

IX. SECURITY, PREPAREDNESS, AND OTHER SUPPORTING OBJECTIVES

CHALLENGES AND STRATEGIES

In this second edition of *Transportation for a New Generation*, we include three important strategic objectives that will be achieved through Departmental activities that support Federal government-wide goals. The three objectives represent the Departmental role in emergency preparedness, national security, and small business assistance. As they are more cross-cutting and do not support any one strategic goal, they are designated as non-aligned objectives. This does not diminish their importance to the Nation or within the Department. Our strategic objectives are presented below:

FY 2014-2018 STRATEGIC OBJECTIVES

- ❖ Mitigate the impacts to transportation due to all hazards by developing effective response planning and training for leaders and responders (OS1).
- ❖ Meet transportation needs for national security through interagency cooperation with the Departments of Defense, State, Homeland Security, and State and local agencies (OS2).
- ❖ Expand opportunities for small and disadvantaged businesses in the transportation sector (OS3).

The challenges and strategies associated with each are addressed in the following paragraphs.

STRATEGIES FOR ENABLING EMERGENCY PREPAREDNESS

Preparedness is the key to carrying out our responsibilities. Preparedness is the process of identifying the personnel, training, and equipment needed for a wide range of potential incidents, and developing disaster-specific plans for delivering capabilities when needed for an incident. This involves a combination of planning, resources, training, exercising, and organizing to build, sustain, and improve operational capabilities.

We proactively prepare to use our internal authorities for the safety and resilience of the U.S. transportation systems including air cargo, passenger aviation, rail, transit, highways, maritime, and pipeline modes; and to support the transportation mission of the Department of Homeland Security (DHS) and other federal departments and agencies to improve the security of domestic and intermodal transportation.¹¹⁵ We collaborate with DHS to strengthen the transportation network and effectively mitigate risk through an integrated systems approach. We also support the U.S. Department of State and U.S. Agency for International Development in preparedness and response to international incidents impacting transportation.

Under the provisions of multiple Executive Orders and Presidential policy directives, DOT is responsible for coordinating civil transportation during all hazards. In 2008, DHS released the National Response Framework, a guide to how the Nation conducts all-hazards response. It is designed to capture specific authorities and best practices

agencies should follow to manage incidents that range from the serious but purely local, to catastrophic natural or manmade disasters.¹¹⁶

During a response, trained DOT staff work to respond to incidents at various locations including the National Response Coordination Center, Regional Response Coordination Centers, and Joint Field Offices. Along with staff from other supporting agencies, we provide assistance in domestic incident management to regulate transportation, manage the Nation's airspace, and ensure the safety and security of the national transportation systems. The responsibilities include to:

- ❖ Monitor and report the status of, and damage to, the transportation system and infrastructure as a result of an incident;
- ❖ Identify temporary alternative transportation solutions that can be implemented by others when systems or infrastructure are damaged, unavailable, or overwhelmed;
- ❖ Perform activities conducted under DOT statutory authority to support aviation, maritime, surface, railroad, and pipeline transportation; and
- ❖ Coordinate the prevention, preparedness, response, restoration and recovery of the transportation systems and infrastructure.

We also help the Nation recover from emergencies by ensuring the availability of transportation services after natural disasters. The FHWA and FTA have authority to provide funding for the recovery of transportation systems. For example, in the aftermath of Superstorm Sandy, FTA provided \$2 billion to more than a dozen transit agencies and laid the groundwork to continue helping them rebuild stronger than before.¹¹⁷

Our strategies and competencies for emergency management include:

- Enhance a security preparedness policy to ensure personnel and facility safety, security and preparedness, so that we can mitigate the consequences of transportation sector emergencies;
- Ensure continuity of operations by maintaining emergency preparedness and response capabilities to effectively provide leadership and response to incidents to fulfill our commitments under Presidential Directives, Departmental Orders and the National Response Framework;
- Coordinate with FEMA, the U.S. State Department, Department of Defense (DOD), and other federal agencies to provide security and emergency management training, including technical assistance and information sharing to transit agencies;
- Collaborate with DHS to ensure that the design and refurbishment of transportation infrastructure includes consideration of built-in protection and security measures;
- Provide guidance and technical assistance to localities, State DOTs and their first response partners to improve their ability to conduct emergency response;
- Improve aviation command, control and communications for service 24 hours a day and 7 days a week; during emergency operations strengthen operational

- coordination, communication, and command and control capabilities needed to prepare for, respond to, and recover from crises; and
- Improve the security of data and information using advanced cyber defense strategies;
 - Assist in timely, relevant, expert intelligence analysis that focuses on preparedness efforts, supports operational response; and international programs, and fulfills technical requests from the intelligence, defense, and law enforcement communities;
 - Document and report on suspicious activity that may be indicative of intelligence gathering or pre-operational planning related to terrorist, counterintelligence, criminal, or other illicit intention;
 - Issue advisory messages as necessary to Federal, State, local, Tribal, and foreign governments, as well as the private sector, that provide immediate or urgent information on time-sensitive threats or situations that may affect local security environments and may require response;
 - Implement the Controlled Unclassified Information Framework and monitor compliance with policy, standards, and markings;
 - Coordinate with DHS to ensure that U.S. transportation assets are employed to maximum effectiveness during emergencies;
 - Coordinate procedures through interagency agreements to safely and efficiently enable operation of needed emergency transportation resources;
 - Maintain emergency response and continuity capabilities and provide immediate financial assistance to air carriers in the DOT Aviation War Risk Insurance Program for aircraft incidents involving acts of terrorism, war, and other perils;
 - Fulfill DOT commitments to international partners and agreements including the Asia-Pacific Economic Cooperation forum and the North Atlantic Treaty Organization;
 - Coordinate with the Department of State on preparedness and response measures within DOT authorities; and
 - Develop and fulfill bilateral emergency preparedness cooperative arrangements with other nations including Canada and China to improved transportation disaster preparedness in both countries.

STRATEGIES FOR NATIONAL SECURITY

DOT has responsibility for a number of modal emergency preparedness programs that provide the DOD and civilian agencies with assured access to commercial transportation during times of national emergency. One of our competencies is to maintain reserve sealift capacity in support of national defense. We maintain government-owned ships in the Ready Reserve Force (RRF), which is a part of the National Defense Reserve Force (NDRF). The RRF is comprised of 46 vessels that provide surge sealift capacity for DOD deployments and other emergencies. These RRF

vessels are operated and maintained according to strict DOD readiness timelines, employing the expertise of commercial ship management companies and civilian crews to be mission ready within five days of activation. In response to Superstorm Sandy in late 2012, MARAD activated one RRF vessel and two NDRF training vessels to provide berthing and meals to for Federal-relief workers in the New York City area.

Our strategies for ensuring defense mobility include:

- Maintain government-owned transportation assets, and provide access to commercial transportation assets for critical support for defense mobility and emergency response;
- Maintain steadfast defense readiness across all operating administrations in their respective national security responsibilities through interagency cooperation and drills with the DOD, DHS and other Federal, State, and local agencies.
- Coordinate with DOD to designate and maintain the STRAHNET and the Strategic Rail Corridor Network (STRACNET); ¹¹⁸ and
- Support DOD Civil Reserve Air Fleet operations needed to augment airlift requirements during times of crisis and protect national security interest of the U.S. air carrier industry.

STRATEGIES TO EXPAND OPPORTUNITIES FOR SMALL AND DISADVANTAGED BUSINESSES IN THE TRANSPORTATION SECTOR

The federal government provides opportunities through its acquisitions to small businesses, which include small disadvantaged, women-owned, veteran-owned, service-disabled veteran-owned, and Historically Underutilized Business Zone small business concerns. These small businesses must also have the maximum practicable opportunity to participate in DOT contracts and subcontracts. In compliance with the *Small Business Act*, we have the responsibility to ensure that small businesses have an opportunity to compete and be selected for a fair amount of the Agency's contract dollars. We provide various types of assistance to ensure that small businesses have access to transportation-related projects. Through outreach events, we demonstrate a commitment to growing the small business supplier base and increasing their awareness of procurement opportunities. To expand these opportunities, we will continue to:

- Participate in small business outreach events to include vendor outreach sessions to encourage small business participation in DOT procurements;
- Provide management and technical assistance for small businesses to work closely with state and local transportation agencies;
- Help small businesses gain the financing they need to participate in transportation-related contracts;
- Conduct bonding educational programs to help small businesses become bond ready;
- Increase awareness and participation in all stages of the DOT Small Business Innovation Research program;

- Implement a Final Rule that seeks improvements to the implementation of existing Disadvantaged Business Enterprise (DBE) regulations;¹¹⁹
- Develop regional certification program or reciprocity agreements with DOT recipients to assist small, women-owned, and minority-owned businesses to more easily become certified and possibly obtain federally-assisted highway, transit, and airport contracts for which they are eligible; and
- Increase compliance with *Buy America* and enhance the ability of the domestic manufacturers and suppliers to meet content requirements.

STRATEGIC OBJECTIVES, PERFORMANCE GOALS, AND INDICATORS

We will monitor our progress in achieving the Non-Aligned Strategic Objectives using the Performance Goals and Indicators in Table K.

Table K. Performance Goals, Indicators, and Lead by Supporting Strategic Objective.

Performance Goal	Performance Indicator(s)	Lead Office
Strategic Objective: Mitigate the impacts to efficient transportation due to emergencies by developing effective response planning and training for leaders and responders (OS1).		
DOT staff supporting emergency relief operations meets minimum training standards established by DOT and FEMA by 2015.	TBD	OST/All
Strategic Objective: Meet transportation needs for defense readiness through interagency cooperation with the Departments of Defense, State, Homeland Security, and State and local agencies (OS2).		
Comply with all national security-related interagency agreements.	TBD	OST/ALL
Strategic Objective: Expand opportunities for small and disadvantaged businesses in the transportation sector (OS3).		
Maintain the percent of total dollar value of DOT direct contracts awarded to women-owned businesses at 5 percent through FY 2018.	Percent of total dollar value of DOT direct contracts awarded to women-owned businesses	OST/ALL
Maintain percent of total dollar value of DOT direct contracts awarded to small disadvantaged businesses at 5 percent through FY 2018.	Percent of total dollar value of DOT direct contracts awarded to small disadvantaged businesses	OST/ALL