activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- The ESF coordinating agency will be activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and HSPD-5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State's ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF 5 (Planning), ESF 7 (Logistics), and ESF 15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF 5 is assumed by the Planning Section in the State EOC; ESF 7 is assumed by the Logistics Section in the State EOC; ESF 15 is situated in the Command Element.

ESF #1 will provide incident management support and organization under the coordinating ESF agency, NYS DOT. The coordinating ESF agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF. Resources assigned within the Region will be directly coordinated by the ATIG under ESF #1. If additional resources are needed, then those resources will be coordinated by ESF #1.

This ESF is assigned under Operations. The ESF coordinator will be the primary interface with the OSC, and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF lead for availability of resources/missions. The ESF leadership will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Confirmation or concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignment of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality, and should not be interpreted as additional resources if identified in other ESF annexes.

NYS Department of Transportation (DOT):

- Coordinate all Emergency Support Function #1 administrative, management, planning, preparedness, response, recovery, and mitigation activities.
- Assign Department of Transportation personnel to the Emergency Support Function #1 duty schedule in the State Emergency Operations Center.
- Provide all available and obtainable transportation resource support for the Emergency Support Function #1 mission to include:
 - a) Appoint a NYS DOT Incident Commander who will take the lead in actively pursuing the NYS DOT goal of opening the roadways as quickly and safely as possible. The NYS DOT Incident Commander has the authority, responsibility, and commensurate accountability to be in charge of all NYS DOT activities associated with the incident.
 - b) Maintain the state highway system, to include debris clearance from highways, roads, bridges, and State-owned property.
 - c) Restore highways, roads, and bridges which are a responsibility of the NYS DOT, as well as NYS Thruway; and assist cities and counties in the restoration of highways, roads and bridges, upon request.
 - d) Facilitate, in coordination with the State Police and affected local governments, traffic movement during a large-scale evacuation and re-entry.
 - e) Provide an Initial Damage Assessment report damages to state highways, roads, and bridges to the State EOC. Provide for damage assessment and hazard mitigation inspection for highways, roads, and bridges in the state system and critical local routes.
 - f) Coordinate requests for Federal assistance for debris or wreckage clearance from State property in conjunction with ESF #3.
 - g) Provide for the transport of equipment and other resources as needed in support of ESF #1.
 - h) Coordinate emergency engineering services for highway operations.
 - i) Coordinate waivers and/or clearances for the emergency movement of oversized and overweight vehicles.

NYS Division of Military and Naval Affairs (DMNA):

- Per the National Response Framework and FEMA, military forces are not first responders, but the National Guard is the first level of military response.
- Engineers have the ability to perform debris clearance for restoring emergency access routes for responders.
- Engineers are not equipped with stockpiles of materials and the equipment to assist with reconstruction of damaged infrastructure.
- Engineers have limited assets to perform snow removal.
- DMNA can provide aviation and airspace management for supporting aviation assets within the incident area.

NYS Division of State Police (DSP):

- Provide assistance with traffic control, including access and egress to affected areas.
- Assist with detour management, and coordination of road closures and openings with NYS DOT and NYSTA.

- Assist with monitoring of roadway conditions and notify NYS DOT and NYSTA of changes during an event.
- Coordinate and provide aviation support as needed.

Metropolitan Transportation Authority (MTA):

- Monitor and maintain all transportation systems under MTA management.
- Submit reports on transportation system status when needed.
- Coordinate detour information, service status information and traffic control management to include all modes of transportation under MTA, as necessary.

NYS Thruway Authority (TA):

- Monitor and maintain all transportation systems under NYSTA management.
- Submit reports on transportation system status when needed.
- Provide personnel, equipment, engineering, and technical expertise in support of transportation response efforts.

Port Authority of NY/NJ (PA NY/NJ):

- Monitor and maintain all transportation systems under PA NY/NJ management.
- Submit reports on transportation system status when needed.
- Coordinate detour information, service status information and traffic control management to include all modes of transportation under PA NY/NJ, as necessary.

NYS Department of Environmental Conservation (DEC):

- Coordinate initial debris clearance and management with ATIGs and ESF #3.
- Provide information and guidance on emergency permitting when needed.
- Provide information and advice on emergency staging areas for debris clearance.
- Ensure that protected natural resources such as rivers, streams and waterbodies, freshwater and tidal wetlands are protected during emergency response and recovery activities utilizing the emergency authorization and general permitting procedures.

NYS Department of Corrections and Community Supervision (DOCCS):

- Provide support for debris clearance from transportation infrastructure right-of-way.

NYS Office of Parks, Recreation and Historic Preservation (OPRHP):

- Provide support for debris clearance from transportation infrastructure right-of-way.

NYS Bridge Authority (BA):

- Monitor and maintain all transportation systems under NYSBA management.
- Submit reports on transportation system status when needed.

NYS Canal Corporation (Canals)/New York Power Authority(NYPA):

- Monitor and maintain waterways (reservoirs and canals) under NYS Canals' jurisdiction for navigation and submit reports on status of canal system as needed.
- Canals has limited capacity to provide personnel, engineering, and technical expertise in support of transportation response efforts.
- Resources needed to meet Canals' and NYPA's infrastructure, engineering and operations needs would be prioritized.
- Emergencies impacting the canal system will limit the resources available from Canals if this ESF is activated.

- NYPA and Canals have the combined capability to support missions within ESF 1.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination is key to leveraging the resources of each Federal ESF. As such, New York State ESF #1 will serve at the primary integration point for Federal ESF #1. The table below summarizes Federal ESF #1 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

<p>ESF # 1 - Transportation ESF Coordinator: Department of Transportation</p>
<p>Key Response Core Capability: Critical Transportation</p>
<p>Coordinates the support of management of transportation systems and infrastructure, the regulation of transportation, management of the Nation’s airspace, and ensuring the safety and security of the national transportation system. Functions include but are not limited to:</p> <ul style="list-style-type: none"> • Transportation modes management and control • Transportation safety • Stabilization and reestablishment of transportation infrastructure • Movement restrictions • Damage and impact assessment.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs, and will be jointly determined by OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State’s focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a Federally-established Joint Field Office (JFO). JFOs are established, operated and maintained by DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments, and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State’s ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all Federally-declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency’s role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF below:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
DOT	X			X		
DMNA				X		
DSP	No RSF Assignment					
MTA	X		X	X		
TA	X			X		
PA NY/NJ	X			X		

DEC	X	X	X	X	X	X
DOCCS			X	X		
OPRHP	X			X	X	
BA				X		
Canals				X		
NYPA				X		