

California Emergency Support Function 1

Transportation

Annex to the California
State Emergency Plan

Lead Agency:

**California State
Transportation
Agency**



**Transportation
CA-ESF 1**

February 2021

Record of Changes

The most current copy of this document, including any changed pages, is available through the Cal OES website at <https://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/state-of-california-emergency-plan-emergency-support-functions>.

Change #	Date	Summary of Changes
1	5/13/2021	<ul style="list-style-type: none"> • Notes that in California, pipelines are part of CA-ESF 12 and not CA-ESF 1. • Notes that the California Highway Patrol (CHP) is a supporting department under CA-ESF 1. • Moved operational duties from CalSTA to Caltrans. • Copied a policy and guidance statement from Caltrans to CalSTA. • Added additional supporting stakeholders. • Made minor corrections for spelling and grammar usage.

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Emergency Support Function Agencies/ Departments

Lead Agency

California State Transportation Agency

Primary Department

California Department of Transportation

Supporting Agencies/Departments

California Coastal Commission (Coastal Commission)

California Conservation Corps (CCC)

California State Parks, Division of Boating and Waterways (DBW)

California Department Fish and Wildlife (CDFW)

California Department of Motor Vehicles (DMV)

California Department of Water Resources (DWR)

California Emergency Medical Services Authority (EMSA)

California Energy Commission (CEC)

California Highway Patrol (CHP)

California Labor and Workforce Development Agency (LWDA)

California Military Department (Cal Guard)

California Natural Resource Agency (Resources)

California Public Utilities Commission (CPUC)

California State Lands Commission (SLC)

California Transportation Commission (CTC)

Governor's Office of Emergency Services (Cal OES)

California Business, Consumer Services and Housing Agency (BCSH)

U.S Coast Guard (Los Angeles/Long Beach, San Diego, and San Francisco sectors) (UCSG)

U.S Department of Transportation (USDOT), including:

- Federal Aviation Administration
- Federal Highway Administration
- Federal Railroad Administration
- Federal Transit Administration
- Maritime Administration

Introduction

During non-emergency transportation operations, the responsibility and authorities of the transportation system resides within a mix of local, state, and federal agencies within the state of California. Transportation operations during an emergency response include the coordination between the local governments that need assistance and state and federal resources that can be activated. Local transportation policies and plans are used to manage transportation systems and prioritize the movement of relief of personnel and supplies during emergencies within a multimodal¹ transportation system. The state-level activities support local response and coordinate federal partners to facilitate a robust and recovery capability.

Purpose

The purpose of the California Emergency Support Function #1 - Transportation (CA-ESF1) Annex is to describe the state-level coordination elements that assist and support multimodal emergency transportation operations (multimodal refers to the availability of multiple transportation options, especially within a system or corridor) necessary to maintain the safety and security of the California Transportation System and related infrastructure. The modes of transportation used within this annex include state surface roads, maritime, railroad, transit and aviation. While the CA-ESFs closely resemble the federal Emergency Support Functions (ESFs) outlined in the National Response Framework (NRF), there are subtle differences based on how California adjusted the ESFs by adding, deleting and merging a few to better meet the needs of the state. This document focuses primarily on the CA-ESFs but makes the distinction when it refers to the federal ESFs.

This document is also intended to assist federal, state, regional and local transportation partners when they come together as stakeholders to form an alliance or Work Group. These discipline-specific stakeholders possess common interests and share a level of responsibility to contribute to multimodal transportation support and services within California.

Scope

According to the State of California Emergency Plan (SEP), CA-ESF 1, “assists in the management of transportation systems and infrastructure during domestic

threats or in response to incidents." CA-ESF 1 also provides recommendations and subject matter expertise to the Governor's Office of Emergency Services (CAL OES) associated with CA-ESF 1 preparedness, mitigation, response, and recovery strategies.

Interactions with Other Emergency Support Functions

The CA-ESF 1 stakeholders collaborate with several other emergency support functions that request transportation assistance and expertise. Additionally, CA-ESF 1 stakeholders may need to request support and information sharing from other emergency support functions in order to obtain specific information from an emergency support function subject matter expert(s). Exhibit 1-1 illustrates the significant interactions with other emergency support functions.

Exhibit 1-1: Emergency Support Function (ESF) Interaction

CA-ESF Name	ESF Interaction
CA-ESF 2 – Communications	Coordinate communication hardware and systems with transportation communications hardware and systems
CA-ESF 3 – Construction and Engineering	Coordinate the removal of debris and the assessment of structural and damage assessments of the transportation and transportation infrastructure
CA-ESF 8 – Public Health and Medical	Coordinate the transportation of the Strategic National Stockpile if utilized
CA-ESF 10 – Hazardous Materials and Oil	<ul style="list-style-type: none"> • Support the clearance of roadways and other transportation system elements to facilitate the hazardous materials response • Coordinate with the U.S. Coast Guard for emergencies that occur within its jurisdiction and have a maritime component
CA-ESF 12 – Utilities	Coordinate and support the restoration of the utility's infrastructure and emergency fuel and related pipelines. Note that in California pipelines are part of CA-ESF 12.

Exhibit 1-1: Emergency Support Function (ESF) Interaction, continued

CA-ESF Name	ESF Interaction
CA-ESF 13 – Law Enforcement	<ul style="list-style-type: none"> • Coordinate with the Law Enforcement Operations Center (LEOC) in the State Operations Center • Provide current status of transportation resources for emergency response efforts • Request security for transportation resources (if the emergency has a security concern) • Coordinate emergency evacuation route planning • Support evacuation efforts of law enforcement and CA-ESF 13
CA-ESF 14 – Recovery	Provide status of the transportation system and estimates for recovery (timelines, resource support)
CA-ESF 15 – Public Information	<ul style="list-style-type: none"> • Provide timely information to the Joint Information Center (JIC) on the status of roadways, the transportation system damage/status, and transportation response efforts • Coordinate mapping between the SOC Geographic Information System (GIS) team and the California Department of Transportation (Caltrans) operations center to provide current maps to the JIC

Authorities and References

The stakeholder authorities and references list the documents that provide the agreements for the stakeholder to participate in the emergency support function and the documents that influenced the CA-ESF 1 planning effort.

Authorities

The stakeholders of CA-ESF 1 may have statutory authorities governing their activities and participation in CA-ESF 1. The authorities listed in this annex provide an overview of the administrative orders, codes, statutes, ordinances, executive orders, regulations, and formal agreements relevant to the CA-ESF 1

stakeholders. A complete list of authorities is contained in Attachment A of this annex. The primary agencies' authorities include:

- CAL OES Administrative Order for Transportation
- Executive Order S-04-06
- Administrative Order Department of Transportation Executive Order No. W-9-91 initially issued May 29, 1991, and as updated.

References

The references are the documents and other publications utilized for the creation, update, and maintenance of CA-ESF 1. Documents include those issued by Cal OES, members of CA-ESF 1, public stakeholders, and private stakeholders that have planned for coordination and cooperation within CA-ESF 1. A detailed list of references is in Attachment A – Authorities and References.

SECTION 2
Organization and Assignment of Responsibilities

Organization

The State Agency administrative lead for CA-ESF 1 is the California State Transportation Agency (CalSTA). The State Department operations lead for CA-ESF 1 is the California Department of Transportation (Caltrans). The multimodal collaborative of CA-ESF 1 partners is known as the CA-ESF 1 Work Group. The CalSTA Secretary, or the Caltrans Director, may activate the CA-ESF 1 Work Group at any time as the needs of the incident or event warrant. Additionally, CalSTA or Caltrans activate as many or as few elements of the work group as necessary to meet incident needs. Cal OES may also activate the CA-ESF 1 Work Group. When Cal OES activates the work group, they may use other terms, such as Task Force, to describe the same multimodal transportation collaborative.

Transportation Modes

Caltrans operates 12 Transportation Management Centers (TMCs) that are typically staffed 24 hours a day and are used to verify reported emergencies and to dispatch appropriate response. Some of the TMCs are co-located with the California Highway Patrol (CHP) communications/dispatch centers and utilize the CHP Computer Aided Dispatch to assist with coordination. The TMCs are also used to coordinate with County Communications Dispatch Centers. As an emergency response requires additional transportation resources, the TMCs work with their neighboring TMCs and local Emergency Operations Centers (EOCs) to ensure continued operations and coordinate to manage large-scale and regional emergencies.

When considering the other modes of transportation and CA-ESF 1 stakeholders, most of the stakeholders are frequently involved in response under their agency's assigned response authorities. Due to the breadth and complexity among the CA-ESF 1 stakeholders, state-level awareness and collaboration is critical, but sometimes stove-piped during emergencies.

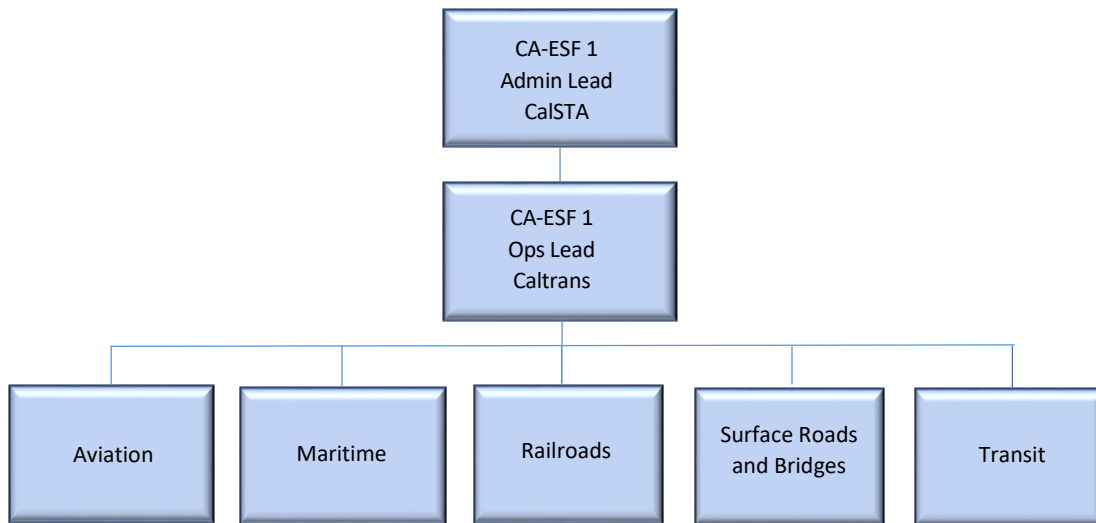
In order to enhance collaboration between the various modes of transportation, CA-ESF 1 is organized by core functions that give the CA-ESF 1 stakeholders a way of arranging key activities/capabilities that can be understood by other stakeholders and other emergency support functions. Core functions are not

exclusive to any single stakeholder within CA-ESF 1, but rather require the combined efforts of the entire community of stakeholders. Within each mode and core function, the capabilities (also described as categories of service and support) are used to group together the activities that are critical to the performance of the core function. The activities describe the elements of work that are completed in order to achieve the service or support capability. Resources, standards, and conditions will be connected to each activity. During response planning and operations, the core functions give the CA-ESF 1 stakeholders a way of organizing key collaboration topics at the various levels of an emergency response (local, Operational Area (OA), regional, state, and federal). The CA-ESF 1 core functions table is in Attachment C. The CA-ESF 1 core functions are:

- Aviation
- Maritime
- Railroad
- Surface Roads and Bridges
- Transit

Diagram 2-1 illustrates the CA-ESF 1 Organization.

Diagram 2-1: CA-ESF 1 Organization



Regional Emergency Operations Center (REOC) Support Structure

Regional Emergency Operations Centers (REOCs), when activated, are responsible for ensuring that coordination and information management is in

place for providing support to local governments during an emergency. Generally, a REOC is staffed with the Cal OES Regional Administrator and Duty Officer. As the emergency expands, the REOC may add operational functions as needed. In the applicable area, the REOC may use the Metropolitan Transportation Commission (MTC) to provide coordination and support to the REOC.

The REOC locates and mobilizes resources available within the region and from state agencies. Agencies may be requested to send agency representatives to assist in coordinating their agency's support. For CA-ESF 1, CHP, Caltrans, or other transportation partners may be asked to sit in the REOC to help coordinate transportation information. Additionally, the REOC may coordinate with the closest TMC.

State Operations Center (SOC) Response Support Structure

The State Operations Center (SOC) is responsible for coordinating resource requests and resolving priority issues that might arise at the regional level and between the three Cal OES Administrative Regions. The SOC is also responsible for coordinating with Federal Emergency Management Agency (FEMA) and other federal agencies involved in the implementation of the National Response Framework (NRF), and National Disaster Recovery Framework, in California. Caltrans has a seat in the SOC to help coordinate CA-ESF 1 information and mission tasks, while CHP has a seat in the Law Enforcement Operations Center to help coordinate CA-ESF 13 (Law Enforcement) information and mission tasks.

Federal Support Structure

The federal government organizes its resources and capabilities within 15 Emergency Support Functions (Fed-ESFs), as described in the NRF. When the federal government deploys a Fed-ESF to assist in an emergency, it provides the greatest possible access to federal department and agency resources. Fed-ESF coordinators and primary agencies are identified based on authorities and resources. Support agencies are assigned based on the availability of resources in each functional area. Each Fed-ESF aligns categories of resources and provides strategic objectives for their use. CA-ESF 1 is supported by several federal entities, including, but not limited to:

- U.S. Department of Transportation (USDOT) is the designated federal point of contact for Fed-ESF 1 Transportation. It aids Caltrans and local

governments with damage support on roads, bridges and other facilities on the federal aid system. USDOT leverages the support of the transportation administrations under them including:

- Federal Aviation Administration (FAA)
- Federal Highway Administration (FHWA)
- Federal Railroad Administration (FRA)
- Federal Transit Administration (FTA)
- Maritime Administration (MARAD)

- National Highway Traffic Safety Administration (NHTSA)
- National Transportation Safety Board (NTSB)
- U.S. Department of Agriculture, U.S. Forest Service (USFS)
- U.S. Department of Commerce, National Oceanic and Atmospheric Administration (NOAA)
- U.S. Department of Defense (DoD)
- U.S. Department of Homeland Security (DHS)
- U.S. Department of Justice (DOJ)
- U.S. Department of State (DoS)
- U.S. Department of the Interior (DOI)
- General Services Administration (GSA)
- U.S. Postal Service (USPS)

California Emergency Support Function (CA-ESF) Governance Structure

CA-ESF 1 is coordinated by a Work Group that consists of 8-10 members, and possibly more depending on the scope of the emergency. The CA-ESF 1 Work Group is administratively led by CalSTA and operationally led by Caltrans and has the following responsibilities within the CA-ESF 1 coordination structure:

- Coordinating among CA-ESF 1 stakeholders for the implementation of transportation response and coordination
- Providing support for the development and ongoing maintenance of CA-ESF 1
- Overseeing the functioning of CA-ESF 1
- Continuing development and maintenance of CA-ESF 1
- Reviewing, arbitrating, and making final recommendations regarding unresolved issues on guidance, training, and compliance

Administrative Orders (AOs)

The Administrative Orders (AOs) for all state agencies expand upon the emergency preparedness, response, recovery and mitigation functions of state government entities. The AOs provide for the assignment of functions to state agencies to be performed before, during, and after an emergency for the coordination and direction of the emergency operations, and guides Cal OES in coordinating priority tasks and programs that the state entity will perform with respect to emergency preparedness, response, recovery, and mitigation.

Decision-Making Process

The CA-ESF 1 Work Group uses a decision-making process that involves all the stakeholders and modal partners within CA-ESF 1. To the extent possible, decisions regarding the development, implementation and maintenance of CA-ESF 1 will be made through consensus. A consensus approach encourages stakeholder participation in shaping a decision that all group members can accept. Reaching consensus does not necessarily imply that the agreed-upon decision is every group member's first choice, but it represents the best decision that all members can support in order to advance the group's goals.

It is expected that the CA-ESF 1 Work Group will seek consensus on decisions pertaining to the development, implementation and maintenance of CA-ESF 1. However, consensus may not always be achievable. If a decision, including recommendations, cannot be made on a consensus basis, then the decision of the majority will go forward to the next level accompanied by a report detailing the issues and concerns of the dissenting participant(s).

Meeting Frequency and Protocols

The CA-ESF 1 Work Group will meet regularly to discuss transportation topics, policies, and procedures. As the joint lead departments for CA-ESF 1, CalSTA and Caltrans will coordinate the development and maintenance of CA-ESF 1, review and approve work products, and establish priorities for CA-ESF 1.

Lead Agency/Department

In the State Emergency Plan (SEP), CalSTA is named as the Lead Administrative Agency for the development, implementation, and maintenance of CA-ESF 1. Some of this responsibility may be delegated to Caltrans for actual operations, as appropriate. Caltrans has ongoing operational responsibilities throughout

preparedness, mitigation, response, and recovery and provides the leadership, ongoing communication, coordination, and oversight for CA-ESF 1.

Emergency Support Function (CA-ESF) Operations Coordinator

The CA-ESF 1 Coordinator is designated by CalSTA and may be someone from CalSTA or Caltrans. The CA-ESF 1 Coordinator facilitates the synchronization and harmonization of activities among the transportation stakeholders.

During an emergency response, the CA-ESF 1 Coordinator serves as the conduit of information between the core functions of the Work Group and the SOC. The CA-ESF 1 Coordinator provides information related to the capabilities and activities of the CA-ESF 1 stakeholders that are located throughout the state to the CalSTA Agency Representative. The CA-ESF 1 Operations Coordinator typically sits at Caltrans but can relocate to a more appropriate location as needs warrant.

Exhibit 2-2: CA-ESF 1 Coordinator Responsibilities

Coordinator Responsibilities
<p><u>Preparedness and Mitigation</u></p> <ul style="list-style-type: none">• Identify subject matter experts within the CA-ESF 1 transportation community and ensure agency representatives participate in state level catastrophic planning efforts• Support the preparedness and mitigation efforts among transportation infrastructure stakeholders at the state and local levels• Update and maintain the CA-ESF 1 contact list for all CA-ESF 1 stakeholders• Coordinate the collection of transportation after action report (AAR) information and incorporate into the annex• Coordinate with the Fed-ESF 1 point-of-contact (POC), namely USDOT, before directly contacting FEMA Region IX on information sharing, communication, and response topics
<p><u>Response</u></p> <ul style="list-style-type: none">• Process and coordinate requests for transportation support in support of the SEP• Coordinate transportation activities to supplement the efforts of state agencies and local jurisdictions and volunteer organizations requiring assistance in performance of their emergency response and recovery

Coordinator Responsibilities

Response, continued

missions

- Establish the priority and/or allocation of transportation resources. This includes:
 - Collecting the damage assessment information from CA-ESF 1 stakeholders and Core Function Leads
 - Determining usable portions of surface, aviation, maritime, railroad, and transit modes of transportation
 - Determining an estimated time to repair each mode
- Coordinate with state agencies, local jurisdictions, and neighboring states
- Coordinate the flow of all modes of transportation traffic in and to the emergency area for the effective movement of relief and/or recovery supplies, personnel and equipment. This includes the coordination and control of emergency highway traffic regulation in conjunction with the CHP, USDOT, and the Federal Highway Administration (FHWA)
- Coordinate with commercial transportation providers concerning significant interruptions of service
- In coordination with CA-ESF 7 – Resources, coordinate with general contractors, construction, commodity movement, warehousing, and equipment rental companies for transportation related resources and services
- Stand up the California Air Coordination Group (ACG) and/or an air coordination center, when appropriate, to gain better awareness of aviation mission tasking and airspace planning. Caltrans Division of Aeronautics is the state lead for air coordination, but engages with federal, state and local aviation partners in a collaborative manner at a scale appropriate for the incident.
- Coordinate aerial reconnaissance and photographic missions, as requested, through the ACG, provided resources are available
- Coordinate the transportation-related public information and mapping support to the Governor’s Office, the Cal OES JIC, and the GIS Unit in the SOC

Coordinator Responsibilities

Response, continued

- Establish collaboration with stakeholders, Core Function Leads, or other CA-ESF Task Force members as necessary
- Provide contact information for CA-ESF 1 stakeholders to state and federal partners through established incident procedures
- Provide technical and subject matter expertise for CA-ESF 1
- Notify CA-ESF stakeholders and activate and/or report to the CalSTA DOC
- Participate (or coordinate with Agency Representative) in action planning, and section and task force meetings, as may be scheduled during the operational period
- Establish emergency information (situation briefing, previous status reports, etc.) and update stakeholders
- Establish the parameters for the situation status information with the Planning and Intelligence Section to ensure CA-ESF 1 information is included in the SOC Situation Status Report
- Actively coordinate with stakeholders at other locations on response activities, consistent messaging, and technical assistance
- Establish communication with USDOT (if activated)
- Act as a conduit of information from the CA-ESF stakeholders to the REOC/SOC on CA-ESF 1 stakeholders' intelligence and resource capabilities
- Prepare "options packages" that are comprised of CA-ESF 1 stakeholders' capabilities for the CalSTA Agency Representative and the Operations Section in the SOC on behalf of CA-ESF 1 when tasked
- Share information and status updates with all stakeholders
- Complete duty logs, CA-ESF documentation, and status report for each shift worked

Recovery

- Provide or coordinate the provision of transportation support to state agencies, local jurisdictions, tribal governments, volunteer organizations, and non-governmental organizations requiring assistance in the performance of their emergency response and recovery missions

Coordinator Responsibilities
<ul style="list-style-type: none"> • Coordinate the restoration and recovery of the transportation systems and infrastructure • Ensure transportation routes are re-established to meet the Americans with Disabilities Act (ADA) requirements (fixed route service should be accessible to people with functional needs, including individuals who use wheelchairs) • Ensure all transportation services meet the transportation needs of those with disabilities and others with access and functional needs following an emergency, per the USDOT requirements

Primary Agency/Departments

The CA-ESF 1 Primary Agency and Departments are state entities with significant authorities or subject matter expertise that have access to the resources and capabilities for a particular function within CA-ESF 1. CA-ESF 1 may have multiple departments listed in this section. The specific responsibilities of the Primary Agency and Departments directly related to CA-ESF 1 activities are shown in Exhibit 2-3.

Exhibit 2-3: Primary Agency and Department Responsibilities

Core Function	Responsibilities
All Transportation Modes	<p>CalSTA Specific Transportation Actions:</p> <ul style="list-style-type: none"> • Provide transportation policies and guidance as needed • Monitor and report status of and damage to the transportation system and infrastructure as a result of the emergency • Coordinate the restoration and recovery of the multimodal transportation systems and infrastructure • Coordinate and support preparedness, mitigation, response, and recovery activities among transportation stakeholders within the authorities and resource limitations of CA-ESF 1 Agencies/Departments

Core Function	Responsibilities
	<ul style="list-style-type: none"> • Ensure transportation activities as they relate to multimodal transportation, in support of response operations, are met • Coordinate with commercial transportation providers concerning significant interruptions of service • Maintain liaison with the USDOT on the status of the state highway system
All Transportation Modes	<p>Caltrans Specific Transportation Actions:</p> <ul style="list-style-type: none"> • Keep State Highway System transportation mode open • Support activities that keep aviation, railroad, transit and maritime systems open. • Help the CHP regulate highway traffic • Staff roadblocks as requested by CHP • Document the status of transportation routes into and within affected areas. CA-ESF 13 documents the status of evacuation routes but collaborates this information with CA-ESF 1. • Clear state highways and assist with debris movement – opening roads that are emergency routes falls under the activities of CA-ESF1, but transitions to recovery phase of emergency management and includes all transportation routes, not just emergency routes • Develop a transportation plan that identifies routes of ingress and egress; thus, facilitating the movement of personnel, equipment, and commodities, based on priorities from the Unified Coordination Group (UCG), exclusive of evacuation route planning.

Core Function	Responsibilities
	<ul style="list-style-type: none"> • Arrange for the acquisition or use of required transportation resources alongside CA-ESF 7 Resources. • Coordinate with TMCs, District EOCs, and CHP communications centers (some are co-located with TMCs) • During a war emergency, continue to manage the State Transportation Organization and the Heavy Construction Division, State Construction Organization • Provide assessments of transportation infrastructure and traffic conditions • Assess damage to highway system and implement route priorities objectives during recovery efforts, as established by the UCG • Operate as liaison with USDOT and the Federal Highway Administration regarding the status of the state highway system • Provide transportation policies and guidance as needed • Coordinate state agency plans, procedures and preparations for route recovery, traffic regulation, and air transportation • Support routing and directions for the movement of victims out of an impacted area and the delivery of necessary personnel and medical supplies to local medical facilities and shelters, in coordination with CA-ESF 8 • Prepare road information and displays • Help the CHP and local traffic agencies regulate and provide signage and staff for road closures

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Core Function	Responsibilities
Aviation Transportation Mode	<p>Caltrans Division of Aeronautics Actions:</p> <ul style="list-style-type: none"> • Lead and support the activities of the California Air Coordination Group, as tasked • Provide status reports on the condition of the State's aviation system, in coordination with industry partners • Report any Commercial Service or General Aviation airport closures • Provide status reports on the condition of air cargo volume changes or air cargo system needs
Maritime Transportation Mode	<p>Caltrans Freight Mobility Branch Actions:</p> <ul style="list-style-type: none"> • Provide status reports on the condition of the State's maritime ports, in coordination with Cal OES' maritime program and industry partners
Railroad Transportation Mode and Public Transit Transportation Mode	<p>Caltrans Division of Rail and Mass Transportation Actions:</p> <ul style="list-style-type: none"> • Ensure transportation activities as it relates to rail transportation, in support of response operations, are met • Coordinate railroad status and support through industry partners • Liaise with commercial rail transportation providers concerning significant interruptions of service • Monitor and report status of and damage to the rail transportation system and infrastructure as a result of the emergency • Arrange for the support or use of required rail transportation resources with industry partners • Report on the status of rail transportation routes into and within affected areas • Develop a rail transportation plan that identifies routes of ingress and egress; thus, facilitating the movement of personnel, equipment, and commodities with industry partners

Core Function	Responsibilities
	<ul style="list-style-type: none"> • Coordinate the restoration and recovery of the rail transportation systems and infrastructure with industry partners • Coordinate and support preparedness, mitigation, response, and recovery activities among rail transportation stakeholders within the authorities and resource limitations of CA-ESF 1 agencies/ departments and industry partners • Monitor and report status of and damage to the rail transportation system and infrastructure because of the emergency • Coordinate public transit status and support through the MPOs, RTPAs, and industry partners.

Supporting Agencies/Departments

CA-ESF 1 Supporting Agencies/Departments are those state entities with specific capabilities or resources that support the primary agencies/departments in executing the mission of CA-ESF 1. The specific responsibilities of Supporting Agencies/Departments may be articulated within the agencies' administrative orders, agency plans, documents, or Standard Operating Procedures (SOPs). However, a reference and location of those plans, documents, or SOPs will be cited in Attachment A. The specific responsibilities of the Supporting Agencies/Departments directly related to CA-ESF 1 activities are articulated in Exhibit 2-4.

Exhibit 2-4: Supporting Agency/Department Responsibilities

Core Function	Responsibilities
Surface Transportation	<p>Highway Patrol Specific Surface Transportation Actions:</p> <ul style="list-style-type: none"> • Act as the Director of the State Motor Transport Division during times of a war emergency • Perform tasks assigned in the California Emergency Resources Management Plans for Transportation during times of a war emergency

Core Function	Responsibilities
	<ul style="list-style-type: none"> • Continue emergency traffic regulation and control procedures as required • Perform evacuation route planning with Cal OES Law Enforcement • Assist Caltrans with traffic route restoration • Provide police escorts on closed routes • Activate appropriate CHP Division Emergency Operation Centers and the Emergency Notification and Tactical Alert Center (ENTAC) to coordinate resources and ensure the timely dissemination of intelligence information • Secure routes, regulates traffic flow, and enforce safety standards for evacuation and re-entry into evacuated areas • Coordinate interstate highway movement on regulated routes with adjoining states • Establish highway safety regulations consistent with location, type and extent of emergency conditions • Support Caltrans with traffic route re-establishment and continue emergency traffic regulation and control procedures as required <p>Note that the California Highway Patrol (CHP) is a supporting department to both CA-ESF 1 and CA-ESF 13</p>
Multiple Transportation Modes	<p>Military Department Specific Surface Transportation Actions:</p> <ul style="list-style-type: none"> • Provide transportation support as tasked by Cal OES • Assist with local law enforcement agency operations such as access control • Help clear debris and rubble from roadways, bridges, essential facilities, and critical infrastructure as resources permit • Help coordinate medical transportation (land, maritime and air) separate from, and in

Section 2 | Organization and Assignment of Responsibilities

Core Function	Responsibilities
	<p>coordination with, the Emergency Medical Services Authority</p> <ul style="list-style-type: none"> • Provide personnel to the California Air Coordination Group under CA-ESF 1, as mission tasked • Provide Air National Guard to assist with coordination of air space management plans and mission tracking with the FAA and USAF. • Provide Air National Guard to assist with aerial imagery processing, assessment, and distribution and related intelligence requests • Provide transportation personnel to the CA-ESF 1 Work Group, as mission tasked
Multiple Transportation	<p>Coastal Commission Actions:</p> <ul style="list-style-type: none"> • Provide use of aerial photographs, maps, and geographic knowledge of California's 1,100-mile coastal zone
Surface Transportation	<p>Conservation Corps Actions:</p> <ul style="list-style-type: none"> • Assist with damage assessment • Assist local law enforcement with transportation and movement • Provide personnel to support animal related emergencies and assists with facilitating transportation/movement • Provide personnel/crews, tools, and equipment to clear debris
Maritime Transportation	<p>Division of Boating and Waterways Actions:</p> <ul style="list-style-type: none"> • Maintain lists of public and private marinas for the state
Multiple Transportation Modes	<p>Department of General Services Actions:</p> <ul style="list-style-type: none"> • Provide engineering and technical assistance to Cal OES and CA-ESF 1 • Upon request, assess damage and prepare damage survey reports, estimate repair or replacement costs, review plans, inspect new

Section 2 | Organization and Assignment of Responsibilities

Core Function	Responsibilities
	<p>construction, and report on final inspection and completion</p>
	<ul style="list-style-type: none"> • Contact construction material manufacturers, wholesalers, and general contractors having construction-related equipment available for emergency operations • Help state agencies procure materials, supplies, and equipment, including any medical supplies needed in areas affected by the emergency • Furnish light vehicles to state agencies and provide areas to marshal vehicles and equipment • Co-lead commodity warehousing tasks alongside CA-ESF 7 Resources and Cal OES Logistics
Surface Transportation	<p>Department of Motor Vehicles Actions:</p> <ul style="list-style-type: none"> • Provide state and local law enforcement information on the type and location of transporter equipment • Provide lists and records to assist in the identification of vehicle transporters, dealers, dismantlers and other vehicle related businesses
Surface Transportation	<p>Department of Water Resources Actions:</p> <ul style="list-style-type: none"> • In coordination with Caltrans, continue to manage the heavy Construction Division, State Construction Organization
Multiple Transportation Modes	<p>Department of Fish and Wildlife Actions:</p> <ul style="list-style-type: none"> • Develop area and geographic response plans that identify sensitive sites and develop response strategies appropriate to their location and conditions • Coordinate with harbor safety committees statewide towards the continual improvement of navigational safety and the prevention of oil/hazmat spill. This includes the establishment, expansion or maintenance of vessel traffic information systems and other aids to navigation

Core Function	Responsibilities
	<p>and the development and implementation of tug escort regulations</p> <ul style="list-style-type: none"> • Coordinate with local governments and state agencies to provide public outreach for small oil facilities and recreational boaters on oil pollution and navigational safety • Support Unified Command responsibilities with USCG
Surface Transportation	<p>Department of Industrial Relations Actions:</p> <ul style="list-style-type: none"> • Evaluate safety hazards related to the operation of mobile and tower cranes and associated rigging and equipment, in concert with CA-ESF 12 • Ensure that demolition procedures and other construction-related work procedures comply with California Code of Regulations (CCR) Title 8 safety regulations
Multiple Transportation Mode	<p>Governor's Office of Emergency Services Actions:</p> <ul style="list-style-type: none"> • Support evacuation and re-entry operations for threatened areas • Monitor and report status of and damage to fire service and law enforcement aviation programs to the CA-ESF 1 Air Coordination Group • Support port and harbor response operations through the OES Maritime program, as requested
Multiple Transportation Modes	<p>Emergency Medical Services Authority Actions:</p> <ul style="list-style-type: none"> • Coordinate the movement, reception and care of patients during an evacuation
Multiple Transportation Modes	<p>Public Utilities Commission Actions:</p> <ul style="list-style-type: none"> • Provide a list of and authorize California Public Utilities Commission (CPUC)-regulated railroad, rail transit, bus, ferry, and other passenger carriers to provide services, and/or waive existing restrictions to ensure sufficient transportation support

Section 2 | Organization and Assignment of Responsibilities

Core Function	Responsibilities
	<ul style="list-style-type: none"> • Help coordinate CPUC-regulated transportation resources and services needed by OES, local, state, federal, and other agencies • To maintain essential transportation systems in the state during a war emergency, consult with the Federal Office of Emergency Transportation and the managers of CPUC-regulated intrastate transportation companies to estimate needs for power, petroleum products, manpower, equipment, operating supplies and services • Perform tasks in accordance with the SEP: <ul style="list-style-type: none"> ○ Evaluate transportation emergency preparedness and ensure that regulated transportation companies develop emergency plans that are complete and kept current ○ Inspect rail track to verify that it is safe for use and provide advice to Cal OES on railroad technical transportation matters and information on railroad status, and help coordinate CPUC- regulated transportation resources and services, as needed ○ Provide lists of commercial and private transport available
Multiple Transportation Modes	<p>State Lands Commission Actions:</p> <ul style="list-style-type: none"> • Provide for removal of watercraft from sovereign lands • Provide boats and all-terrain vehicles
Maritime Transportation	<p>USCG Marine Transportation System Recovery Units (LA/Long Beach, San Francisco and San Diego Sectors) Actions:</p> <ul style="list-style-type: none"> • Ensure transportation activities as they relate to water (maritime) transportation, in support of response operations, are met • Coordinate with commercial water (maritime) transportation providers concerning significant interruptions of service

Core Function	Responsibilities
	<ul style="list-style-type: none"> • Support evacuation and re-entry operations for threatened areas • Monitor and report status of and damage to the water (maritime) transportation system and infrastructure as a result of the emergency • Arrange for the acquisition or use of required water (maritime) transportation resources • Determine and document the status of water (maritime) transportation routes into and within affected areas • Develop a water (maritime) transportation plan that identifies routes of ingress and egress; thus, facilitating the movement of personnel, equipment, and commodities • Coordinate the restoration and recovery of the water (maritime) transportation systems and infrastructure • Coordinate and support preparedness, mitigation, response, and recovery activities among water (maritime) transportation stakeholders within the authorities and resource limitations of CA-ESF 1 Agencies/Departments
Multiple Transportation Modes	<p>California Energy Commission Actions:</p> <ul style="list-style-type: none"> • Provide fuel status reports to CA-ESF 1 as the state lead for fuels and fuel pipelines under CA-ESF 12 • Provide fuel budget and availability reports as needed throughout the incident period • Lead the State’s fuel delivery and storage planning efforts • Provide a fuels liaison to the CA-ESF 1 Work Group

Public and Private Sector Stakeholders

As described in the SEP, CA-ESF 1 will also involve other stakeholders. The interplay of the CA-ESF 1 Lead Agency/Department and the public and private sector stakeholders is a vital part of including the whole community concept into the emergency support functions. For the purposes of CA-ESF 1, public and private sector stakeholders may be a part of the transportation system and operations but have been given specific responsibilities within CA-ESF 1. The following public and private stakeholders have been identified for CA-ESF 1:

- American Public Transit Association
- Amtrak
- Associated General Contractors of California
- Bay Area Response Coalition
- BNSF Railway
- California Airports Council
- California Association for Coordinated Transportation
- California Association of Port Authorities
- California Broadcasters Association
- California Chamber of Commerce
 - California League of Cities
 - California State Association of Counties
- California Short Line Railroad Association
- California Transit Association
- California Transportation Commission
- California Trucking Association
- City Public Works/Transportation Departments
- County Public Works/Road Departments
- County Sheriff Departments
- Paratransit Entities (Paratransit Inc, Alameda-Contra Costa (AC) Transit, East Bay Paratransit Consortium, Southern California Regional Transit Training Consortium, etc.)
- Metropolitan Planning Organizations and Regional Transportation Planning Associations
- Regional Governmental Planning Agencies
- Regional Transit Agencies (examples include: Bay Area Rapid Transit (BART), Santa Clara Valley Transportation Authority, Sacramento Regional Transit, Los Angeles County Metropolitan Transportation Authority,

Metropolitan Transportation Commission, Altamont Commuter Express (ACE), San Diego Metropolitan Transit System (MTS), etc.)

- Shipping Industry Agencies

- Union Pacific Railroad
- Urban Area Strategic Initiative (UASI)
- Water Emergency Transportation Authority

General

During an emergency response, the primary agencies coordinate at the local level in several ways:

- Caltrans coordinates with its 12 Districts through Transportation Management Centers, the District EOCs that coordinate within their Operational Area up to the Department Operations Center (DOC) at Caltrans Headquarters. The DOC coordinates with CHP communications centers, field personnel, and other key contacts (local public works, local inspectors, etc.).
- CHP coordinates through its communication centers and divisions, with Caltrans field responders, the Caltrans TMC (sometimes the CHP dispatch and/or the division is co-located), local Sheriff's Office, Operational Area Law Enforcement Mutual Aid Coordinators, and Cal OES Law Enforcement Branch.
- Cal OES Administrative Regions provide coordination within the region and between the regions and the state. If a Regional Emergency Operations Center (REOC) is needed, the Cal OES Duty Officer and Regional Administrator provide the baseline staffing and coordination efforts. The regions also use the Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) as a mechanism to coordinate with the locals and provide transportation support and services within the region.

At the state level, response is coordinated in numerous ways:

- Caltrans uses its Headquarters DOC to coordinate requests received from the districts and other state agencies.
- CHP uses its communication centers and the Emergency Notification and Tactical Alert Center (ENTAC) to coordinate the procurement of resources necessary to fulfill CHP responsibilities during emergencies.
- The California State Warning Center (CSWC) and the SOC support the Cal OES Administrative Regions and local response efforts. The CSWC is the central information hub for statewide emergency communications and notifications and disseminates information to other state agencies during emergencies. The SOC is responsible for coordinating resource requests and resolving priority issues that might arise at the regional level, between

the three Cal OES Administrative Regions. When the SOC is activated, CA-ESF 1 will provide information to the CalSTA Agency Representative on transportation related response elements.

Mitigation Activities

Mitigation activities include the CA-ESF 1 activities necessary to reduce loss of life and property by lessening the impact of emergencies. These activities include, but are not limited to, the following:

- Maintaining and updating all rosters for personnel and resources for CA-ESF 1
- Coordinating the review of the multimodal transportation system and infrastructure to determine the critical characteristics, including:
 - Carrying capacity (number of vehicles/passengers per hour)
 - Potential choke points (e.g., railroad crossings, interchanges, and lane reductions, transit limitations, plus airport and seaport limitations)
 - Potential vulnerabilities (e.g., bridges or tunnels)
 - Sensitivity to seasonal considerations (e.g., snow, fog, and flooding)
 - Proximity to alternate, parallel routes
- Polling stakeholders to understand the types of transportation modes they normally support, their role in providing transportation resources, and their role in identifying transportation gaps/needs/issues
- Creating an inventory for special transportation resources
- Reviewing and updating plans and procedures
- Notifying Cal OES of the state of readiness of transportation personnel and resources

Preparedness Activities

Preparedness is a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action in an effort to ensure effective coordination during an emergency response. Preparedness activities for CA-ESF 1 include the following:

- Establishing and maintaining a contact roster for primary and supporting stakeholders using the Cal OES Warning Center Emergency Contact List (updated annually)

- Initiating and overseeing pre-emergency planning and coordination activities
- Participating in catastrophic emergency planning efforts
- Participating in transportation related training and exercises
- Developing, hosting, and conducting CA-ESF 1-specific exercises, including workshops, tabletop exercises, functional exercises, etc.
- Integrating transportation after action reports and corrective action planning into the California CA-ESF 1 Annex and California CA-ESF 1 exercise process
- Supporting coordination for emergency prioritization and critical resource allocation, integrating communications systems, and coordinate information
- Beginning to identify and document resource types
- Reviewing inventory agreements that are in place to support sharing of resources

Emergency Response

Alert and Notification

The CSWC will notify state partners of an emergency or impending situation. The CalSTA and Caltrans Duty Officer(s) will notify the CA-ESF 1 Coordinator and appropriate Agency Representative. The CalSTA and Caltrans Duty Officer(s) will establish communication with the appropriate CA-ESF 1 stakeholders and modal transportation partners as appropriate for the incident. Protocols for notification should include:

- Responsible agency/position for making the initial activation notifications
- How the notifications are conducted
- Selection of the requested agencies for participation, based upon the emergency or jurisdictions involved
- Selection of the style of meeting (conference call, face to face), providing specifics for location, date, times, and any additional information required

Communications

When activated, CA-ESF 1 will coordinate the procedures, subject matter experts, and internal and external communication systems necessary to provide

a common operating picture for CA-ESF 1 communications and coordinated messaging. During an emergency response, information sharing, and communication are the cornerstone of CA-ESF 1.

Information exchange should be coordinated through CalSTA and Caltrans as the leads for CA-ESF 1. CalSTA and Caltrans will be responsible for analyzing current situational information and sharing information to CA-ESF 1 Core Function Leaders, other stakeholders, and local and regional transportation entities involved in the emergency.

Situational Awareness

CalSTA and Caltrans are equipped to handle the information management needs for CA-ESF 1. However, CalSTA and Caltrans were not intended to serve as a single statewide source and repository for all information concerning transportation operations and response efforts. Each responding agency is still responsible for maintaining its own internal information systems and reporting up through its individual chain of command. Caltrans should be responsible for establishing and operating an information nexus for summary information on CA-ESF 1 priority issues. Examples of the type of information that may be prepared during activation include:

- Name and total number of emergencies that necessitate CA-ESF 1 activation
- Name of agencies activated to provide transportation response
- Priorities of CA-ESF 1
- Total number of personnel and assets assigned or available
- Actions taken to mobilize additional assets per priorities
- Transportation system conditions
 - Traffic and roadway conditions
 - Waterway conditions
 - Railroad status
 - Transit system conditions
 - Aviation conditions
- Geospatial Information System data
- Costs of response and recovery activities
- Contact information for subject matter experts

- Contact information for the CA-ESF 1 Public Information Officer (PIO)

Emergency Response Activities

The CA-ESF 1 Coordinator is responsible for the following:

- Ensure that communication links are established with local or field command and control elements, and other primary and supporting agencies/departments
- Determine initial and ongoing transportation priorities and activities through established intelligence gathering and information sharing procedures and provide this information to CA-ESF 5 - Management personnel for dissemination
- Maintain complete logs of actions taken, resource requirements, and other activities
- Coordinate the mobilization of personnel and equipment required for engineering services as related to the state transportation system
- Coordinate aerial support, reconnaissance and photographic missions, as requested, through the California Air Coordination Group., provided resources are available
- Provide transportation information to the JIC
- Coordinate requests for assistance with the U.S. DOT Regional Emergency Transportation Coordinating Officer (RETCO) to provide support in accordance with the National Response Plan (NRP)
- Coordinate the transportation of personnel, goods, and services in response to requests for assistance
- Establish communications with appropriate agency field personnel to coordinate response efforts
- Coordinate the pre-positioning of response resources when it is apparent that transportation resources will be required
- Use information provided by CA-ESF 5 - Management, SOC briefings, and situation status reports to plan effective response actions
- Support CA-ESF 6 – Mass Care and Shelter for ground transportation of evacuees to shelters with guidance from regional transit programs.
- Coordinate with CA-ESF 10 - Hazardous Materials and Oil to identify any known hazardous materials transporters (e.g., oil tankers or trucks) that

could be affected by an emergency and could have a bearing on the commitment of transportation resources

- Implement predetermined cost accounting measures for tracking overall CA-ESF 1 personnel, equipment, materials, and other costs incurred during emergency response actions
- Monitor and report status of and damage to the transportation system and infrastructure as a result of the emergency
- Identify temporary alternative transportation solutions that can be implemented by others when systems or infrastructure are damaged, unavailable, or overwhelmed
- Reassess priorities and strategies to meet the most critical transportation needs
- Track committed transportation resources and provide information to CA-ESF 5 - Management, the SOC operations section, and CA-ESF 1 stakeholders
- Coordinate supply chain logistic needs through CA-ESF 7 Resources
- Prepare and process reports using established procedures, giving attention to matters that will be of interest in after action reports
- Draft recommendations for after action reports and other reports as appropriate
- Pre-position recovery resources at the nearest staging area(s), as needed
- Coordinate the restoration and recovery of the transportation systems and infrastructure
- Coordinate and support prevention, preparedness, response, recovery, and mitigation activities among transportation stakeholders within the authorities and resource limitations of CA-ESF 1 agencies

Demobilization

When an emergency begins to progress into the latter stages and is scaling down, and as SOC operations are transitioned from response to recovery, a decision will be made by the Lead Agency Representative and the CA-ESF 1 Coordinator as to what activities remain necessary. All other activities will be demobilized. Demobilization activities include:

- Identifying specific transportation resources that are needed to sustain recovery efforts

- Obtaining the current status of transportation resources, personnel, and equipment
- Ensuring any open/remaining actions are assigned to appropriate staff
- Providing all final documentation to the Documentation Unit Leader
- Restocking consumables used during the emergency
- Assisting with other demobilization procedures

Transition to Recovery

In the immediate aftermath of a disaster some post-incident recovery activities occur simultaneously with response mission activities. The transition from response into recovery for transportation includes the change from short-term life and property preservation to long-term recovery strategies and activities. Some of the CA-ESF 1 stakeholders will actively support long-term recovery efforts and CA-ESF 1 operational activities will begin to transition to the associated Recovery Support Functions (RSF). The Unified Coordination Group (UCG) and the Joint Field Office (JFO) remain the focus of joint state/federal operations and FEMA and Cal OES will establish a joint recovery operation. During recovery, the provision of public transportation should be considered in the context of the new geography and population.

It is important to note that while the National Response Framework (NRF) organizes operational activities into common federal-ESFs, the National Disaster Recovery Framework (NRDF) likewise organizes common recovery operations into six Recovery Support Functions (RSFs). The integration of NRF and NRDF activities at the outset of an incident is paramount to seamlessly transitioning from response to recovery.

California has likewise established the California Disaster Recovery Framework (CDRF) organized around six California Recovery Support Functions (CA-RSFs). While there is not a specific transportation CA-RSF, the transportation sector is well integrated into supporting the infrastructure needs of the six CA-RSFs. The key consideration here is that response and recovery operations can and should happen concurrently. The best time to start planning recovery operations is when response operations commence. Caltrans has championed this integrated approach at various CA-ESF 1 workshops, and with its multimodal partners, will continue to mature the capabilities of this collaborative effort.

Recovery Activities

- Continue to collaborate with Fed-ESF 1, until the Joint Field Office (JFO) demobilizes (if activated)
- Coordinate the CA-ESF 1 support of recovery activities with CA-RSF 5 Infrastructure Systems
- Coordinate the reconstruction and repairs of the state transportation system, including the designation of alternate modal routes in coordination with public and private agencies
- Coordinate damage assessments of the state's transportation system and facilities
- Support the damage assessment process of non-state transportation systems and facilities
- Coordinate with the USDOT to provide support in accordance with the NRP
- Respond to the SOC planning section for damage assessment statistics and estimates for the transportation system and infrastructure
- Conduct a CA-ESF 1 after action review

Annex Maintenance

The CA-ESF 1 Work Group is responsible for the review, updates, and general maintenance to the annex. The CA-ESF 1 Annex will be reviewed annually and updated on a five-year basis, or as needed. The annex should be maintained to reflect inclusion of additional stakeholders, the expansion of resources and capabilities, or the revision of policies and procedures.

Thresholds for reviewing and updating the annex outside of the five-year maintenance cycle include, but are not limited to:

- Changes to state or federal Law
- State or federal emergency management procedural change
- Critical corrective actions to address lessons learned from activations and/or exercises
- Development of or advancement in emergency response capabilities
- Periodic review as recommended by SEMS

Proposed changes should complement existing authorities, regulations, statutes and other plans. After the update to the annex has been made, a summary of the changes should be sent out to all the CA-ESF stakeholders with the updated document.

Training and Exercises

It is the goal of the CA-ESF 1 Work Group that CA-ESF 1 is exercised annually to support the further development of coordination and collaboration concepts for the transportation components of emergency response in California. A robust training and exercise schedule will initiate a process to ensure continual annex updates in response to changing conditions. Additionally, training and exercise provides CA-ESF 1 stakeholders opportunities to update and refresh skills, while introducing new members to CA-ESF 1 protocols, and further develops relationships with other stakeholders of CA-ESF 1.

Consideration for the State of California Multi-Year Training and Exercise Plan 2020 - 2022 and the priorities listed in the Cal OES Strategic Plan may play a role in developing training and exercising priorities and schedule.

Attachment A: CA-ESF 1 References

Document	Date	Agency/ Department	Link
State Emergency Plan	2017	Cal OES	https://www.caloes.ca.gov/PlanningPreparednessSite/Documents/California_State_Emergency_Plan_2017.pdf
Foundation for the SEMS	2017	Cal OES	https://www.caloes.ca.gov/PlanningPreparednessSite/Documents/California_State_Emergency_Plan_2017.pdf
SEMS Guidelines	2017	Cal OES	https://www.caloes.ca.gov/cal-oes-divisions/planning-preparedness/standardized-emergency-management-system
California Disaster and Civil Defense Master Mutual Aid Agreement	2015	Cal OES (Yellow Book)	https://www.caloes.ca.gov/LegalAffairsSite/Documents/Cal%20OES%20Yellow%20Book.pdf
Access and Functional Needs	2021	Cal OES Office of Access and Functional Needs	https://www.caloes.ca.gov/cal-oes-divisions/access-functional-needs
NCHRP Report 963 A Pandemic Playbook for Transportation Agencies	2020	Transportation Research Board	http://www.trb.org/Publications/Blurbs/181476.aspx
California DOT Caltrans Continuity Plan	2021	California DOT	https://maintenance.onramp.dot.ca.gov/downloads/maintenance/files/emergency_mgmt/Jan%202021%20Cont%20Plan_final.pdf
Air Coordination Group Concept of Operations V1.2	2018	California DOT	https://maintenance.onramp.dot.ca.gov/downloads/maintenance/files/emergency_mgmt/ACG_CONOPS_v1_2_MAR%202018.pdf

Attachment A | Authorities and References

NCHRP Report 931 A Guide to Emergency Management at State Transportation Agencies	2020	Transportation Research Board	http://www.trb.org/Publications/Blurbs/179534.aspx
National Response Framework, –4th Edition	2019	FEMA, DHS	https://www.fema.gov/sites/default/files/2020-04/NRF_FINALApproved_2011028.pdf
National Disaster Recovery Framework, 2 nd Edition	2016	FEMA, DHS	https://www.fema.gov/sites/default/files/2020-04/NRF_FINALApproved_2011028.pdf
California Disaster Recovery Framework	2019	Cal OES	https://www.caloes.ca.gov/RecoverySite/Documents/2019-California-Disaster-Recovery-Framework.pdf
A Guide to Federal-Aid Programs and Projects	2019	U.S. DOT-FHWA	https://www.fhwa.dot.gov/federalaid/projects.pdf
U.S. DOT Intelligence, Security and Emergency Response	2020	U.S. DOT	https://www.transportation.gov/mission/administrations/intelligence-security-emergency-response/operations-division#National
USDOT Regulations, Including Waiver Authorities, Available During an Emergency	2021	U.S. DOT - FMCSA	https://www.fmcsa.dot.gov/regulations
Airspace Management Plan for Disasters	2012	FAA	https://publicintelligence.net/faa-disaster-airspace-coordination/

Acronyms	
Acronyms	Definition
AAR	After Action Reports
AC Transit	Alameda-Contra Costa Transit District
ACE	Altamont Commuter Express
ACG	Air Coordination Group
ADA	Americans With Disabilities Act
AO	Administrative Order
BART	Bay Area Rapid Transit
CA-ESF 1	California Emergency Support Function 1 - Transportation
CA-RSF	California Recovery Support Function
Cal Boating	California Department of Boating and Waterways
Cal OES	Governor's Office of Emergency Services
CalSTA	California State Transportation Agency
Caltrans	California Department of Transportation
CCC	California Coastal Commission
CCC	California Conservation Corps
CCR	California Code of Regulations
CDBW	California Department of Boating and Waterways
CDFW	California Department of Fish and Wildlife
CEC	California Energy Commission
CHP	California Highway Patrol
CMD	California Military Department
CNRA	California Natural Resources Agency

Attachment B | Acronyms

CPUC	California Public Utilities Commission
CSLC	California State Lands Commission
CTC	California Transportation Commission
DMV	California Department of Motor Vehicles
DWR	California Department of Water Resources
EMSA	California Emergency Medical Services Authority
EOC	Emergency Operations Center
ESF	Emergency Support Function (Federal)
FAA	Federal Aviation Administration
FEMA	Federal Emergency Management Agency
FHWA	Federal Highway Administration
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
GIS	Geographic Information System
JFO	Joint Field Office
JIC	Joint Information Center
LEOC	Law Enforcement Operations Center
LWDA	California Labor and Workforce Development Agency
MARAD	Maritime Administration
MPO	Metropolitan Planning Organization
MTC	Metropolitan Transportation Commission
MTS	San Diego Metropolitan Transit System
NDRF	National Disaster Recovery Framework
NRF	National Response Framework
NRP	National Response Plan

Attachment B | Acronyms

OA	Operational Area
OASIS	Operational Area Satellite Information System
PIO	Public Information Officer
REOC	Regional Emergency Operations Centers
RETCO	Regional Emergency Transportation Coordinating Officer
RTPA	Regional Transportation Planning Agency
SCSA	California State and Consumer Services Agency
SEMS	Standardization Emergency Management System
SEP	State of California Emergency Plan
SOC	State Operations Center
SOP	Standard Operating Procedures
TMC	Traffic Management Center
UCG	Unified Coordination Group
USCG	United States Coast Guard
USDOT	United States Department of Transportation

Activation: When a Continuity Plan has been implemented whether in whole or in part.

California Emergency Support Functions: The California Emergency Support Functions are focused activities conducted by a specified branching of state agencies, departments and other stakeholders with similar functional activities whose responsibilities lead to improving the state's ability to collaboratively prepare for, effectively mitigate, cohesively respond to and rapidly recover from any emergency. California Emergency Functions unify a broad-spectrum of stakeholders with various capabilities, resources and authorities to improve collaboration and coordination for a particular discipline. They also provide a framework for the state government to support regional and community stakeholder collaboration and coordination at all levels of government and across overlapping jurisdictional boundaries.

Cal OES: California Office of Emergency Services is the branch of state government that provides leadership to all state agencies and local jurisdictions in all phases of emergency management, and all stages of homeland security. It also provides guidance to Caltrans and other state agencies and Executive Branch activities on the development of their Continuity Plans.

California Transportation Infrastructure Planning System: California Transportation Improvement Project System is the single data source for metropolitan planning organizations (MPO) and State Transportation Improvement Program (STIP) data statewide. MPOs and Caltrans staffs enter project information for processing with the CTC and FHWA.

Caltrans: California Department of Transportation.

Caltrans Highway Information Network: A network for communication with employees and the public about road conditions throughout the state. Information is available at 800-427-ROAD (7623) or at the website <http://www.dot.ca.gov/hq/roadinfo/>.

Collateral damage: Injury to personnel or damage to facilities that are not the primary target of an attack.

Continuity Communications: Systems that enable employees of one organization or agency to talk directly with employees of another organization or agency during a disaster; communications systems that are flexible and can span several functions seamlessly.

Continuity Facility: A prearranged facility, other than the Headquarters facility, which allows for continuation of mission essential services.

Continuity Event: Any event that causes an Agency or Department to relocate operations to a continuity site to ensure continuance of its essential functions.

Critical Infrastructure: Systems and assets, whether physical or virtual, so vital that the incapacity or destruction of such may have a debilitating impact on the security, economy, public health or safety, environment, or any combination of these matters, across any Federal, State, regional, territorial, or local jurisdiction (NIIP 2009).

Critical Infrastructure Protection: Actions or measures taken to cover or shield from exposure, injury, or destruction any critical infrastructure element. Protection includes actions to deter the threat, mitigate the vulnerabilities, or minimize the consequences associated with a natural hazard event, terrorist attack or other incident (NIIP 2009).

Delegation of Authority: Specifies who is authorized to act on behalf of Caltrans head and other key officials for specific purposes.

Departmental Operations Center: An emergency operations center that is intended to serve as a hub for consolidating information to and from regional or local emergency operations centers.

Department of Homeland Security: The agency of the Federal government that has as its mission to lead the unified national effort to secure America: prevent and deter terrorist attacks and protect against and respond to threats and hazards to the Nation; secure the national borders.

Devolution: The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

Dynamic Host Configuration Protocol: Dynamic Host Configuration Protocol is a set of rules used by a communications device (such as a computer, router or networking adapter) to allow the device to request and obtain an Internet address from a server which has a list of addresses available for assignment.

Director's Order: A mechanism used to provide authority and funding to enter into an emergency contract quickly. A Director's Order suspends various formal advertising and bidding requirements in the State Contract Act.

Domain Name System: Domain Name System stores and associates many types of information with domain names, but most importantly, it translates domain names (computer hostnames) to Internet Protocol addresses. It also lists mail exchange servers accepting e-mail for each domain.

Drive-Away Kit: A kit prepared by, and for, an individual who expects to deploy to a continuity location during an emergency, notably members of the Emergency Relocation Group (ERG). It contains items needed to minimally satisfy personal and professional needs during deployment to a Continuity facility to ensure that essential functions can continue to be performed.

Enduring Constitutional Government: A cooperative effort among the Executive, Legislative, and Judicial branches of government, coordinated by the President, to preserve the capability to execute constitutional responsibilities in a catastrophic emergency.

Emergency Coordinator: This is the key senior official appointed within an organizational element or higher who serves as the coordinator for all National Response Plan and National Incident Management System Continuity related matters.

Emergency Operating Records: Records that support the execution of an agency's essential functions.

Emergency Operations Center: A location from which centralized decisions can be made during an emergency, which brings together key response personnel and resources to make decisions and coordinate the flow of information and resources to mitigate the emergency on behalf of Caltrans.

Emergency Operations Plan: A comprehensive plan that described the work of the organization to plan for, respond to and recover from a natural or human-caused emergency or disaster event.

Emergency Relocation Group: A group subordinate to the Continuity Branch Director and the EOC Director that is activated at the EOC Director's direction to ensure that all Caltrans' essential functions continue during the disaster period, with an interruption not to exceed 12 hours, and a duration of at least 30 days. ERG members may be assigned to report to a continuity site, as required, to perform agency essential functions or other Continuity related operations.

Essential functions: The limited set of department and agency-level government functions that must be continued after a disruption of normal activities. Primary and Mission Essential Functions that enable the government to provide vital services, exercise civil authority, maintain the safety and wellbeing of the general populace, and sustain the industrial/economic base in an emergency. DOT's functions support state and national essential functions

Executive Agent: A term used to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An executive agent may be limited to providing only administration and support or coordinating common functions or it may be delegated authority, direction, and control over specified resources for specified purposes.

Federal Emergency Management Agency: Part of the Department of Homeland Security (DHS), FEMA leads the Federal effort to prepare the nation for all hazards and effectively manage federal response and recovery efforts following any national incident.

Federal Highway Administration: A division of the U.S. DOT. FHWA's role in the Federal-aid Highway Program is to oversee federal funds used for constructing and maintaining the National Highway System (primarily Interstate Highways, U.S. Routes and most State Routes). FHWA also provides emergency funding for State DOTs following a disaster and provides disaster response guidance.

Highway Advisory Radio: Sometimes also called travelers' information stations (TIS), are licensed low-power AM radio stations set up by local transportation departments to provide bulletins to motorists and other travelers regarding traffic and other delays.

Headquarters: Headquarters Area is defined as all HQ facilities bounded by the American Rivers (North), Howe Avenue (East), United States Highway 50 (South), and Sacramento River (West) along with the extension of Gateway Oaks and Headquarters building; 1120 N Street, Sacramento, CA 95814.

Homeland Security Presidential Directive-5: A directive by President George W. Bush in February 2003 that required all federal agencies to use the National Incident Management System (NIMS). Other entities that wish to receive Federal emergency assistance grants must also comply with NIMS.

Incident Command System: The Incident Command System (ICS) provides a common organizational framework within which agencies can work collectively at the scene of an emergency. Its hallmarks are hierarchy, flexibility, adaptability, and common terminology. It is used at the field, local government, region, state and national levels, as mandated by HSPD-5, as the National Incident Management System.

Interagency Agreements: A written agreement entered into between agencies that requires specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Legal and financial records: Records that are needed to protect the legal and financial rights of the Government and of the persons affected by its actions.

Level III Emergency: Emergencies that require the immediate activation of the full EOC staff. Examples: major earthquakes, regional flooding, and storm damage. Emergency response may be downgraded to a Level II, or I response after full assessment of the nature and extent of the emergency.

Local Area Network: A computer network covering a local area, like a home, office, or branch of buildings.

Mission critical systems: Automatic data processing (ADP) equipment essential to supporting the execution of an agency's essential functions.

Mission Essential Function: Functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial/economic base during disruption of normal operations.

Mode: Describes the type of transportation system, i.e. rail, transit, aviation, maritime, or surface roads.

Multimodal: Refers to the collective types of transportation systems available to move goods, services and people. Under CA-ESF 1, multimodal transportation commonly refers to rail, transit aviation, surface roads and bridges, and maritime systems.

Mutual Aid: The provision of supplies and services during time of emergency. Within Caltrans mutual aid may be provided or received between districts, or between state agencies.

National Incident Management System: A system mandated by HSPD-5 that provides a consistent nationwide approach for Federal, State, local, and tribal governments; the private-sector, and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. NIMS is based on ICS.

Operational Area Satellite Information System: Satellite communication system that was established and managed by Cal OES. The OASIS network is independent of the public telephone network but has the ability to interface with public telephone systems.

Orders of Succession: Provisions for the assumption of senior agency offices during an emergency by pre-designated individuals in the event that any of the officials is unavailable to execute his legal duties.

Policy Branch: The senior officials of Caltrans who relate directly to the governor, the agency secretary and other members of the state's executive branch and provide information to members of the legislative branch and their staffs. They provide overall policy direction for the management of emergency response and recovery operations, including setting priorities for the use of scarce resources.

Primary Mission Essential Function: Mission Essential Functions which must be performed in order to support the performance of National Essential Functions before, during, and in the aftermath of an emergency. PMEFS need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

Project Initiation Document: A logical document whose purpose is to bring together the key information needed to start the project on a sound basis; and to convey that information to all concerned with the project.

Rail Facility: Refers to a location at which rail cargo or infrastructure assets are stored, cargo is transferred between conveyances and/or modes of transportation, where transportation command and control operations are performed, or maintenance operations are performed. The term also includes, but is not limited to, passenger stations and terminals, rail yards, crew management centers, dispatching centers, transportation terminals and stations, fueling centers, and telecommunication centers.

Railway System: Includes any light, heavy, or rapid rail system that traditionally does not operate on track that is part of the general railroad system of transportation. This includes rail transit facilities such as rail transit stations, terminals, locations at which rail transit infrastructure assets are stored, locations at which command and control operations are performed, areas where maintenance is performed, rail yards, crew management centers, dispatching centers, transportation terminals and stations, fueling centers, and telecommunication centers.

Reconstitution: The process by which surviving and or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

Recovery: The process of returning to normal operations at the conclusion of an emergency.

Recovery Time Objective: The period of time which may elapse before specified essential functions activities are restarted. Caltrans recognizes three levels of RTO for planning purposes:

- RTO A: not to exceed (24 hours)
- RTO B: not to exceed (72 hours)
- RTO C: not to exceed (30 days)

Regional Transportation Planning Agency: A metropolitan planning organization responsible for transportation policy planning and development.

Standardized Emergency Management System: The system required by Government Code 8607(a) for managing response to multi-agency and multi-jurisdiction emergencies in the State. SEMS is based on ICS.

State Administrative Manual: A reference source for statewide policies, procedures, regulations and information, developed and issued by authoring agencies such as the Governor's Office, Department of General Services (DGS),

Department of Finance (DOF), and Department of Personnel Administration. In order to provide a uniform approach to statewide management policy, the contents have the approval of and are published by the authority of the DOF Director and the DGS Director.

Technology Recovery Plan: The DRP provides the required organization, communication, and recovery steps necessary to ensure that critical IT applications that support Caltrans essential functions are restored within acceptable Maximum Acceptable Outage (MAO) time frames.

Telework: The ability of personnel to fulfill their required business functions while at home or at other off-site location.

Test, Training, and Exercises: Measures to ensure that an agency's Continuity program is capable of supporting the continued execution of its essential functions throughout the duration of a Continuity situation.

Threat Conditions: System developed from the input from the Intelligence and Early Warning Subcommittee of the State Strategic Committee on Terrorism that provides timely warning information for government agencies and the public.

Traffic Management Center: Traffic Management Center is the nerve center for urban freeway and highway systems. Real time information is gathered from many sources such as electronic sensors in the pavement, freeway call boxes, video cameras, 911 calls, officers on patrol, Caltrans highway crews, ramp meter sensors, earthquake monitors, motorist cellular calls, and commercial traffic reporters, which is sent to the TMC 24-hours a day, seven days a week.

Transit: Means mass transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or sightseeing transportation. See 49 U.S.C 5302(a). Transit may occur on or off the general railroad system of transportation.

Virtual Private Network: A private network often used within a company, or by several companies or organizations, to communicate confidentially over a publicly accessible network.

Vital databases: Information systems needed to support essential functions during a Continuity situation.

Vital Records: Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records), or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

Wildland Urban Interface Fire: A fire that begins in a wildland or forest and spreads into an urbanized area, usually driven by strong winds during a period of low humidity. Such fires are common in Southern California and in the state parks and forests throughout the state.

Attachment D: CA-ESF 1 Core Functions

Core Functions Organization			
Core Function	Capabilities	Activities/Tasks	Resources
Surface Roads and Bridges	Movement of People	Clear emergency surface routes	Incident determined
	Movement of Freight and Commodities	<ul style="list-style-type: none"> • Facilitate regulatory waivers as authorized • Manage traffic control 	Caltrans Freight Mobility Branch CHP USDOT
Maritime	Ports	Establish status of labor forces	Unions/ Associations and Port Workers
		Conduct initial damage assessments situational awareness	Port Staff USCG
	Movement of People	Coordinate the movement of passengers	Water Emergency Transportation Authority
	Movement of Freight and Commodities	Collect Information on Vessel Status and Vessel Prioritization	USCG Marine Transportation System Recovery Unit
		Coordinate Intermodal Systems of Local Marine Transportation	Vessel Traffic Control, Trucks, Trains, Ships

Attachment D | Core Functions

Railroads	Movement of People	Support intrastate commuter rail activities	Amtrak JPAs
	Movement of Freight and Commodities	Support heavy rail movements	UP BNSF
Transit	Movement of People	Support public transit activities	MPOs RTPAs
Aviation	Movement of goods and people	Coordinate aviation support requests through the Air Coordination Group	Aviation industry Commercial and General Aviation Airports