



Department of Transportation

RECOVERY RESOURCE GUIDE

A Transportation Stakeholder Guide to Recovery

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DEPARTMENT OF TRANSPORTATION RECOVERY RESOURCE GUIDE

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Cover Photos

U.S. Floods, Mississippi River, 2011¹

Hurricane Sandy, Queens Midtown Tunnel, 2012²

¹ U.S. DOT, Recent Transportation Recovery Efforts, <http://www.dot.gov/disaster-recovery>, July 2012.

² Metropolitan Transportation Authority, Superstorm Sandy: One Year Later, <http://web.mta.info/sandy/index.html>, October, 2013.

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INTRODUCTION

Communities hit hard by disaster face a variety of complex issues and decisions during a recovery process - often involving a multitude of demands for limited resources. Community recovery actions may be easier and more effective if the community understands the roles of Federal, State and local government agencies and how these agencies can work together to plan for, manage and implement a disaster recovery process. Collaboration and coordination between government agencies and all community stakeholders (public officials; education institutions; sewage and water treatment providers; transportation, communication and energy service providers and anyone else involved in the recovery effort) are critical in the overall recovery effort.

State, Local, Tribal and Territorial (SLTT) governments and private sector and community stakeholders are closest to those impacted by incidents, and have the primary responsibility for the public health and welfare of the people in their jurisdiction. While Federal coordination efforts may play a role during disaster response and recovery operations, the partnership between SLTT governments and industry stakeholders is the nexus that provides successful execution of these efforts.³ As key public service providers, local transportation officials need to partner with transportation industry stakeholders to integrate transportation recovery efforts into the community's overall recovery and restoration plans.

PURPOSE AND GOAL

This guide provides a resource for SLTT government officials and transportation industry stakeholders to better understand the Federal Government's role in transportation disaster recovery, and serves to highlight opportunities to integrate that role into a community's overall recovery plan. The goals of this guide are:

- To increase knowledge and help communities make the best use of available resources for recovery efforts; and
- To improve the resilience of the nation's transportation infrastructure through a better understanding of the roles and responsibilities of Federal and SLTT governments as a means to that end.

Within any discussion of transportation disaster recovery efforts, the mitigation and response phases of the overall National preparedness cycle must also be considered. This guide briefly addresses mitigation and response mission areas as it more fully describes the spectrum of the overall transportation disaster recovery process.

³ DHS/FEMA, National Response Framework, Second Edition.
<http://www.fema.gov/library/viewRecord.do?id=7371>, May 2013.

WHAT'S NEW FOR 2014

This resource guide updates and supersedes the Department of Transportation's (DOT) National Transportation Recovery Strategy (NTRS), issued in October 2009. The NTRS was published to help transportation industry stakeholders and SLTT government officials prepare for and manage the transportation recovery process following a major disaster. The origins of the NTRS lie in the Post-Katrina Emergency Management Reform Act of 2006, which mandated that the Federal Emergency Management Agency (FEMA) develop guidance for an overall disaster recovery strategy.

In September 2011, FEMA released the National Disaster Recovery Framework (NDRF). This resource guide builds on the NTRS and addresses and incorporates the guiding principles found in the NDRF.

Additionally, this resource guide incorporates and links the transportation recovery process with the guiding principles as found in new Federal guidance documents such as Presidential Policy Directive 8: National Preparedness (PPD-8), and Presidential Policy Directive-21: Critical Infrastructure Security and Resilience (PPD-21).

SCOPE

This guide focuses on several key factors:

- Planning considerations for the recovery of the transportation infrastructure before, during and after an incident;
- Opportunities for integrating the Federal Government's transportation recovery support and assistance into a community's overall recovery strategy;
- Strategies for incorporating disaster mitigation concepts into the initial and subsequent design and construction of transportation infrastructure. Mitigation efforts offer a means to enhance resilience, and serve as a key element in response and recovery efforts; and
- Ideas for building resiliency into transportation networks during the initial recovery phase of disaster response and ways to integrate resiliency principles into the overall recovery strategy.

This guide is organized into two sections:

- **Section One** provides an overview and definition of recovery and describes available Federal resources and capabilities to support transportation recovery efforts.
- **Section Two** provides an overview of incident management and highlights the importance of the transition from response to recovery. The section also describes the relationship of this document to other Federal guidance.

The appendices provide a guide to available online resources and a section that provides a more detailed summary of the guiding principles set forth in PPD-8.

SECTION ONE

1.1 DEFINITION OF RECOVERY

The transportation disaster recovery process begins with a common definition of the term “recovery” and an understanding of where it fits within the cycle of the National Preparedness System (NPS). The definition for recovery as used in this document is found in PPD-8 and the NDRF:

“...those capabilities necessary to assist communities affected by an incident to recover effectively, including, but not limited to, rebuilding infrastructure systems; providing adequate interim and long-term housing for survivors; restoring health, social, and community services; promoting economic development; and restoring natural and cultural resources.”⁴

Recovery considerations are critical throughout the National preparedness cycle (from pre-disaster planning through post-disaster recovery). Pre- and post-disaster planning play a significant role throughout the stages of the emergency management cycle and is a fundamental aspect to the implementation of a well-orchestrated recovery process. Pre-disaster planning enables effective coordination of recovery activities and expedites a unified recovery effort; post-disaster planning forms the foundation for allocating resources and provides the benchmark for progress and effective recovery. While recovery is aided by incorporating mitigation factors into the planning and design of transportation infrastructure, the more traditional recovery activities are initiated during the response phase and ramp up as the response phase winds down.

1.2 FEDERAL RESOURCES/CAPABILITIES FOR TRANSPORTATION RECOVERY

This section discusses available Federal resources and capabilities for transportation recovery, including legislation, specific programs and resource guides.

1.2.1 Transportation Legislation: Moving Ahead for Progress in the 21st Century Act

On July 6, 2012, President Obama signed the Moving Ahead for Progress in the 21st Century Act (MAP-21).⁵ In addition to providing a framework that guides the growth and development of our country’s vital transportation infrastructure, MAP-21 provides DOT new authorities for disaster response and recovery (most notably through the creation of the Federal Transit Administration’s (FTA) emergency relief funding program and updating the Federal

⁴ DHS/FEMA, National Disaster Recovery Framework. <http://www.fema.gov/pdf/recoveryframework/ndrf.pdf>, September 2011, Page 81.

⁵ The Library of Congress, Bill Text 112th Congress (2011-2012), H.R. 4348.ENR, Moving Ahead for Progress in the 21st Century Act (MAP-21), <http://www.gpo.gov/fdsys/pkg/PLAW-112publ141/pdf/PLAW-112publ141.pdf>, July 2012.

Highway Administration's (FHWA) emergency relief funding program) and provides funds for enhancing the safety, security and resilience of our nation's overall transportation infrastructure.⁶

1.2.2 Federal Transit Administration Public Transportation Emergency Relief Program

Authorized in MAP-21, FTA's public transportation Emergency Relief (ER) Program provides operating assistance and capital funding to States, governmental agencies and public transportation systems to repair and reconstruct public transportation assets to a state of good repair, as expeditiously as possible following an emergency or major disaster.

Key ER program provisions are:

- Funds may only be used for capital and operating costs incurred by public transportation systems in preparation for or response to a catastrophic event in which the State Governor has declared an emergency or the President has declared a major disaster under the Stafford Act;⁷
- Eligible projects and reimbursable costs are for activities that relate to emergency operations, emergency protective measures, emergency repairs, permanent repairs, actual engineering and construction costs, resiliency projects designed to protect rolling stock, equipment, facilities and infrastructure from future damage;
- Funds may not be used on projects for which monies are already obligated in a grant, projects for which FEMA or another Federal agency has already provided emergency funding, or for projects which the applicant has already received insurance proceeds; and
- Funds are awarded to eligible agencies based on the demonstrated costs of responding to and recovering from an emergency or major disaster. Funds may also be awarded to affected agencies for projects that improve the resiliency of public transportation assets and infrastructure for future emergencies or disasters.

1.2.3 Federal Transit Administration Response and Recovery Resource Document for Transit Agencies

In addition to funding, FTA offers recovery assistance information through a resource guide entitled, *Response and Recovery for Declared Emergencies and Disasters - A Resource Document for Transit Agencies*.⁸ This document addresses transportation response and recovery actions and funding available for all modes of transit for use in response to declared emergencies and incidents (including major accidents, terrorist actions and natural disasters). The guide also

⁶ U.S. DOT, Moving Ahead for Progress in the 21st Century Act (MAP-21). <http://www.dot.gov/map21>, August 2013.

⁷ U.S. DOT, FTA, Chapter 53 of title 49, United States Code, as amended by MAP-21, Related MAP-21 provisions, Sec. 5324. <http://www.fta.dot.gov/documents/chap53MAP21.pdf>, October 2012.

⁸ U.S. DOT, FTA Response and Recovery for Declared Emergencies and Disasters. http://www.fta.dot.gov/documents/FTA_Response_Recovery_Declared_Emergencies_Disasters.pdf, April 2012.

provides information about the types of resources and other assistance available to transit agencies under FEMA and other FTA programs (such as securing waivers of regulations and reimbursement for services restoration and systems rebuilding).

1.2.4 Federal Highway Administration Emergency Relief Program

Congress authorized the Federal Highway Administration's Emergency Relief (ER) Program in Title 23, United States Code (U.S.C.), Section 125, to provide funds from the Highway Trust Fund for the repair or reconstruction of Federal-aid highways and of roads on Federal government lands that suffered serious damage from natural disasters or catastrophic failures from external causes.⁹ This program supplements resources from States, localities and other Federal agencies to help in the repair of facilities damaged by eligible events.

The applicability of this program to a natural disaster is based on the extent and intensity of the disaster. Damage to highways must be severe, occur over a wide area and result in unusually high expenses to the highway agency. Applicability to a catastrophic failure due to an external cause is based on the criteria that failure was not the result of an inherent flaw in the facility but was sudden, caused a disastrous impact to transportation services and resulted in unusually high expenses to the highway agency.

This program is authorized at \$100 million annually. Congress has periodically provided additional funds through supplemental appropriations. The total obligation for U.S. territories (American Samoa, Commonwealth of the Northern Mariana Islands, Guam and the U.S. Virgin Islands) is limited to \$20 million in any fiscal year.¹⁰

The MAP-21 program continues FHWA's ER program, with some changes in requirements:¹¹

- States must apply and provide a complete list of project sites and costs within two years of the event; costs may not exceed the costs to repair or reconstruct a comparable facility;
- For emergency repairs, a 100 percent Federal government share is allowed during the first 180 days following a disaster. MAP-21 allows the Secretary to extend the time period if access to damaged areas is limited;
- Debris removal for major disasters declared under the Stafford Act will be funded by FEMA; and
- Maintenance and operation of additional ferryboats or transit is eligible as a temporary substitute service.

Additional information and clarifications about MAP-21 program requirements are available on FHWA's "Emergency Relief Questions and Answers" webpage.¹²

⁹ Title 23, US Code, Section 125. <http://www.fhwa.dot.gov/legsregs/title23.pdf>, January 2012.

¹⁰ U.S. DOT Federal Highway Administration, Special Federal-Aid Funding, Emergency Relief Program. <http://www.fhwa.dot.gov/programadmin/erelief.cfm>, October 2013.

¹¹ U.S. DOT Federal Highway Administration, Moving Ahead for Progress in the 21st Century Act (MAP-21), A Summary of Highway Provisions. <http://www.fhwa.dot.gov/map21/summaryinfo.cfm>, August 2012.

1.2.5 Federal Aviation Administration Airport Improvement Program

The Federal Aviation Administration (FAA) owns and operates critical infrastructure as the primary provider of air navigation services, which include but are not limited to air traffic control, in the United States. During an emergency, the FAA's Airport Improvement Program (AIP) provides grants to owners and any operators of public-use airports - specifically those airports that are part of the National Plan of Integrated Airport Systems.¹³ The FAA may not provide AIP grants for emergencies outside the normal capital improvement program without express Congressional authorization.

In an emergency, airport sponsors typically have to address immediate repairs through on-call contractors and/or their own employees and, therefore, cannot readily comply with the Federal procurement rules and other rules governing the AIP. Most commercial service airports have an emergency maintenance reserve fund as their primary source of working capital. These funds may be reimbursed by private insurance.

As such, AIP funding may only be used:

- If an AIP-eligible facility was already nearing the end of its useful life and was already identified as needing rehabilitation or replacement; and
- If there is time to properly design and procure the construction in accordance with Federal statutory and regulatory requirements.

1.2.6 Maritime Administration Emergency Program

The Maritime Administration (MARAD) is the agency within DOT dealing with waterborne transportation. MARAD also maintains a fleet of deep draft cargo ships in reserve to provide 'surge' sealift to the Department of Defense for contingency operations and for response and recovery during National emergencies.

The following are examples of capabilities that MARAD can provide, not only for response operations, but also for recovery activities during national emergencies:

- FEMA Pre-Scripted Mission Assignments (PSMA) - in coordination with FEMA's Mission Assignment protocol, MARAD can provide maritime-based, relief support resources (e.g., MARAD Berthing and Cargo Ships) directly from MARAD's Ready Reserve Force vessel inventory, as well as a diverse complement of capabilities and resources available from the private maritime sector such as:
 - *Follow-on Cargo Deliveries:* Ships can be used to provide food, water, relief supplies and emergency services vehicles and equipment to an affected area. They can also

¹² U.S. DOT Federal Highway Administration, MAP-21 – Moving Ahead for Progress in the 21st Century, Emergency Relief (ER) Questions & Answers. <http://www.fhwa.dot.gov/map21/qandas/qaer.cfm>, August 2013.

¹³ Federal Aviation Administration, Airport Improvement Program (AIP). <http://www.faa.gov/airports/aip/>, September 2013.

carry heavy equipment that can be used to clear debris and restore damaged infrastructure.

- *Follow-on Port Restoration:* Some ships have the ability to act as cargo transfer platforms to restore a port's cargo handling equipment if it is inoperable. These "Crane Ships" go alongside a water-side terminal and other cargo ships are secured outboard. The cranes reach over the cargo ship to deliver the cargo to the pier.
- *And Other Maritime-Related Emergency Capabilities such as:*
 - Provide a variety of ships (commercial barges, vessels that can store and transport vehicles and small sized passenger vessels) that can be used to support recovery operations - such as housing and work facilities for emergency and critical maritime recovery workers (stevedores, oil spill cleanup crews, etc.).
 - Provide waterside staging areas for response and recovery operations.
 - Provide waterway crossing transits (or barge bridges) for response and recovery personnel, equipment and supplies where bridges may have been destroyed or otherwise rendered unusable.

1.2.7 Federal Emergency Management Agency

The mission of FEMA is to reduce the loss of life and property and protect communities nationwide from all hazards, including natural disasters, acts of terrorism, and other man-made disasters. The Agency leads and supports the nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery and mitigation. The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288) as amended, constitutes the statutory authority for most Federal disaster response activities especially as they pertain to FEMA and FEMA programs.

As part of a declared disaster under the Stafford Act, FEMA can use Mission Assignments (MA) to task and reimburse other Federal departments and agencies to provide direct assistance during emergencies and disasters. MA's can be issued for recovery activities as well as response activities, and are generally issued and obligated in order to make resources available to address estimated immediate mission-critical needs. To facilitate and expedite the Federal Government's collective response and recovery efforts after the Stafford Act has been implemented, FEMA created PSMA's in tandem with other departments and agencies.

FEMA also administers a Public Assistance (PA) grant program to provide supplemental grant assistance to SLTT governments and certain types of Private non-Profit (PNP) organizations so that communities can quickly respond to and recover from major disasters or emergencies declared by the President. The program provides assistance for debris removal; emergency protective measures and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain PNP organizations. The program also

encourages protection of these damaged facilities from future events by providing assistance for hazard mitigation measures during the recovery process.¹⁴

¹⁴ DHS/FEMA, Public Assistance: Local, State, Tribal and Non-Profit. <http://www.fema.gov/public-assistance-local-state-tribal-and-non-profit>, January 2013

SECTION TWO

2.1 TRANSITIONING FROM RESPONSE TO RECOVERY

One of the most important components of recovery discussions centers on the transition from response to recovery. Recovery activities are designed to restore the community to "normal" after a major incident, and the process used for facilitating recovery needs to be more flexible, context-based and collaborative in approach than the task-oriented approach used during the response phase of an incident. Recovery processes should also be scalable, flexible and based on demonstrated needs.¹⁵

Recovery activities must start during the response phase and should be well integrated with response mechanisms. Conversely, incident response management processes should be extended into the recovery phase. As recovery progresses, recovery management transitions to regular agency management processes or some intermediate method defined by the responsible organizations.¹⁶

2.2 RELATIONSHIP TO OTHER FEDERAL GUIDANCE

Since disaster recovery is aided through careful planning and steps taken pre-disaster, this resource guide should be used in concert with other Federal policy directives and guidance documents, as well as SLTT preparedness and protection plans, guides or agreements. At the Federal Government level, these documents include the Federal Continuity Directive 1 (FCD-1); Homeland Security Presidential Directive 5: Management of Domestic Incidents (HSPD-5); PPD-21 and PPD-8. Additionally, this guide is designed to work in concert with the five PPD-8 frameworks – in particular: the NDRF, National Response Framework (NRF) and National Mitigation Framework (NMF). This guide is designed to help interpret and/or complement the overall Federal recovery strategy as defined in all of these documents.

2.2.1 Federal Continuity Directive 1

FCD-1 directs the development of continuity plans and programs.¹⁷ While its provisions are only applicable to the Executive Branch, FCD-1 acknowledges the importance of an overarching continuity plan and the importance of recovery as an integral component of the plan. Community considerations recommended by FCD-1 should contain effective continuity of operations planning -- including the development of a business impact analysis, use of mutual-aid agreements and improved intergovernmental and stakeholder coordination.

¹⁵ DHS/FEMA, Infrastructure Systems Recovery Support Function.

http://www.fema.gov/pdf/recoveryframework/infrastructure_system_rsf.pdf, September 2011.

¹⁶ HHS Public Health Emergency, Emergency Management and the Incident Command System.

<http://www.phe.gov/preparedness/planning/mscc/handbook/chapter1/Pages/emergencymanagement.aspx>, February 2012.

¹⁷ DHS/FEMA, Federal Continuity Directive 1 (FCD 1): Federal Executive Branch National Continuity Programs and Requirements. <http://www.fema.gov/media-library-data/1386609058779-b084a7230663249ab1d6da4b6472e691/2012-Federal-Continuity-Directive1.pdf>, October 2012.

2.2.2 Homeland Security Presidential Directive 5 and the National Incident Management System

HSPD-5 directs the establishment of a single, comprehensive National Incident Management System (NIMS). In conjunction with the NRF, the NIMS structure provides a consistent nationwide approach for Federal, State and local governments to work effectively and efficiently together to respond and recover from domestic incidents. The NIMS protocols provide a set of standards for managing domestic incidents to help responders at all levels communicate and coordinate; and promotes interoperability and efficient use of the Federal Government's and SLTT capabilities.¹⁸

2.2.3 Presidential Policy Directive 21

PPD-21 establishes the Federal Government's policy to strengthen and maintain secure, functioning, and resilient critical infrastructure. The goal of PPD-21 is to ensure that the Nation's critical infrastructure systems are secure and able to withstand, and rapidly recover from, an all-hazards threat.

PPD-21 emphasizes resilience as a common theme throughout the National Preparedness Cycle and defines it as:

*"The ability to prepare for and adapt to changing conditions and withstand and recover rapidly from disruptions. Resilience includes the ability to withstand and recover from deliberate attacks, accidents, or naturally occurring threats or incidents."*¹⁹

PPD-21 also recognizes that achieving a level of security and resilience is a responsibility shared among SLTT entities and public/private critical infrastructure owners and operators, and that those efforts require integration with the National Preparedness Goal (NPG) and the National Preparedness System across the mission areas of prevention, protection, mitigation, response and recovery.

2.2.4 Presidential Policy Directive 8: National Preparedness

As the policy directive which directs Federal agencies to improve National preparedness, PPD-8 sets the NPG and provides guidance for achieving preparedness through the NPS. This directive advocates the use of the whole community concept – including all levels of government, individuals and communities, businesses, nonprofit and faith-based organizations.

The NPG is: *"A secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats*

¹⁸ The White House, Homeland Security Presidential Directive 5, Management of Domestic Incidents. <http://www.fas.org/irp/offdocs/nspd/hspd-5.html>, February 2003.

¹⁹ The White House, Presidential Policy Directive 21. <http://www.whitehouse.gov/the-press-office/2013/02/12/presidential-policy-directive-critical-infrastructure-security-and-resil>, February 2013, p. 6.

and hazards that pose the greatest risk.”²⁰ These threats include acts of terrorism, cyber-attacks, pandemics and catastrophic natural disasters.

Further information on the guiding principles set forth in PPD-8 can be found in Appendix B of this document.

2.2.5 National Planning Frameworks

The National Planning Frameworks describe how the whole community works together to achieve the NPG. There is one Framework for each of the five preparedness mission areas addressed in PPD-8:

- National Prevention Framework
- National Protection Framework
- National Mitigation Framework
- National Response Framework (*second edition*)
- National Disaster Recovery Framework

As highlighted by FEMA, “The Frameworks foster a shared understanding of our roles and responsibilities from the fire house to the White House. They help us understand how we, as a nation, coordinate, share information and work together— which ultimately results in a more secure and resilient nation.”²¹

Further information about the National mitigation, response and prevention frameworks can be found in Appendix B of this document. The following sections will focus specifically on the NDRF.

2.2.6 National Disaster Recovery Framework

The NDRF serves as the overarching guide for the recovery mission area and provides direction to enable effective recovery support to disaster-impacted SLTT jurisdictions. The framework allows for a flexible and scalable structure that disaster recovery managers can use to operate in a unified and collaborative manner.

Based on the “whole of community” concept, the NDRF promotes the idea that all emergency management partners - including the private sector, non-profit organizations, faith-based organizations, individual citizens, as well as SLTT and Federal agencies - have a role to play in the recovery process.²²

²⁰ DHS/FEMA, National Preparedness Goal. <http://www.fema.gov/pdf/prepared/npg.pdf>, September 2011.

²¹ DHS/FEMA, About the Frameworks. <https://www.fema.gov/national-planning-frameworks>, February 2014.

²² DHS/FEMA, Citizen Corps Webinar: “Introduction to the NDRF”. <http://www.citizencorps.gov/resources/webinars/ndrf.shtm>, June 2013.

The local government has the primary role of planning and managing all aspects of the community's recovery. Individuals, families and businesses look to local governments to articulate their recovery needs. Tribal governments, as sovereign nations, govern and manage the safety and security of their lands and community members. Since many of the tribal lands span across multiple counties and States, their response and recovery needs present a unique challenge. States lead, manage and drive the overall recovery process and play the central role in coordinating recovery activities that include providing financial and technical support. States oversee regional coordination of recovery, set priorities and are a conduit to local and tribal governments for key Federal recovery assistance programs. While the NDRF speaks to all who are impacted or otherwise involved in disaster recovery, it concentrates on support to individuals and communities.

The NDRF encapsulates the overall recovery principles, roles and responsibilities of recovery coordinators and other stakeholders, coordinating structure that facilitates communication/collaboration among stakeholders, planning guidance for pre- and post-disaster recovery planning and the overall process by which communities can capitalize on opportunities to rebuild stronger, smarter and safer. Combined, these elements improve recovery planning and expedite recovery support of disaster-impacted individuals, families, businesses and communities.

The NDRF also identifies specific recovery leadership positions that help focus efforts on community recovery. These leadership positions are:

- **Federal Disaster Recovery Coordinator (FDRC)**

The FDRC has the role of leading, coordinating and connecting disaster-impacted community needs to Federal and SLTT Governments and non-governmental and private sector resources and activities that are critical to recovery. The FDRC coordinates Federal recovery efforts and works to ensure that Federal agencies are working together in support of SLTT and impacted area needs. The FDRC and the Recovery Support Function (RSF) standard operating procedures provide additional guidance on the roles and responsibilities of the FDRC.

Qualified FDRCs are senior level officials selected based on their knowledge and experience with disaster recovery, mitigation, community development, resiliency planning, public administration concepts and the range of Federal Government programs and interagency processes. They are appointed by FEMA.

- **State or Tribal Disaster Recovery Coordinator (SDRC/TDRC)**

The SDRC and/or TDRC supports the FDRC by establishing the statewide and/or tribal structure for managing recovery and by serving as the primary points of contact between the FDRC and the elements of SLTT government involved in recovery efforts. These individuals are appointed by State governors and Tribal leaders based on experience and skill sets that include a strong basis in community development and good knowledge of the community's demographics.

- **Local Disaster Recovery Manager (LDRM)**

The LDRM advances the recovery process by organizing, managing and coordinating the redevelopment and rebuilding of a community at the local level. As part of their disaster recovery plans, local governments appoint the LDRM to serve as the jurisdiction's primary point of contact with the SDRC and as a liaison between the SDRC and respective chief executives (e.g., mayor).

2.2.6.1 National Disaster Recovery Framework: Recovery Support Functions

Disaster response and recovery personnel have used FEMA's ESF structure, as defined in the NRF, as a coordinating mechanism for Federal response efforts. The ESFs coordinate Federal interagency support for a Federal *response* to an incident. They provide a mechanism for grouping functions most frequently used to provide Federal support to States and Federal-to-Federal support – for both declared disasters and emergencies under the Stafford Act and for non-Stafford Act incidents.²³ The NDRF introduces a similar coordinating structure for Federal *recovery* through the concept of the six RSFs - which replace what was ESF-14: Long Term Community Recovery.

Each of the RSFs has a designated Federal Coordinating Agency that provides leadership, coordination and oversight for that particular RSF. The RSFs are further supported by designated primary agencies (Federal Government agencies closely involved in the function-related communication and coordination needs), as well as supporting organizations with programs relevant to the functional area. Each RSF partners with SLTT governments and private and nonprofit stakeholders that are critical to the disaster recovery efforts. These partnerships may also include public and private organizations that have experience with permanent housing financing, economic development, advocacy for underserved populations and long-term community planning. The RSFs and their designated Federal Coordinating Agencies are:

- **Community Planning and Capacity Building** – *FEMA*
- **Economic** – *Department of Commerce (DOC)*
- **Health and Social Services** – *Department of Health and Human Services (HHS)*
- **Housing** – *Department of Housing and Urban Development (HUD)*
- **Infrastructure Systems** – *U.S. Army Corps of Engineers (USACE)*
- **Natural and Cultural Resources** – *Department of Interior (DOI)*

The RSFs are the primary, but not exclusive, Federal coordinating mechanisms for building, sustaining and delivering the recovery core capabilities. The RSFs are not based on the capabilities of a single department or agency, but rather represent groups of organizations that work together to implement and support an effective recovery process. The NDRF describes the

²³ DHS/FEMA Emergency Support Function Annexes: Introduction. <http://www.fema.gov/pdf/emergency/nrf/nrf-esf-intro.pdf>, January 2008.

relationship between RSF's and the overall recovery organization as, "RSFs provide the structure, while the leadership is provided by the FDRC, SDRC/TDRC and LDRM."²⁴

Figure 1 below shows the relationships between the various roles in the RSF management structure:

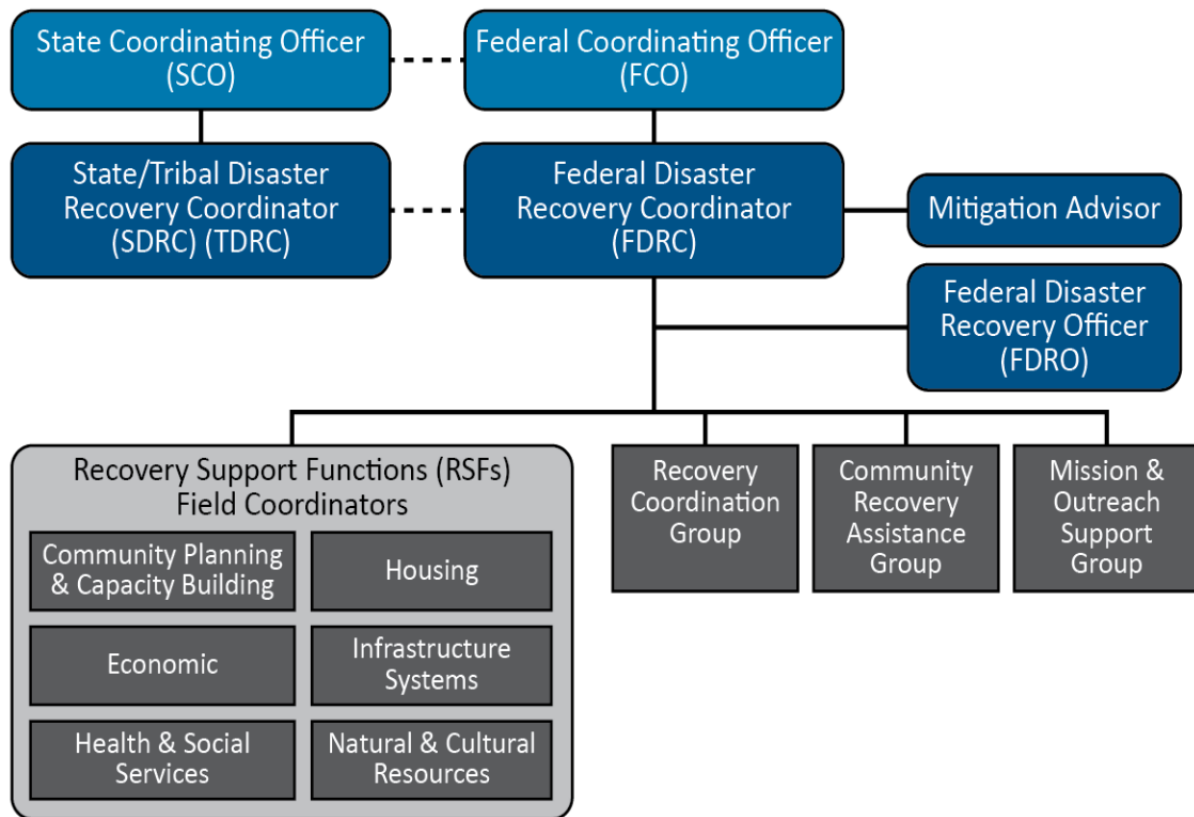


Figure 1: Relationship of Roles in the RSF Management Structure²⁵

2.2.6.2 National Disaster Recovery Framework: Infrastructure Systems Recovery Support Function

Among the RSFs, transportation recovery efforts are guided by the Infrastructure Systems Recovery Support Function (IS-RSF). The mission of the IS-RSF is to facilitate the integration of the capabilities of the Federal Government to support SLTT governments and infrastructure owners and operators in achieving recovery goals related to the public engineering of the nation's infrastructure systems.²⁶ Within the IS-RSF structure, DOT is a primary agency, supporting USACE.

²⁴ DHS/FEMA. National Disaster Recovery Framework. http://www.fema.gov/media-library-data/20130726-1820-25045-5325/508_ndrf.pdf, September 2011.

²⁵ Ibid

²⁶ DHS/FEMA, Infrastructure Systems RSF. http://www.fema.gov/pdf/recoveryframework/infrastructure_system_rsf.pdf, September 2011.

2.2.7 Department of Transportation Roles in Emergency Support Function #1 and the Infrastructure Systems – Recovery Support Function

The DOT assists other Federal agencies, SLTT governments and private sector stakeholders in the management of transportation systems and infrastructure during domestic threats or in response to incidents. The DOT is the primary agency for ESF-1, and the department is also one of four primary agencies (supporting USACE) in the IS-RSF structure. It is important to understand the difference in terminology between ESF and RSF structures – while DOT has a role as a primary agency in both, the role requires different things. As primary agency for ESF-1, the DOT serves as the central coordinating agency. As a primary agency under the IS-RSF, DOT has a responsibility to support communication and coordination needs relative to the overall mission of the IS-RSF.

Figure 2 below depicts the general organization of ESF-1 and the IS-RSF.

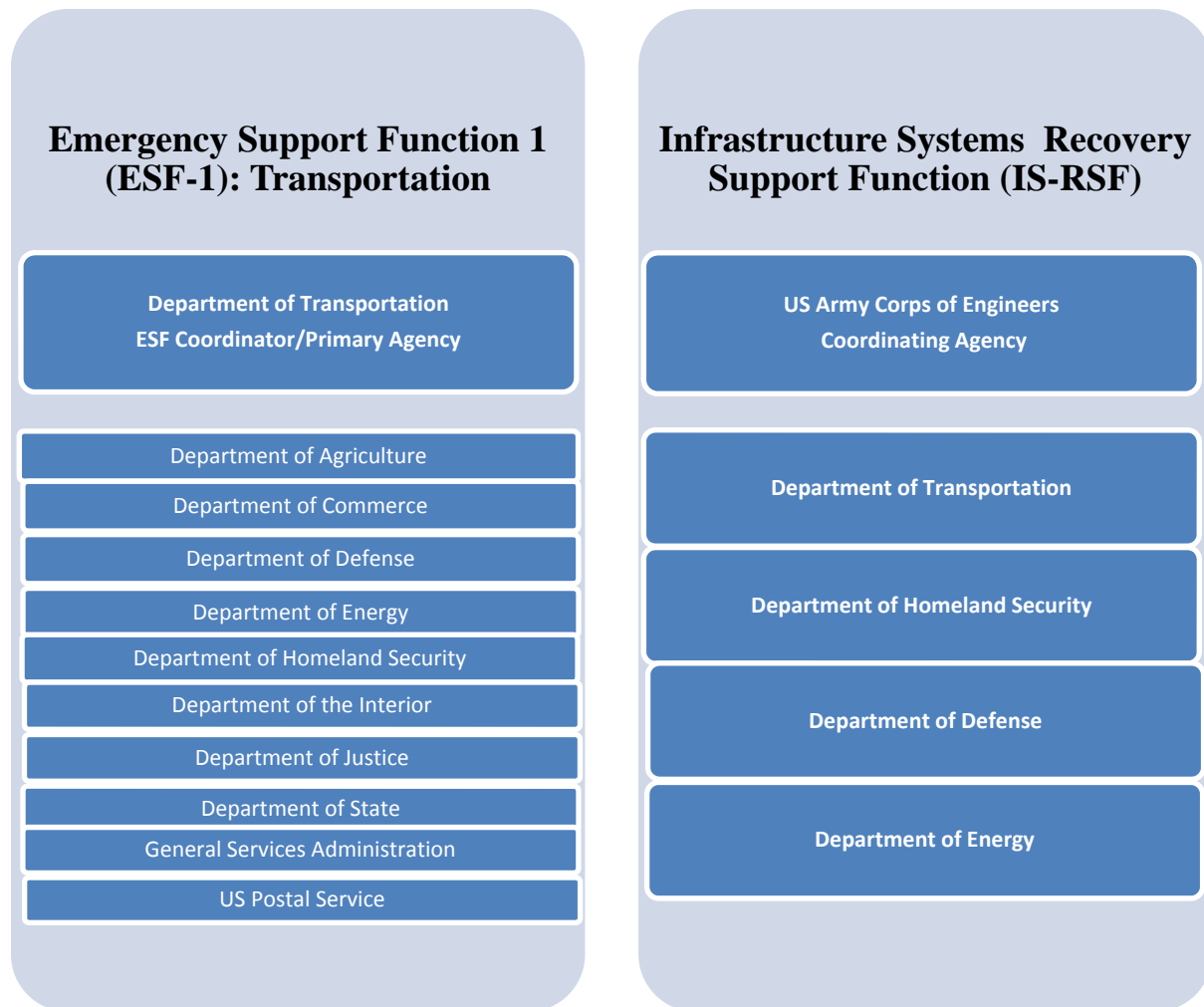


Figure 2: Organization of ESF-1 and the IS-RSF

2.2.8 Department of Transportation Roles in other Recovery Support Functions

In addition to DOT's role as a primary agency under the IS-RSF, DOT has a role in both the Community Planning and Capacity Building, and the Health and Social Services RSFs.

Community Planning and Capacity Building RSF

- **Coordinating Agency:** FEMA
- **Primary Agencies:** FEMA and HHS
- **Supporting Organizations:** DOT, DHS, DOC, DOI, HUD, Department of Justice (DOJ), Environmental Protection Agency (EPA), General Services Administration, Small Business Administration (SBA), Department of Agriculture (USDA), Department of Treasury and the Corporation for National and Community Service (CNCS)
- **Mission:** Supporting and building recovery capacities and community planning resources of SLTT governments needed to effectively plan for, manage and implement disaster recovery activities in large, unique or catastrophic incidents.²⁷

Health and Social Services RSF

- **Coordinating Agency:** HHS
- **Primary Agencies:** DHS/FEMA, DOI, DOJ, EPA, CNCS, Department of Labor, Department of Education, Department of Veterans Affairs
- **Supporting Organizations:** DOT, SBA, USDA, Department of Treasury, American Red Cross and the National Voluntary Organizations Active in Disaster
- **Mission:** Assist locally-led recovery efforts in the restoration of the public health, health care and social services networks to promote the resilience, health and well-being of affected individuals and communities.²⁸

²⁷ DHS/FEMA, Community Planning and Capacity Building Recovery Support Function. http://www.fema.gov/pdf/recoveryframework/community_planning_capacity_building_rsf.pdf, September 2011.

²⁸ DHS/FEMA, Health and Social Services Recovery Support Function. http://www.fema.gov/pdf/recoveryframework/health_social_services_rsf.pdf, September 2011.

2.3 CONCLUSION

The information presented here is intended to provide a better understanding of the various roles, relationships and resources available for transportation disaster recovery, and describe the importance of recovery in the overall National preparedness cycle. As the practical understanding and use of the NDRF evolves, the methods and means of conducting recovery operations are also likely to evolve. This guide will be updated periodically to reflect subsequent updates in recovery roles and responsibilities.

APPENDICES

APPENDIX A: ONLINE RESOURCE GUIDE

This list of online resources and documents described throughout this document is provided for reference.

Department of Transportation (DOT) - www.dot.gov

DOT/MAP-21 - <http://www.dot.gov/map21>

Federal Emergency Management Agency (FEMA) - www.fema.gov

FEMA - Public Assistance Grant Program - <http://www.fema.gov/public-assistance-local-state-tribal-and-non-profit>

FEMA - Lessons in Community Recovery: Seven Years of ESF-14 (Long-Term Community Recovery) from 2004-2011 - <http://www.fema.gov/lessons-community-recovery-seven-years-emergency-support-function-14-long-term-community-recovery>

Federal Highway Administration (FHWA) – Emergency Relief Manual, May 2013 - <http://www.fhwa.dot.gov/reports/erm/er.pdf>

FHWA – Process for Quick Release of Emergency Relief Funds, October 2013 - <http://www.fhwa.dot.gov/specialfunding/er/131002.cfm>

FHWA – Emergency Relief for Federally Owned Road Disaster Assistance Manual, November 2011 - <http://flh.fhwa.dot.gov/resources/manuals/erfo/documents/erfo-2011.pdf>

Federal Transit Administration (FTA) Disaster Recovery Resource Guide - http://www.fta.dot.gov/documents/FTA_Response_Recovery_Declared_Emergencies_Disasters.pdf

FTA - Hurricane Sandy Disaster Aid - <http://www.fta.dot.gov/about/15138.html>

FTA - Overview of the Moving Ahead for Progress in the 21st Century (MAP-21) Public Transportation Emergency Relief Program - http://www.fta.dot.gov/documents/MAP-21_Fact_Sheet_Public_Transportation_Emergency_Relief_Program.pdf

FTA – Transit Cooperative Research Program (TCRP) Report 86: Public Transportation Security and National Cooperative Highway Research Program (NCHRP) Report 525: Transportation Security Volume 8: Continuity of Operations (COOP) Planning Guidelines for Transportation Agencies - http://bussafety.fta.dot.gov/show_resource.php?id=2987

NCHRP Report 753: A Pre-Event Recovery Planning Guide for Transportation - http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_rpt_753.pdf

National Academies: Building Community Disaster Resilience through Public-Private Collaboration: ISBN# 978-0-309-16263-0 - <http://www.nap.edu/catalog/13028.html>

National Preparedness System - http://www.fema.gov/pdf/prepared/nps_description.pdf

National Incident Management System - <http://www.fema.gov/national-incident-management-system>

National Planning Framework - <https://www.fema.gov/national-planning-frameworks>

National Preparedness Goal - <http://www.fema.gov/pdf/prepared/npg.pdf>

National Disaster Recovery Framework - <http://www.fema.gov/national-disaster-recovery-framework>

National Mitigation Framework - <http://www.fema.gov/national-mitigation-framework>

National Response Framework – <http://www.fema.gov/national-response-framework>

National Prevention Framework - <http://www.fema.gov/national-prevention-framework>

Overview of Stafford Act Support to States - <http://www.fema.gov/pdf/emergency/nrf/nrf-stafford.pdf>

Homeland Security Presidential Directive 5 - <http://www.fas.org/irp/offdocs/nspd/hspd-5.html>

Presidential Policy Directive 8 - <http://www.dhs.gov/xlibrary/assets/presidential-policy-directive-8-national-preparedness.pdf>

Presidential Policy Directive 21 - <http://www.whitehouse.gov/the-press-office/2013/02/12/presidential-policy-directive-critical-infrastructure-security-and-resil>

Federal Continuity Directive 1 - <http://www.fema.gov/pdf/about/offices/fcd1.pdf>

Federal Interagency Operational Plan - Recovery -

https://www.avma.org/Advocacy/National/Federal/Documents/ndrf_iop_rsf_annexes_draft5B15D.pdf

APPENDIX B: Presidential Policy Directive 8 and the National Preparedness Goal

PPD-8 is aimed at strengthening the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation, including acts of terrorism, cyber-attacks, pandemics, and catastrophic natural disasters. Our National preparedness is the shared responsibility of all levels of government, the private and nonprofit sectors, and individual citizens. Everyone can contribute to safeguarding the Nation from harm. As such, while PPD-8 is intended to galvanize action by the Federal Government, it is also aimed at facilitating an integrated, all-of-Nation, capabilities-based approach to preparedness.

Recognizing that preparedness is a shared responsibility, PPD-8 was signed by the President on March 30, 2011. At its core, PPD-8 requires the involvement of everyone—not just the government—in a systematic effort to keep the Nation safe from harm and resilient when struck by hazards, such as natural disasters, acts of terrorism and pandemics.

This policy directive calls on Federal departments and agencies to work with the whole community to develop a national preparedness goal and a series of frameworks and plans related to reaching the goal. PPD-8 is organized around six elements.

- The National Preparedness Goal (NPG) states the ends we wish to achieve.
- The National Preparedness System (NPS) describes the means to achieve the goal.
- The National Planning Frameworks (NPF) and Federal Interagency Operational Plans (FIOP) explain the delivery and how we use what we build.
- An annual National Preparedness Report (NPR) documents the progress made toward achieving the goal.
- An ongoing national effort to build and sustain preparedness helps us maintain momentum.

B.1.1. National Preparedness Goal Mission Areas and Core Capabilities

The NPG is informed by the risk of specific threats and vulnerabilities; taking into account regional variations and includes concrete, measurable, and prioritized objectives to mitigate that risk. The NPG defines 31 core capabilities necessary to prepare for the specific types of incidents that pose the greatest risk to the security of the Nation, and emphasizes actions aimed at achieving an integrated, layered, and all-of-Nation preparedness approach that optimizes the use of available resources.

The NPG organizes the core capabilities into five mission areas:

- **Prevention** - Prevent, avoid or stop an imminent, threatened or actual act of terrorism.
- **Protection** - Protect our citizens, residents, visitors, and assets against the greatest threats and hazards in a manner that allows our interests, aspirations, and way of life to thrive.

- **Mitigation** - Reduce the loss of life and property by lessening the impact of future disasters.
- **Response** - Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident.
- **Recovery** - Recover through a focus on the timely restoration, strengthening and revitalization of infrastructure, housing and a sustainable economy, as well as the health, social, cultural, historic and environmental fabric of communities affected by a catastrophic incident.

Core capabilities are the distinct, critical elements necessary to achieve the NPG, and are distributed among the five mission areas. Each of these core capabilities is tied to a capability target. These targets recognize that everyone needs the flexibility to determine how they apply their resources, based on the threats that are most relevant to them and their communities.

A Midwestern city, for example, may determine that it is at a high risk for a catastrophic tornado. As a result, the city could set a target to have a certain number of shelters in place. The same applies across all potential risks, understanding that each risk is different; therefore, each target is different.

B.1.2. Recovery Mission Area Core Capabilities

The following section will focus on the eight core capabilities associated with the recovery mission area (see Figure 3 on page 21). Of the 31 core capabilities, eight are relevant to the recovery mission area. These eight core capabilities are:

The universal core capabilities (capabilities that are common across the five mission areas):

- **Planning** - a systematic process to engage the whole community, as appropriate, to develop executable strategic, operational and/or community-based approaches to meet defined objectives.
- **Public Information and Warning** – activities that provide coordinated, prompt, reliable and actionable information to the whole community through the use of clear, consistent, accessible and culturally or linguistically appropriate methods. The aim is to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance made available.
- **Operational Coordination (Leadership)** – an organization that provides a unified, coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.

The core capabilities specific to the recovery mission area are :

- **Economic Recovery** – efforts aimed at returning economic and business activities (including food and agriculture) to a healthy, sustainable and economically viable state.

- **Health and Social Services** – activities aimed at restoring and improving health and social service networks to promote the resilience, independence, health (including behavioral health) and well-being of the whole community.
- **Housing** – implementation of housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.
- **Infrastructure Systems** – activities that stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable and resilient community.
- **Natural and Cultural Resources** – activities aimed at protecting, restoring and conserving natural, cultural and historic resources and properties through appropriate planning, mitigation, response and recovery actions. These activities shall be consistent with post-disaster community priorities and effective practices and must be in compliance with appropriate environmental and historical preservation laws and executive orders.²⁹

²⁹ DHS/FEMA, Presidential Policy Directive 8: National Preparedness. <http://www.dhs.gov/presidential-policy-directive-8-national-preparedness>, March 30, 2011.

Prevention	Protection	Mitigation	Response	Recovery
Planning				
Public Information and Warning				
Operational Coordination				
Forensics and Attribution Intelligence and Information Sharing Interdiction and Disruption Screening, Search, and Detection	Access Control and Identity Verification Cybersecurity Intelligence and Information Sharing Interdiction and Disruption Physical Protective Measures Risk Management for Protection Programs and Activities Screening, Search, and Detection Supply Chain Integrity and Security	Community Resilience Long-term Vulnerability Reduction Risk and Disaster Resilience Assessment Threats and Hazard Identification	Critical Transportation Environmental Response/Health and Safety Fatality Management Services Infrastructure Systems Mass Care Services Mass Search and Rescue Operations On-scene Security and Protection Operational Communications Public and Private Services and Resources Public Health and Medical Services Situational Assessment	* Economic Recovery * Health and Social Services * Housing * Infrastructure Systems * Natural and Cultural Resources

Figure 3: 2011 National Preparedness Goal - Core Capabilities by Mission Area³⁰

B.1.3. Recovery Mission Area and its Relationship to other Presidential Policy Directive 8 Mission Areas

The mitigation, response and recovery mission areas all share a focus on overall resilience and sustainability. While mitigation is a unique mission area, it is also an inherent consideration in all of the mission areas and should be seen as a common thread to promote overall resilience.

Transportation stakeholders should consider ways to promote increased resilience of their systems long before an event or incident occurs. Stakeholders should plan and incorporate various mitigation and resilience measures early in the pre-disaster planning

³⁰ DHS/FEMA, National Preparedness Goal. <http://www.fema.gov/pdf/prepared/npg.pdf>, September 2011.

process – i.e., the design, construction and recovery phases of planning. These steps, taken long before a disaster occurs, greatly enhance response and recovery efforts following an incident.

The central relationship of recovery to the other PPD-8 mission areas is depicted in Figure 4 below.

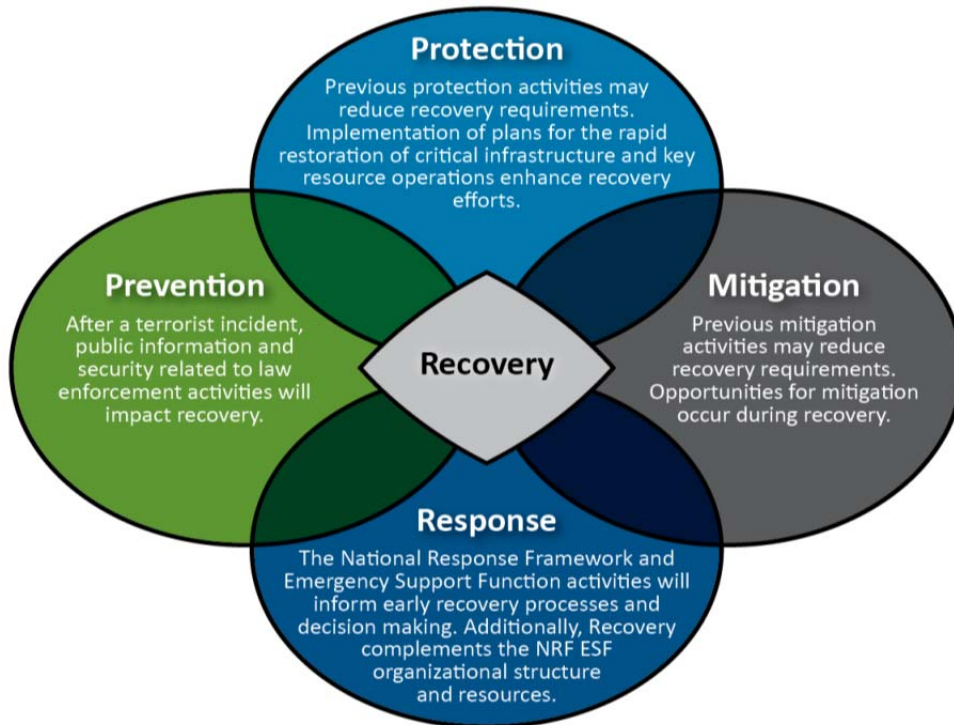


Figure 4: The Five Mission Areas of Presidential Policy Directive 8³¹

B.1.4. The National Planning Frameworks

As discussed in Section 2.2.5., the National Planning Frameworks follow the whole community approach to preparedness, which recognizes that everyone can contribute to and benefit from National preparedness efforts. This includes individuals and families (including those with disabilities and others with access and functional needs), businesses, community and faith-based groups, nonprofit organizations and all levels of government.

Each framework explains the purpose of the document and includes the guiding principles and scope of the mission area. Each framework also summarizes roles and responsibilities; defines core capabilities and coordinating structures; provides examples of critical tasks and describes relationships to other mission areas. Additionally, each Framework provides relevant information that SLTT governments can use to develop and revise their operational plans. As the mitigation, response and prevention frameworks are closely linked with the NDRF, the following sections will provide amplifying information on these documents.

³¹ DHS/FEMA, Presidential Policy Directive 8: National Preparedness. <http://www.dhs.gov/presidential-policy-directive-8-national-preparedness>, March 30, 2011.

B.1.5. The National Mitigation Framework

Mitigation is defined by PPD-8 as capabilities which lessen the impact of disasters and are critical efforts throughout the National preparedness cycle. Integrating mitigation actions into pre- and post-disaster recovery plans provides systematic and effective risk management strategies which enable an efficient recovery process. The NMF, released in May 2013,³² sets the strategy and doctrine for building, sustaining and delivering the core mitigation capabilities. The NMF addresses how to develop, coordinate and implement these mitigation capabilities to reduce loss of life and property and to lessen the overall impacts of disasters.

During the recovery process, actions can be taken to consider or address the resilience of the transportation infrastructure. Lessons learned during the recovery process also inform future mitigation actions. The planning and linking of recovery and mitigation actions help break the cycle of damage-repair-damage resulting from recovery efforts which rely exclusively on building back to the pre-existing state. Mitigation considerations during the recovery phase helps strengthen and build a more resilient community able to withstand future disasters.

Figure 5 below shows the various types of mitigation strategies described in the NMF for each of the RSFs. As shown for the IS-RSF, transportation stakeholders should consider strategies which provide and strengthen essential infrastructure and services, including transportation infrastructure and modes, to reduce vulnerability and increase resilience.



Figure 5: Mitigation Strategies in the National Mitigation Framework³³

³² DHS/FEMA, National Mitigation Framework. <http://www.fema.gov/national-mitigation-framework>, May 2013.

³³ Ibid.

B.1.6. National Response Framework

As recovery and response are interrelated, it is important to understand the role of the NRF in recovery. The NRF provides guidance on how the nation conducts an all-hazards response by aligning key roles and responsibilities at all levels of government, private industry, and nongovernmental organizations, into a comprehensive, scalable and coordinated national response.³⁴ When an incident is so large that it exceeds the ability of SLTT governments to respond effectively, the Federal Government uses the NRF to organize Federal assistance.

Together with the NDRF, the NRF establishes an operational structure that provides a common planning and coordinating framework for response and recovery, respectively. This operational structure is embodied by the 14 ESFs tasked to coordinate Federal interagency support to SLTT and Federal-to-Federal support for declared disasters and emergencies under the Stafford Act and for non-Stafford Act incidents.

The ESFs maintain their prominence in the updated 2013 version of the NRF, as they are a proven and effective way to bundle and manage resources. The updated NRF identifies ESFs as the primary Federal coordinating structures for delivering response core capabilities (in contrast with the 2008 NRF, which included ESFs but did not formally recognize them as coordinating structures). Other changes in the updated NRF are:

- A modified structure that is consistent with other National planning frameworks.
- Incorporates the “whole community” term and concept. The concept is consistent with 2008 NRF but was not called “whole community” until the revision.
- Recognizes families, individuals and households as a main component of the whole community. The framework has a section to describe their roles and responsibilities and incorporates related activities and coordinating structures.
- Features the core capabilities aligned to the response mission area and provides definitions, critical tasks and examples of organizations that deliver each capability.
- Removed the planning chapter from the existing NRF, as it will have a more appropriate home in the new response FIOP. The revised NRF briefly discusses planning and refers to the FIOP.
- Removed the recovery section, as the content now resides in the NDRF, released in 2011.
- Removed the descriptions of positions and responsibilities at the field support structure level, as they are covered in the response FIOP.
- Places greater emphasis on the role of Federal agencies in non-Stafford Act incidents.

³⁴ DHS/FEMA, National Response Framework. <http://www.fema.gov/national-response-framework>, February 2014.

B.1.7. National Prevention Framework

While “prevention” may be a common term, it has specific meaning in the context of the National planning frameworks and the NPG. The National prevention framework covers the capabilities necessary to avoid, prevent or stop a threatened or actual act of terrorism.

Though the other frameworks focus on all hazards, including natural disasters, the prevention framework focuses solely on terrorist activities, and specifically on imminent acts of terrorism on U.S. soil. The prevention framework describes what the whole community - from community members to senior leaders in government - should do upon the discovery of intelligence or information regarding an imminent threat to the homeland in order to thwart an initial or follow-on terrorist attack. It does this by:

- Describing the core capabilities needed to prevent an imminent act of terrorism;
- Aligning key roles and responsibilities to deliver prevention capabilities in time-sensitive situations;
- Describing coordinating structures that enable all stakeholders to work together; and by
- Laying the foundation for further operational coordination and planning that will synchronize prevention efforts within the whole community and across the protection, mitigation, response, and recovery mission areas.

The prevention framework helps achieve the NPG of a secure and resilient Nation that is optimally prepared to prevent an imminent terrorist attack within the United States. The processes and policies described in this document will be conducted in accordance with existing laws and regulations.³⁵

³⁵ DHS/FEMA, National Prevention Framework.
<http://www.fema.gov/media-library/assets/documents/32196?id=7358>, May 2013.