U.S. Department of Homeland Security United States

United States Coast Guard



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COMDTINST 16000.28B 06 FEB 2019

COMMANDANT INSTRUCTION 16000.28B

Subj: MARINE TRANSPORTATION SYSTEM RECOVERY PLANNING AND OPERATIONS

- Ref: (a) National Response Framework
 - (b) National Incident Management System
 - (c) National Disaster Response Framework
 - (d) Guidelines for Drafting the Marine Transportation System Recovery Plan, Navigation and Vessel Inspection Circular, NVIC 04-18
 - (e) Guidelines for the Area Maritime Security Committees and Area Maritime Security Plans Required for U.S. Ports, Navigation and Vessel Inspection Circular NVIC 09-02, COMDTPUB P16700.4 (series)
 - (f) Common Assessment & Reporting Tool (CART) User Manual (series)
 - (g) Contingency Preparedness Planning Manual, Volume 4: Incident Management and Crisis Response, COMDTINST M3010.24 (series)
 - (h) Coast Guard After Action Program, COMDTINST 3010.19 (series)
 - (i) Marine Transportation System Recovery, LANTAREAINST 16601 (series)
 - (j) Marine Transportation System Recovery, PACAREAINST 16001.1 (series)
- 1. <u>PURPOSE</u>. This Instruction provides policy on Marine Transportation System (MTS) recovery planning and operations following a natural (e.g., severe weather, earthquake) or man-made (e.g., Transportation Security Incident) event that significantly impacts regional or national MTS capability or capacity.
- 2. <u>ACTION</u>. Area, District, and Sector Commanders, Marine Safety Unit Commanding Officers, Force Readiness Command, Commanding Officers of Headquarters Units, and Assistant Commandants for directorates must ensure the provisions of this Instruction are implemented. Internet release is authorized.
- 3. <u>DIRECTIVES AFFECTED</u>. Marine Transportation System Recovery Planning and Operations, COMDTINST 16000.28A, dated June 26, 2014, and Commandant (CG-FAC) Policy Letter 13-10, dated April 3, 2013, are cancelled.
- 4. <u>BACKGROUND</u>. The MTS is an integral part of the nation's overall transportation and energy systems that serve 361 ports, 3,700 marine terminals and 25,000 miles of inland and coastal waterways. The system also includes 1,500 miles of international maritime border with Canada, connecting population centers to the Atlantic Ocean through the Great Lakes and the St. Lawrence Seaway System. The MTS depends on a series of functional DISTRIBUTION – SDL No. 169

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interdependent networks: physical networks such as vessels, waterways, and critical infrastructure (i.e. facilities, bridges, locks and dams, etc.), intermodal rail and highway systems, and product transfer pipelines and equipment. The MTS also depends on cyber networks and industrial control systems comprised of intertwined systems that manage complex public or private industrial infrastructure such as power grids, navigation systems, and global communications. Waterborne cargo and associated MTS activities contribute more than \$4.6 trillion in economic activity and sustain more than 23 million jobs. The U.S. Coast Guard's Maritime Commerce Strategic Outlook recognizes the criticality of the MTS and the need to ensure a safe, secure, sustainable, efficient, and resilient MTS.

- 5. <u>DISCLAIMER</u>. This guidance is not a substitute for applicable legal requirements, nor is itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended nor does it impose legally binding requirements on any party outside of the Coast Guard.
- 6. <u>MAJOR CHANGES</u>. Major changes in this update include: the establishment of stand-alone MTS Recovery Plans (MTSRP); national/regional coordination with Department of Transportation (DOT) Emergency Support Function One (ESF-1); and an update to the Common Assessment and Reporting Tool (CART) policy.

7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

- a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current DHS A 3 (c) from further environmental analysis, in accordance with Section V.B.2. and Table 1 List of DHS Categorical Exclusions of the National Environmental Policy Act (NEPA) Instruction Manual 023-01-001-01, Revision 01.
- b. This Instruction will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policy in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Department of Homeland Security (DHS) and Coast Guard NEPA policy, and compliance with all other applicable environmental mandates.
- 8. <u>DISTRIBUTION</u>. No paper distribution will be made of this Instruction. An electronic version will be located at: Internet: <u>http://www.dcms.uscg.mil/directives/</u>, and CGPortal: <u>https://cgportal2.uscg.mil/library/directives/sitepages/home.aspx</u>.
- 9. <u>RECORDS MANAGEMENT CONSIDERATIONS</u>. This Instruction has been thoroughly reviewed during the directive clearance process, and it has been determined that there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. § 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial changes to existing records management requirements.

10. DISCUSSION.

- a. Disruptions to the MTS, whether caused by natural or man-made events, can have a significant impact on the U.S. economy. When disruptions occur, it is the intent of the Coast Guard to maintain an "Open Port" strategy and avoid an automatic port shut down in response to any incident. Captains of the Port (COTPs) will judiciously employ their legal authority to effectively address the cause of the MTS disruption while minimizing any further disruption.
- b. The Coast Guard is designated as the Sector Specific Agency (SSA) for the maritime mode of transportation, pursuant to the National Infrastructure Protection Plan (NIPP). The Coast Guard is the federal agency responsible to provide knowledge, expertise, leadership, facilitation, and support of security and resilience programs in an all hazards environment.
- c. MTS recovery and restoration requires an interagency effort with strong ties to maritime port partners. The Coast Guard's intent is to coordinate the response with other Federal, State, and Local government agencies, Territorial and Tribal communities, and public and private sector port partners in order to enable the rapid recovery of the MTS as safely and securely as possible. The Coast Guard will cooperate and seek input from representatives within the maritime community and across the intermodal transportation system, as well as, government officials who oversee the movement of commerce.
- d. Coast Guard District Commanders, Sector Commanders, and Marine Safety Unit Commanding Officers have many pre-designated authorities with specific roles and responsibilities at their disposal such as COTP, Federal Maritime Security Coordinator (FMSC), Officer-in-Charge, Marine Inspection (OCMI), Search and Rescue (SAR) Coordinator, SAR Mission Coordinator (SMC), and/or Federal On-Scene Coordinator (FOSC). Therefore, these Commanders are uniquely positioned to lead their port communities in MTS recovery. Coast Guard leaders must be fully prepared to establish Incident Command/Unified Command (IC/UC) organizations with operations focused on managing short-term recovery decision-making processes and procedures to restore the MTS using stakeholder input received from local, regional, and national recovery interests.
- e. The complexities of the MTS necessitate the development of strategies, plans, and standard processes and procedures that can be rapidly implemented during transportation-related incidents unique to the port environment. MTS recovery and restoration focuses on port reconstitution, identification of regional and national issues, and coordination of, or acting as a catalyst for interagency and industry communications and problem resolution.
- f. The response to an incident affecting the MTS will be conducted under the incident management structures and procedures specified by Reference (a) and will use the process in Reference (b). Additionally, the Coast Guard has been assigned the short-term MTS recovery role that supports long-term recovery per Reference (c).

- g. In accordance with 46 U.S.C. § 70103, Area Maritime Security Plans (AMSPs) must include procedures to facilitate the recovery of the MTS following a Transportation Security Incident (TSI), which would cause a MTS disruption, and must also include a Salvage Response Plan (SRP) and area response and recovery protocols to prepare for, respond to, and recover from a TSI.
- h. In accordance with 33 U.S.C. 1321(d) and 40 C.F.R. § 300.210, the Area Contingency Plan must include specific oil and hazardous substance spill response, incident management, all hazards preparedness elements, and marine firefighting annexes. In addition, in accordance with 33 C.F.R. Parts 154 and 155, USCG regulated facilities and vessels, must have a Facility Response Plan or Vessel Response Plan, respectively, which explains how the individual facility or vessel will handle spill response to include marine salvage and firefighting.
- 11. <u>DEFINITIONS</u>. The definitions in Enclosure (1) of Reference (d) are applicable to this Instruction.

12. <u>RESPONSIBILITIES</u>.

- a. Coast Guard Headquarters, Office of Port and Facility Compliance, (CG-FAC).
 - (1) Program manager of MTS Recovery policies and guidance.
 - (2) Support implementation of the MTS Recovery processes and procedures, including actions where MTS Recovery Units (MTSRUs) are put into operation during incidents or planned events.
 - (3) Liaise with the Department of Transportation's (DOT) Emergency Support Function -One (ESF-1) at the Federal Emergency Management Agency's (FEMA) National Response Coordination Center (NRCC) to monitor and report MTS response/recovery actions of impacted waterways.
 - (4) Establish protocols that support the Coast Guard's responsibilities, as prescribed in Reference (a), to support DOT's ESF-1 functions and other ESFs as necessary.
 - (5) Update AMSP, MTSRP, and SRP guidance as outlined in References (d) and (e).
 - (6) Serve as program manager for CART with Commandant (CG-633) and Coast Guard Operations Systems Center (OSC). Provide technical expertise and support as necessary to ensure the proper operation of CART.
 - (7) Oversee implementation of the Customs and Border Protection (CBP)/USCG Joint Protocols for the Expeditious Recovery of Trade.
- b. <u>Force Readiness Command (FORCECOM)</u>. Provide support to the MTS Port/Recovery Program Manager to enable mission success through: readiness analysis, Tactics, Techniques, and Procedures (TTP) development and training/exercise support for billeted Security Specialist (Port/Recovery) personnel, the MTS Recovery program, and the MTSRU function.

c. Area Commanders.

- Support District and Sector MTS Recovery planning and operations, pursuant to this Directive and applicable Area policies, especially during Type 1 and Type 2 incidents as defined in the Contingency Preparedness Planning Manual Volume 3 - Exercises, COMDTINST M3010.13 (series).
- (2) Maintain situational awareness during significant MTS disruptions and report MTS recovery status in CART, as required.
- (3) Request MTS Recovery Subject Matter Experts (SMEs) as necessary from outside the impacted area to support Commandant (CG-FAC) and DOT (ESF-1) joint operations at the NRCC, Regional Response Coordination Center (RRCC), et al.
- (4) Oversee/support MTS Recovery training (MTSL3) of Area, District and field personnel.
- (5) Maintain liaison with DOT's Regional Transportation Representatives (RETREP) and provide support where needed.
- (6) Review and approve MTSRPs.
- (7) Identify constraints and barriers to MTS recovery that fall outside of existing Coast Guard authorities or capabilities and communicate these to Commandant (CG-FAC). Recommend legal, regulatory, or policy initiatives to improve the Coast Guard's ability to facilitate MTS Recovery and to address stakeholder concerns.
- (8) Maintain a minimum of two trained persons (Marine Transportation System Recovery Unit Leader Type 3 qualified (MTSL3)) with an active CART account and proficient in the use of CART.
- d. District Commanders.
 - (1) Maintain situational awareness of the MTS during transportation disruptions and report MTS recovery status in CART as required.
 - (2) Support the flow of information between Sector MTSRUs and Area/Headquarters.
 - (3) Oversee/support MTS Recovery training (MTSL3) of District and field personnel.
 - (4) Review CART Essential Elements of Information (EEI) for Sectors within their AOR annually.
 - (5) Identify regional MTS Recovery concerns.
 - (6) Liaise with DOT RETREPs within Area of Responsibility (AOR). Support DOT ESF-1 at the regional level with MTS SME as requested.

- (7) Ensure that personnel trained in MTS recovery functions and procedures are available to augment MTSRUs during incidents that exceed Sector MTSRU capabilities.
- (8) Maintain a minimum of two trained persons (MTSL3 qualified) with an active CART account and proficient in the use of CART.
- e. Sector Commander/Captain of the Port.
 - (1) Develop and maintain the MTSRP as a stand-alone plan per guidance contained in Reference (d).
 - (2) Develop and maintain the SRP as required by Reference (e).
 - (3) Pre-designate a MTSRU Leader (MTSL3 qualified) to prepare for and coordinate MTS Recovery functions. MTSRU activity will require a multitude of significant decisions, made in concert with senior industry and other government agency representatives. Accordingly, the MTSRU Leader must have sufficient seniority, experience, and the full confidence of the Sector Commander to fulfill these duties.
 - (4) Train and maintain an adequate number of MTSRU personnel to support Sector's/COTP's MTS recovery responsibilities.
 - (5) Coordinate, train, and exercise with local stakeholders to obtain information and the expertise to inform and support MTS recovery situational awareness, assessment, planning, and reporting.
 - (6) As necessary, establish the MTSRU within the Incident Command System shown in the U.S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17 (series).
 - (7) Maintain CART baseline data (EEIs) as required by Area and District Commander's guidance and update baseline data in CART as necessary per Reference (d) and Enclosure (1) to this Instruction.

13. RELATIONSHIP TO OTHER CONTINGENCY PLANS.

- a. Since the MTSRP and the SRP are implemented in response to natural or man-made events, both plans support operations when other contingency plans are implemented. The appropriate contingency plan should be implemented to respond to the incident, and the MTSRP and/or the SRP should be implemented to restore the MTS.
- b. In accordance with 46 U.S.C. § 70103, the AMSP includes an SRP and MTS Recovery procedures used to facilitate recovery of the MTS following a TSI. Therefore, the AMSP will include MTS Recovery Procedures by referencing the MTSRP.
- c. The MTSRP and a SRP must be referenced in other contingency plans when the incident or a response to the incident could disrupt the MTS. These plans include, but are not limited to, the Area Contingency Plan, Area and District Concept Plans, Severe Weather Plan, and Mass Rescue Operations Plan/Annex. Commandant (CG-FAC) will support

and assist other Coast Guard Headquarters directorates with updating their guidance with regard to these plans.

14. <u>REGIONAL RECOVERY COORDINATION</u>. Hurricane Sandy (2012), Hurricane Matthew (2016), the 2016 Cascadia Rising Exercise, and the 2017 and 2018 hurricane seasons identified the need to plan for and manage large-scale incidents impacting geographical areas that transcend beyond local interests. A large-scale incident may require MTS recovery coordination across multiple COTP Zones within a region (District) or impacting multiple regions (Area) of the U.S. Area and District Commanders should consider regional recovery coordination and support for large-scale operations as outlined in FEMA and State Catastrophic Plans.

15. LIAISON WITH OTHER GOVERNMENT AGENCIES (OGA).

- a. <u>Department of Transportation (DOT)</u>. In large or catastrophic responses, there will likely be a request to support DOT ESF-1 with MTS Recovery SMEs. Commandant (CG-FAC) will coordinate with DOT ESF-1 and support requests to provide MTS recovery SMEs at the FEMA NRCC. MTSL3 qualified personnel may need to support ESF-1 at the FEMA RRCC or State Initial Operating Facilities to provide MTS recovery and information flow between Coast Guard incident management and other government agencies. These SMEs will be sourced through normal Coast Guard support processes.
- b. <u>National Response Team (NRT)/Regional Response Team (RRT)</u>. Headquarters, Area, and District personnel with MTS Recovery responsibilities should discuss MTS recovery process and information flow with the NRT. District Incident Management and Preparedness Advisors (IMPA) should discuss MTS recovery process and information flow with the RRT.

16. COORDINATION WITH PUBLIC AND PRIVATE STAKEHOLDERS.

- a. Transportation disruptions often have large scale impacts and require a unity of effort across a broad spectrum of public and private stakeholders to resolve, to include trading partners and businesses in locations outside the incident area. After action reports from real world events and full scale exercises strongly support the idea that successful management of recovery efforts occurs through pre-established stakeholder supported partnerships.
- b. Coast Guard units must plan and conduct MTS Recovery operations through a unity of effort approach. COTPs should recognize several parties have an interest in recovery operations and have capabilities that can and should be included in that effort.
- c. Coast Guard units with significant international partnerships are encouraged to coordinate implementation of mutually agreed MTS Recovery practices and procedures with foreign governments and commercial port partners that serve the common interests of nation states.

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17. PRE-INCIDENT PLANNING.

- a. A firm understanding of routine cargo flows, MTS critical infrastructure, and MTS activities is a prerequisite for sound decision making when planning and conducting MTS Recovery operations. COTPs must use Reference (d) to assist and guide their efforts in capturing relevant planning information in their MTSRP.
- b. MTS Recovery planning provides the necessary operational procedures that facilitate a safe and efficient return of the MTS to its pre-disruption condition, which is vital to the local, regional, and national economic and security interests.

18. POST-INCIDENT CONSIDERATIONS.

- a. Short-term Recovery.
 - (1) Conduct MTS Recovery efforts concurrently with immediate response operations such as Search and Rescue, Pollution Response, and security activities. Operational Commanders must set appropriate priorities and manage incidents in accordance with incident objectives.
 - (2) Public outreach and strategic communications is critical in MTS Recovery operations. Restoring public confidence in the safety and security of the MTS after an emergency will allow business leaders to make decisions based on facts, deter adversaries who may seek to exploit an event for their own purposes, and allow emergency support agencies and/or political leaders to focus aid in the appropriate areas.
 - (3) Companies may divert cargo and make other business continuity decisions that could involve proprietary information. COTPs should encourage company representatives to share information so the MTSRU can use that information to inform decisionmakers in order to implement operations that would help facilitate alternative business decisions.
- b. <u>Long-term Restoration</u>. Coast Guard field units should establish an effective and efficient MTS Recovery framework that supports restorative efforts beyond the initial response and recovery phase. Potential long-term restoration efforts with substantial impacts to the MTS (e.g., collapsed bridge blocking navigable waters) should be identified and reported to decisions makers and emergency managers to begin long-term restoration planning efforts as outlined in Reference (c). Paragraph 27.b of this Instruction identifies information requirements for documenting MTSRU transition from short-term recovery to long-term restoration.

19. AIDS TO NAVIGATION (ATON).

a. Identification of ATON relating to MTS recovery is an important topic prior to any incident impacting maritime commerce. In general, ATON associated with MTS Recovery is defined as those navigation aids considered by the Coast Guard to be of vital navigational significance (Aid Availability Category 1) in accordance with the Aids to Navigation Manual - Administration, COMDTINST M16500.7 (series) or by port stakeholders as essential to resuming maritime commerce. It is anticipated that restricted waterways and/or vessel traffic movement will be halted or adversely impacted unless the operational or functional status of these ATON are known.

- b. COTP Waterways Management staff must assist in categorizing ATON necessary for MTS recovery and should coordinate with their District waterways management staff. Once identified, these ATON must be captured within the CART database per Enclosure (1) and listed in the MTSRP in order to be tracked. Job aids used to assist with the identification of these ATON can be found in Reference (f).
- c. Electronic ATON (E-ATON) are Automatic Identification System (AIS) based signals that are either synthetic (AIS signal overlaid on a physical ATON) or virtual (AIS signal only). Either the USCG National AIS network or a locally deployed base station transmits the AIS signal. The use of E-ATON in MTS Recovery can be a valuable tool in waterway resiliency. Commandant (CG-NAV) has the ability to deploy E-ATON to augment the existing physical ATON constellation. COTP Waterways Management staff should request specific E-ATON through their cognizant District Waterways Management staff. As early as practicable, District staffs should coordinate priority E-ATON lists with Commandant (CG-NAV) so District Commanders are able to maximize transmission of the AIS signals to expedite post storm recovery and openings. Advanced planning is essential because remote communication to local towers will likely be disrupted post event.
- d. U.S. Army Corps of Engineers (USACE) and the National Oceanographic and Atmospheric Administration (NOAA) are responsible for providing soundings post incident, surveying underway obstructions and certifying a channel's depth. Both USACE and NOAA deploy assets prior to an event arrival and are available for post event activity. Coast Guard Sector personnel should coordinate MTS recovery activities with these agency partners to expedite MTS recovery.
- 20. <u>GLOBAL POSITIONING SYSTEM (GPS) DISRUPTIONS</u>. A disruption to U.S. Global Positioning System (GPS) will have significant impacts to the MTS. Coast Guard Sectors must report GPS disruptions to the Coast Guard Navigation Center (NAVCEN) Navigation Information Service watch floor at <u>www.navcen.uscg.gov</u> or 703-313-5900. NAVCEN facilitates the interagency reporting of GPS disruptions to ensure a coordinated government response. Coast Guard Sectors should coordinate with NAVCEN to ensure broadest distribution of GPS disruption information (examples include but not limited to: Urgent Marine Information Broadcast and Homeport announcement). The constellation of physical ATON maintained by the Coast Guard provides resiliency to the MTS in the event of a GPS disruption.
- 21. <u>COMMON ASSESSMENT AND REPORTING TOOL (CART)</u>. Area and/or District Commanders can adjust the CART annual review and validation date based on operational needs. The need for accurate and up-to-date CART data, including reassigning EEI categories, must be weighed against the time needed to manually reenter the data.
- 22. <u>ESSENTIAL ELEMENTS OF INFORMATION (EEI)</u>. EEIs facilitate the collection and dissemination of consistent information regarding the status of the MTS following a

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significant disruption. Enclosure (1) of this Instruction provides detailed information on updating EEIs in CART.

23. <u>PROTECTION OF SENSITIVE BUT UNCLASSIFIED (SBU) INFORMATION</u>. Coast Guard personnel must be cognizant of the possible need to share MTS recovery data that may be SBU Information with port partners, including the protection of trade secrets or proprietary data. All reports identified in Section 27 of this Instruction must be reviewed for SBU Information prior to release to ensure SBU Information, trade secrets, or proprietary information is not shared with inappropriate persons or entities. Release of information from CART must be per Enclosure (1) of this Instruction. The chain of command must be consulted when clarification is needed before releasing information.

24. MTS RECOVERY UNIT LEADER (MTSL) CERTIFICATION.

- a. <u>Type 3</u>. Reference (g) authorizes Commanding Officers (O-4 and above), the first O-6 in the chain of command, or Commandant (CG-CPE) to certify individuals for Type 3 MTSL to build Sector-specific Incident Management Teams (IMTs). Coast Guard Sectors must be able to support an incident response to a Type 3 incident for a minimum of 48 hours with no additional help in accordance with Reference (g). Units needing MTSL3 training can contact their District or Area MTS Recovery POC for support.
- b. <u>Type 1/2</u>. Commandant (CG-CPE) oversees Type 1 and Type 2 MTSL certification. Personnel interested in attaining these qualifications should contact Commandant (CG-CPE) for qualification requirements and the application process. Commandant (CG-FAC) and Coast Guard Areas (LANT-55/PAC-54) can provide MTSL1 or MTSL2 Letters of Recommendation for certification. Commandant (CG-FAC) can provide subject matter expertise/guidance for advance MTSL training.

25. TRAINING/EXERCISES.

a. MTSRU and CART.

- (1) CART training and use of CART during exercises designed to test the MTSRP contributes to the successful execution of MTS Recovery tasks. Maintaining CART proficiency is critical in supporting post incident short-term recovery of the MTS. Pre-established, port-specific scenarios can be used for CART training at the local level. These scenarios can be found in the MTSRU CGPortal Community at <u>http://cglink.uscg.mil/5085edd</u>. Commandant (CG-FAC) should be contacted to gain access to the MTSRU CGPortal Community.
- (2) The MTSRU CGPortal Community also contains the approved MTSRU and CART training curriculum and presentation materials. This curriculum must be used when conducting MTSRU training.
- (3) MTSRU and CART training should be given by competent instructors who have previously completed MTSRU and CART training, and are certified as a Type 3 MTSRU Leader (MTSL3). Trainers may come from a pool of Coast Guard civilians

assigned as a Security Specialist (Port/Recovery) or Security Specialist (Port). Coast Guard personnel assigned to Waterways Management may also provide training as applicable. The COTP is responsible to ensure adequate personnel are trained in CART and MTSRU at the MTSL3 level to fulfill the COTP's MTS Recovery duties. Area/District staffs are highly encouraged to sponsor MSTL3 training within their AOR to facilitate collaborative training and discussions unique to its regions.

b. MTSRP.

- (1) Commandant (CG-FAC) developed a Team Discussion on MTS Recovery via CGPortal at <u>http://cglink.uscg.mil/5085edd</u>. This portal page is used to store reports from exercises and real world events containing pertinent MTS Recovery information. Units are encouraged to post MTS Recovery related information that could be of benefit to the community. Commandant (CG-FAC) will monitor the discussion page for relevant content.
- (2) Exercises will be aligned and compliant with the DHS Homeland Security Exercise and Evaluation Program (HSEEP) in accordance with the Contingency Preparedness Planning Manual, Volume 3. See Reference (d) Enclosure (2) for detailed information concerning exercise requirements.
- (3) After action reports and lessons learned from MTS Recovery exercises must be captured in the Contingency Planning System (CPS) in accordance with Reference (h). Lessons learned taken from field exercises aids Commandant (CG-FAC) to identify policy gaps and areas requiring additional focus. Field units must use the Marine Transportation System Disruption contingency within CPS for MTS Recovery exercises. In addition, field units should include "MTS Recovery" in the CPS exercise title to aid identification of MTS Recovery exercises.
- 26. <u>MTS RECOVERY GO KITS</u>. Reference (d) identifies equipment that should be included in a MTS Recovery Go-kit used to support MTS recovery operations. Coast Guard Sectors needing resources to upgrade and/or maintain the kits should submit a resource request via e-mail to Commandant (CG-FAC) (<u>CGHQMTSR@uscg.mil</u>) through their chain of command.

27. FORMS/REPORTS.

- a. <u>Executive Summary Reports</u>. The status of the MTS should be verified at least daily during a disruption via CART. CART Executive Summary reports will be used to support incident reporting requirements based on an established time period or battle rhythm. Ensure all Executive Summary Reports are provided to the Documentation Unit when UC/IC is stood up daily or at a prescribed timeframe.
- b. <u>Long-Term Restoration Reporting</u>. Before demobilizing, the MTSRU Leader must ensure a demobilization report is generated per Reference (d). The demobilization report should include a list of long-term restoration items that will be managed under the constructs established in Reference (c). The demobilization report must be submitted to Commandant (CG-FAC) (<u>CGHQMTSR@uscg.mil</u>) via the chain-of-command.

- c. <u>After Action Reporting</u>. Before demobilizing, the MTSRU Leader must ensure that After Action Report (AAR) requirements in Reference (h) are met either by providing information to the incident Lessons Learned Collection Manager or by submitting an AAR in CPS for a MTS Recovery specific incident.
- 28. <u>REQUEST FOR CHANGES</u>. All requests for changes and questions regarding implementation of this Instruction should be directed to the Marine Transportation System Resilience and Recovery Branch within the Domestic Ports Division, (CG-FAC-1), at <u>CGHQMTSR@uscg.mil</u>.

J. P. NADEAU /s/ Rear Admiral, U.S. Coast Guard Assistant Commandant for Prevention Policy

Encl: (1) Use of The Common Assessment and Reporting Tool (CART)

USE OF THE COMMON ASSESSMENT AND REPORTING TOOL (CART)

- 1. <u>BACKGROUND</u>. Recovery of the MTS and resumption of commerce following a MTS disruption are of vital importance to the lives of the citizens in the affected area (and beyond), and to the overall economic security of our nation. CART was initially developed at the Area level to support post-incident stabilization and short-term recovery of the MTS and to standardize reporting requirements. CART has proven to be a valuable tool for managing incidents at the local level and reporting information to senior leadership. CART can:
 - a. Provide timely and accurate pre-incident information,
 - b. Facilitate the comparison of pre-incident data and post-incident data to characterize the extent of the impact on the MTS,
 - c. Generate MTS Executive Summary Reports (MTS-209s) that can be shared with local, regional, and national level MTS stakeholders,
 - d. Document MTS recovery status in near real-time, and
 - e. Assist senior leaders to develop courses of action to facilitate the relief/recovery effort.
- 2. <u>AUTHORIZED USERS</u>. CART access is limited to the following users:
 - a. Members of the Coast Guard, Coast Guard Reserve, or Coast Guard Auxiliary,
 - b. Employees of the Department of Homeland Security (DHS), or any agency thereof,
 - c. Employees of another Federal, State, Local, Territorial, or Tribal government department or agency that has MTS recovery responsibilities, and
 - d. Have a Coast Guard sponsor if the user is a Federal, State, Local, Territorial, or Tribal partner.
- 3. <u>SYSTEM ACCESS</u>. CART can be accessed at: <u>https://cgcart.uscg.mil</u>.
 - a. New users can request an account via the link on the login page. Users with a CGOne account will initially be granted Read Only access. Users requiring a higher level of access (users or administrators) should contact their Sector/Unit CART Administrator or Commandant (CG-FAC) (<u>CGHQMTSR@uscg.mil</u>).
 - b. Other Government Agency (OGA) users requiring CART access must submit a signed non-disclosure agreement to their Coast Guard sponsor and their accounts must be limited to Read Only access. The Coast Guard sponsor can submit a waiver request to Commandant (CG-FAC) (<u>CGHQMTSR@uscg.mil</u>) via e-mail through the chain of command for OGA users to have Edit permissions.

The non-disclosure agreement memo can be found in the MTS Recovery Unit (MTSRU) Community on <u>CGPortal</u> at <u>http://cglink.uscg.mil/5085edd</u>.

- c. Non-government stakeholders will not normally be granted CART access. However, units may still provide private sector stakeholders with MTSRU products, including the MTS Executive Summary Reports generated from by CART. Coast Guard sponsors can submit a waiver request to Commandant (CG-FAC) (CGHQMTSR@uscg.mil) via their chain of command for consideration.
- d. Users must log into CART accounts at least once every 35 day period to prevent accounts from being locked. Additionally, three failed log-on attempts will result in an account being locked. Users with a locked account should contact their Sector/Unit Administrator or Coast Guard Operations Systems Center (OSC) by submitting a CGFIXIT request to unlock the account. Users should use the "Forgot Password" feature to reset passwords after two failed log-on attempts to eliminate the possibility of account lock-out.
- e. Commands are responsible for actively managing access to CART and should promptly deactivate CART user accounts for individuals no longer requiring system access. Units are encouraged to add CART user account access and deactivation to their check-in/out processes. Area and District Administrators are authorized to delete accounts of users who have not accessed CART within a 12 month period. Sectors without personnel having Administrator privileges can submit the names of accounts requiring removal to the District Administrator.
- 4. <u>SYSTEM USE</u>. The ability of CART to communicate MTS recovery information at all levels of the Coast Guard organization minimizes administrative burdens on field commanders and allows various organizational elements in the chain of command to share information with internal and external stakeholders.
 - a. Units must use CART to report and document MTS status following a transportation disruption significantly affecting the MTS. Operational Commanders are encouraged to use CART for other minor events, particularly when COTP intervention is required. To minimize multiple entries for a regional event, District staff or Incident Management Team must create a CART event for subordinates units. Each affected unit can populate CART including updating report summaries, port statuses, and Essential Elements of Information (EEI) statuses as required.
 - b. CART may be used to monitor non-maritime related events that could have a MTS impact such as labor disputes, land transportation disruptions, or health epidemics. These types of incidents may not require any action from the Coast Guard and should be used for informational purposes only. Use of CART during these activities should be limited to ensure compliance with this Instruction.
 - c. Refer to References (f), (i), and (j) when creating and populating CART events. Area Commanders will guide the level of detail that field commanders should include in

event files, and will consult with Commandant (CG-FAC) concerning national-level information needs.

- d. Sector/District Administrators must review all active events on a quarterly basis, at a minimum, and close completed events. Areas and Headquarters staff will inquire about events active longer than 180 days to determine whether the event should remain active.
- e. Units should use alternate documentation, such as the MTS Executive Summary Template, and reporting methods to satisfy requirements outlined in Reference (d) should the CART database be unavailable. Applicable EEIs and relevant CART data should be made available via hard copy as a backup.
- 5. <u>ESSENTIAL ELEMENTS OF INFORMATION (EEI)</u>. Accurate baseline EEI data comprises the foundation for useful MTS recovery status reporting in the Executive Summary Reports and geospatial displays.
 - a. Each Sector and/or MSU must maintain EEI data within CART for their respective AORs. Units must review EEI baseline data for validity at least annually and no later than 31 May.
 - b. Each EEI has data integrity standards that provide uniformity to report current status and potential consequences from the event. Units should use the provided templates to capture the necessary information. The overall intent of the data integrity standards is to ensure consistent, Coast Guard wide use of CART for data capturing and reporting. Units should use the provided templates in References (f), (i), and (j) to capture the necessary information.
 - c. The use of photographs is an available option when populating baseline information in CART, but is not required. CART will not prompt users of available imagery.
 - d. EEIs identified within an event as "Partially Available" or "Not Available" must have a comment explaining the change in status. The comments can be brief or in bullet form as long as clear justification for the status change.
 - e. Following a MTS disruption, the Incident Commander will determine if all EEIs in the baseline will be entered in the event activity or only the impacted EEIs will be entered. If only impacted EEIs are entered, this should be noted in the Event Summary.
 - f. The MTS Executive Summary in CART provides a brief overview of the event and MTS impacts. The CART Executive Summary should only be used for MTS status and MTS recovery issues, not the entire incident (SAR figures, oil clean-up). Users must review the summary to ensure the information mirrors the expectations in the data integrity standards in References (d) and (f). The CART Executive Summary reports should be reviewed in the same manner expected for senior-level briefs.

- g. For events longer than seven days or events that impact multiple Sectors or MSUs, MTS Recovery Unit Leaders must ensure relevant, updated information is populated into CART on a daily basis. This will require the MTS Recovery Unit to develop a standard procedure or business rule to archive past information daily prior to deleting the outdated information. The archived information must be part of the Documentation Unit Leader's incident archive. These actions will ensure only accurate and timely information will be presented in the Executive Summary.
- h. Users must refrain from entering monetary figures, damage cost estimates, and/or primary/secondary economic impact data into CART. These figures may be easily misconstrued resulting in erroneous information passed to senior leaders. Economic impacts may be expressed in terms of what has been impacted with regards to the MTS (e.g. Identified number of facilities that are operating at reduced capacity, charter fishing operations that have been shut down for a number of week(s), number of inbound/outbound vessels have been delayed). The owner/operator of the impacted infrastructure is the preferred point of contact for damage cost estimates or potential loss revenue.
- i. Districts, in coordination with Area Program Managers, will identify Coast Guard units requiring designation as an EEI. The appropriate District Program Manager will create EEIs specific to these Coast Guard units, conduct the annual validation, and update these EEIs during an event in CART. Information in the EEI must not contain confidential or classified information. If necessary, comments in the EEI can provide a Point of Contact within a particular office or unit for further information.

6. INFORMATION SECURITY.

- a. CART is an unclassified, U.S. government information system that is for U.S. government authorized use only.
- b. Users must not post Sensitive Security Information (SSI), Protected Critical Infrastructure Information (PCII), For Official Use Only (FOUO), Sensitive but Unclassified (SBU) information, or Personally Identifiable Information (PII), with the exception of EEI point of contact information. Information of this nature that is critical to convey the MTS status should be transmitted via other approved means.
- c. A Breach of Security or Transportation Security Incident (TSI), whether physical or cyber related, may cause a transportation disruption that significantly impacts the MTS and requires documentation in CART. CART users should understand the sensitivity of these incidents to organizations when documenting information in CART. Any questions on the CART entry should be reviewed by a higher authority prior to release outside of the Coast Guard network.

- d. The MTS Executive Summary report can be provided to pre-identified non-government stakeholders (port partners). The MTS Executive Summary is not intended as a news source for the general public and should not be publicly distributed. Distribution of internal CART baseline (EEI) data outside the Coast Guard is generally prohibited.
- e. CART geospatial display data is only available when connected to the Coast Guard Data Network. The Coast Guard Enterprise Geographic Information System (CG-EGIS) is the recommended method to display CART geospatial data. The data may be exported to external mapping software that is hosted on stand-alone computers with no internet connectivity or secure systems such as the DHS Homeland Security Information Network (HSIN). Displaying CART data on internet-connected public mapping software (e.g. Google Earth) is prohibited.
- f. Commandant (CG-FAC) will coordinate with other Headquarters offices to review and consider approval of requests for CART data feeds into other government common operational pictures and/or databases. Units must submit requests for CART data feeds to Commandant (CG-FAC) (CGHQMTSR@uscg.mil) via their chain of command.
- 7. <u>FIELD USE OF COMMANDANT (CG-FAC) ISSUED NON-STANDARD LAPTOP</u> <u>COMPUTERS</u>. Field input and lessons learned from previous incidents identified the use of stand-alone laptop computers as an essential device for effective and efficient MTS recovery operations. Commandant (CG-FAC) purchased stand-alone laptop computers as part of MTS "Go-Kits" in support of port assessments, CART data entries, and recovery operations. The following terms and conditions apply for use of the computers:
 - a. The laptops must **NEVER** be connected to the CGOne Network or SIPR Network (wireless or cable connections). Installation and use of the Virtual Desktop Infrastructure (VDI) Remote Access software, Common Access Card (CAC) reader software and Outlook Web App (OWA) services is authorized.
 - b. The laptop must be connected to a commercial internet service at least semi-annually to obtain computer software patching and updates.
 - c. Each unit will be responsible for maintaining the laptop hardware and software. No Coast Guard C4IT entity will be required to provide support. This includes installation of computer software to read and/or edit documents (e.g. Adobe Reader, Office Document Viewer) and anti-virus software. A job aid listing options for acquiring and uploading computer software can be found at the MTS Recovery Unit Community on the CGPortal at http://cglink.uscg.mil/5085edd. Units requiring funds may submit a request via e-mail to Commandant (CG-FAC) (CGHQMTSR@uscg.mil) via their chain of command, for consideration.
 - d. If any non-internet releasable information is saved on the laptops, use of a BitLocker or an equivalent full disk encryption program to protect sensitive data is required.

e. CG-FAC issued non-standard laptop computers are "off-network systems" and do not use the WIN10 operating system. These laptops were provided a waiver for continued use through December 31, 2020. CG-FAC is looking into comparable replacement resources prior to the deadline. Resource recommendations are welcomed and can be e-mailed to <u>CGHQMTSR@uscg.mil</u>. When sending an e-mail please use the subject line "CG-FAC Laptop Resource Recommendation – 31 DEC 2020."

8. CART SYSTEM UPDATES.

- a. The CART database is sponsored by Commandant (CG-FAC) and is hosted on servers at Operations Systems Center (OSC) in Martinsburg, WV. Commandants (CG-633) and (CG-761) and OSC support maintenance and improvement of CART performance and capability.
- b. Users identifying a problem with the CART program should submit a trouble ticket to OSC using the CGFIXIT process. If necessary, Commandant (CG-FAC) will notify CART users of long-term CART problems to include any temporary measures.
- c. Users are encouraged to provide feedback on CART performance, features, and desired system enhancements. Users should contact Commandant (CG-FAC) (<u>CGHQMTSR@uscg.mil</u>) via their chain of command, for suggested enhancements.