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COMDTINST 16000.28A
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COMMANDANT INSTRUCTION 16000.28A

Subj: MARINE TRANSPORTATION SYSTEM RECOVERY PLANNING AND OPERATIONS

- Ref:
- (a) [An Assessment of the U.S. Marine Transportation System: A Report to Congress \(DOT, 1999\)](#)
 - (b) Maritime Recovery and Restoration Task Force Final Report, April 27, 2006
 - (c) [U.S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17 \(Series\)](#)
 - (d) [Maritime Transportation Security Act of 2002 \(MTSA\)](#)
 - (e) [Area Maritime Security Plan and Area Maritime Security Assessment Development and Maintenance Process, COMDTINST 16601.28 \(Series\)](#)
 - (f) [Security and Accountability of Every Port Act of 2006 \(SAFE Port Act\)](#)
 - (g) [Guidelines for the Area Maritime Security Committees and Area Maritime Security Plans Required for U.S. Ports , COMDTPUB P16700.4, Navigation and Vessel Inspection Circular \(NVIC\) 09-02 \(Series\)](#)
 - (h) [Customs and Border Protection and U.S. Coast Guard \(CBP/USCG\) Joint Protocols for the Expedient Recovery of Trade](#)
 - (i) [U.S. Coast Guard Strategy for Maritime Safety, Security and Stewardship, January 19, 2007](#)
 - (j) United States – Canada Beyond the Border: A Shared Vision for Perimeter Security and Economic Competitiveness, December 2011 [United States – Canada Beyond the Border Action Plan](#)
 - (k) [National Strategy for Global Supply Chain Security, January 2012](#)
 - (l) [Maritime Infrastructure Recovery Plan \(MIRP\)](#)
 - (m) [DHS Strategy to Enhance International Supply Chain Security, July 2007](#)
 - (n) [National Disaster Recovery Framework \(NDRF\), 2011](#)
 - (o) Common Assessment and Reporting Tool (CART) 2.0 User Manual [CART](#)

1. **PURPOSE.** This Commandant Instruction updates Coast Guard policy concerning Marine Transportation System (MTS) recovery planning and operations following a significant

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NON-STANDARD DISTRIBUTION:

transportation disruption. It reflects current Coast Guard organization, incorporates lessons learned from Hurricane Sandy and other events, and includes the use of new information technology and other tools to support MTS planning and operations. It also supports the National Infrastructure Protection Plan 2013 and implements the Maritime Infrastructure Protection Plan for the Coast Guard.

2. **ACTION.** Area, District and Sector Commanders, Marine Safety Unit Commanding Officers, Force Readiness Command, Commanding Officers of Headquarters Units, Assistant Commandants for directorates, Judge Advocate General and special staff elements at Headquarters shall ensure the provisions of this Commandant Instruction are implemented. Internet release is authorized.
3. **DIRECTIVES AFFECTED.** Recovery of the Marine Transportation System for Resumption of Commerce, COMDTINST 16000.28 is cancelled.
4. **DISCUSSION.**
 - a. MTS disruptions may include Transportation Security Incidents (TSI), natural disasters, marine casualties, and other accidents. This instruction applies to Coast Guard MTS recovery planning and operations related to all such events.
 - b. The Coast Guard's role in MTS recovery is defined in ref (a), [An Assessment of the U.S. Marine Transportation System: A Report to Congress \(DOT, 1999\)](#), as follows:
 - (1) facilitate system stabilization and short-term recovery during the response phase of incident management (notionally less than 90 days),
 - (2) assist in the transition from short-term recovery to long-term recovery efforts performed by others, and
 - (3) support long-term recovery through steady-state activities, and maintain domestic maritime commerce and global supply chain security,
 - c. Ref (b) from Hurricane Katrina establishes the Coast Guard as the leader for MTS recovery during a TSI and any other incident that significantly impacts the MTS. Ref (b) recognized that Coast Guard Captains of the Port serving as Federal Maritime Security Coordinators and Federal on Scene Coordinators are uniquely positioned to coordinate short-term MTS recovery activities.
 - d. Ref (c), [U.S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17 \(Series\)](#), includes practical guidance on MTS Recovery, including the structure and responsibility for Marine Transportation System Recovery Units (MTSRU).
 - e. Area Maritime Security (AMS) Plans must include procedures to facilitate the recovery of the MTS following a transportation disruption per ref (d) [Maritime Transportation Security Act of 2002 \(MTSA\)](#) and ref (e) [Area Maritime Security Plan and Area Maritime Security Assessment Development and Maintenance Process, COMDTINST 16601.28 \(Series\)](#). In addition, ref (f), [Security and Accountability of Every Port Act of 2006 \(SAFE Port Act\)](#), requires that each AMS Plan include a Salvage and Response Plan. Chapter 6 of ref (f) also promulgates requirements that must be considered by the Coast Guard when developing cargo and vessel prioritization plans.
 - f. Ref (g), [Guidelines for the Area Maritime Security Committees and Area Maritime Security Plans Required for U.S. Ports, COMDTPUB P16700.4, Navigation and Vessel Inspection](#)

[Circular \(NVIC\) 09-02 \(Series\)](#), includes lessons learned from real world operations and exercises conducted since 2009. It also updates the associated Marine Transportation System Recovery Plan (MTSRP) template and Salvage Response Plan (SRP) template to reflect the maturation of National MTS Recovery Policy. In addition, the updated MTSRP template addresses the emerging threat posed by cyber security incidents in the maritime domain. Although the MTSRP and SRP were created to address TSI, the templates apply across the all-hazard continuum. Ref (g) provides the COTP/FMSC and their associated AMSC with updated plan templates to refresh their existing AMSPs and associated MTSR and SRP sub-plans which outline pre-incident coordination and communication protocols to prevent, protect against, respond to, and recover from a TSI.

- g. Areas, Districts, and Sectors have existing natural disaster and contingency planning requirements that address MTS recovery.
 - h. The Homeland Infrastructure Threat and Risk Analysis Center (HITRAC) provides timely and integrated risk, threat, and consequence analyses to give the Department and its security partners an understanding of threats, infrastructure vulnerabilities, and potential consequences of attacks or natural disasters. This information can be useful to the Coast Guard during both contingency planning and post incident activities following a significant MTS disruption. Commandant (CG-FAC) maintains liaison with HITRAC and can coordinate assistance when appropriate.
5. **DISCLAIMER.** This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel, and is not intended to, nor does it impose legally-binding requirements on any party outside the Coast Guard.
6. **ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.**
- a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE # 33 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Instruction contains guidance on, and provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.
 - b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates. Due to the administrative and procedural nature of this Instruction, and the environmental guidance provided within it for compliance with all applicable environmental laws prior to promulgating any directive, all applicable environmental considerations are addressed appropriately in this Instruction.
7. **DISTRIBUTION.** No paper distribution will be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) web sites. Internet: <http://www.uscg.mil/directives/>, and CGPortal:

<https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>.

8. **PROCEDURES.** Use the following procedures to organize MTS recovery, facilitate basic MTS restoration at the port level, and to collect and distribute MTS Recovery Status Reports. They are applicable at all times and may be used for any MTS disruption in order to build and maintain MTS recovery capabilities, subject to Area Commander's direction.
 - a. **MTS Recovery Tracking and Documentation.**
 - (1) Track and report MTS status using the CART/ MTS Executive Summary. Executive Summaries are used to brief senior leadership and for national-level reporting, therefore the information contained in them must be as accurate and timely as possible.
 - (2) CART Sector Administrators shall review all Executive Summary entries within their areas of responsibility to avoid using "For Official Use Only" (FOUO), "Sensitive Security Information" (SSI), or "Protected Critical Infrastructure Information" (PCII) in MTS status reports. Executive Summaries shall be reviewed to ensure proper handling of FOUO, SSI, and PCII. Manage FOUO, SSI and PCII materials in accordance with applicable information security requirements. Track, document and communicate FOUO and SSI information separately from other MTS recovery status reports using appropriate communications pathways. Additional information and training on PCII is available at through the Department at: <http://www.dhs.gov/protected-critical-infrastructure-information-pcii-program>.
 - b. **Reporting economic impacts.**
 - (1) Do not report or issue public statements concerning the dollar amount an incident may have had on 3rd parties, such as ports or individual commercial vessel or facility operations. The Coast Guard has no authority, responsibility, or expertise to make such statements.
 - (2) MTSRUs may report economic impacts in terms of cargo throughput, port capacity, whether or not a facility is fully available (FA), partially available (PA) or not available (NA), waterway closures, and similar effects that are directly related to MTSRU activities.
 - (3) Refer requests for an economic analysis to CG-FAC through the pertinent Coast Guard District and Area Commander for coordination and adjudication.
 - c. **Reporting Frequency.** Area Commanders will provide MTS recovery status (Executive Summary) reports to the NCC every 24 hours or more frequently if directed. Note that for certain high profile events, Areas may need to adjust their reporting schedule to meet the needs of senior national level decision makers.
9. **RECORDS MANAGEMENT CONSIDERATIONS.** This Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are no

further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.

10. DEFINITIONS.

- a. Common Assessment and Reporting Tool (CART). Web-based program primarily used by port security specialists to track port status during MTS recovery operations.
- b. Essential Elements of Information (EEI). Twenty-two components established to track the status and operations of the MTS as per Encl 2.
- c. Incident Area. A port, waterway, or an area proximate to a port where an incident will have, or is expected to have a significant impact on the MTS.
- d. MTS Recovery Function (MTSRF). A Coast Guard Headquarters staff function that supports national-level incident management and administers the implementation of ref (h) [Customs and Border Protection and U.S. Coast Guard \(CBP/USCG\) Joint Protocols for the Expedious Recovery of Trade](#) and other activities.
- e. MTS Recovery Unit (MTSRU). A unit, normally within the Planning Section of the ICS established for incidents that significantly disrupt the MTS. In some instances, the Incident Commander may place the MTSRU in other sections of the ICS to support mission needs. This unit is typically staffed primarily by federal government personnel. State, Local, Tribal, and Territorial (SLTT) and maritime industry representatives are highly encouraged to participate and provide input.
- f. Resumption of commerce/resumption of trade. Returning to pre-incident volume and operations for the movement of vessels, goods, commodities, and passengers following an incident that has significantly disrupted the MTS.
- g. Significant disruption of the MTS. When port or river closures/restrictions, from all-threat, all-hazards, is anticipated to halt or significantly delay, divert, or interrupt normal MTS functions for three or more days. High impact and high profile events may be viewed as a significant disruption even if the expected duration is less than three days. NOTE: Every situation is unique and dynamic, making it impractical to create an all-inclusive list. Additional guidance on assessing impact to the MTS can be found under the National and Regional level Recovery Management Procedures in ref (L).
- h. Stabilization. The process by which the immediate impacts of an incident on community systems are managed and contained.
- i. System Stabilization. As adapted and used by the Coast Guard for MTS recovery – activities and measures needed to stabilize critical MTS infrastructure functions following a transportation disruption to minimize health, safety, environmental, and

when necessary, maritime security treats; and to efficiently restore and revitalize systems and services essential to maritime supply chain support for communities and critical infrastructure sectors.

- j. Transportation disruption. Any significant delay, interruption, or stoppage in the flow of trade caused by a natural disaster, heightened threat level, an act of terrorism, or any Transportation Security Incident (TSI) (defined by ref (i), [U.S. Coast Guard Strategy for Maritime Safety, Security and Stewardship, January 19, 2007](#) and in section 70101(6) of title 46, United States Code).
- k. Transportation Security Incident (TSI). A security incident resulting in a significant loss of life, environmental damage, transportation system disruption, or economic disruption in a particular area (defined by ref (d) and in 70101(6) of title 46, United States Code).

11. PRINCIPLES OF MTS PLANNING AND OPERATIONS. The following principles apply to planning and conducting MTS recovery operations:

- a. Operational commanders must recognize that the MTS is an integral part of the nation's overall transportation and energy system. MTS components must connect to and work with rail, road, pipeline, and air components in order to meet the economic and security needs of the nation. While Coast Guard authorities and responsibilities are limited to the marine portion of this integrated system, planning, and response operations must recognize these intermodal connections. This requires the Coast Guard to cooperate with, and seek the input of representatives across the transportation and energy system, as well as, the government agencies who oversee them.
- b. Transportation disruptions often have large scale impacts, and require a unity of effort across a broad spectrum of stakeholders to resolve. These stakeholders may include trading partners and businesses in other locations. Post incident analysis of Hurricane Sandy in the Port of New York and New Jersey highlighted the strong and trusted partnerships as the foundation for the region's successful recovery efforts, a theme consistent with similar past events. Accordingly, operational commanders shall invest in partnership building activities and leverage the Coast Guard's reputation as a trusted partner in port communities.
- c. MTS planning and recovery operations will often involve balancing the desire to return to the pre-incident posture with the need to restore vital MTS functions by identifying and authorizing alternatives that achieve an equivalent level of safety and security. In many cases, these alternatives can be identified prior to an event. For example, vessel and facility operators can build alternative procedures into their Coast Guard required security plans that can be activated in the event normal operations become impossible to maintain due to power loss, infrastructure damage, or other causes. This approach is similar to the Continuity of Operations (COOP) planning that Coast Guard units employ.
- d. Plan and conduct MTS recovery efforts concurrently with urgent response operations, including security activities, Search and Rescue, and pollution response. Operational

commanders shall set appropriate priorities and manage incidents in accordance with the National Incident Management System (NIMS) Incident Command System (ICS).

- e. Plan and conduct MTS Recovery operations through a unity of effort among stakeholders. Recognize that several parties have an interest in the recovery and will have capabilities that can and should be included in that effort.
- f. Restoring public confidence in the safety and security of the MTS will allow business leaders to make decisions based on facts, deter adversaries who may seek to exploit an event for their own purposes and allow emergency support agencies and/or political leaders to focus aid in other areas. Public outreach and strategic communications must therefore be a part of any MTS recovery operation.
- g. A firm understanding of routine cargo flows and MTS activities is a prerequisite for sound decision making when planning and conducting MTS recovery operations. Knowledge of these business activities at the Sector/port, District, and Area level improves Coast Guard risk assessment and planning activities.
- h. Business leaders can and will divert cargo and make other business continuity decisions that will normally involve proprietary information; the Coast Guard should encourage business leaders to share information so the Unified Command can facilitate those alternative business decisions. The Coast Guard and Unified Command should develop procedures to ensure the protection of PCII.
- i. Sectors and units with significant international partnerships are encouraged to pursue a shared approach to safety and security. This shared approach is articulated in documents such as ref (j) [United States – Canada Beyond the Border Action Plan](#). Including border nations with close trade ties in planning will facilitate MTS recovery during emergencies.
- j. Disruptive events can create as many opportunities as challenges. In planning and operations, avoid overly prescriptive direction and leverage the Coast Guard’s authorities, bias for action, and capabilities to build stronger cross-agency and community relationships.

12. RESPONSIBILITIES.

a. Coast Guard Headquarters.

- (1) Coast Guard Deputy Commandant for Operations (DCO) and Assistant Commandant for Prevention Policy (CG-5P): Oversee the implementation of CBP/USCG Joint Protocols for the Expeditious Recovery of Trade.
- (2) Director of Inspections & Compliance (CG-5PC): Establish within Coast Guard Headquarters (CGHQ) a national-level MTS Recovery Function (MTRSF) with trained personnel to execute ref (h) and support other national level inter-agency and private sector coordination for MTS recovery operations.
- (3) Director of Incident Management & Preparedness Policy (CG-5RI): Provide subject matter expertise to support the CGHQ MTRSF when requested. Provide

liaison support for coordination of MTS recovery issues and activities with the Federal Emergency Management Agency (FEMA).

- (4) Director of Marine Transportation Systems (CG-5PW): Provide subject matter expertise when requested to support the CGHQ MTSRF regarding waterways management, bridge administration, Great Lakes pilotage, and other waterways management issues. Provide liaison support for coordination of MTS recovery issues and activities as required by ref (g).
- (5) Commanding Officer, Marine Safety Center (MSC): Provide appropriate vessel salvage expertise when requested to support the CGHQ MTSRF. The MSC Salvage Engineering Response Team (SERT) is a resource that can be used for vessel stability and engineering issues during recovery operations.
- (6) Office of Port and Facilities Compliance (CG-FAC).
 - 1) Administer MTS recovery regime policy, maintain this COMMANDANT INSTRUCTION, and ensure it aligns with applicable Commandant plans, policies, directives, doctrine, manuals, and other documents.
 - 2) Develop MTS recovery procedures and planning guidance for TSIs that are all-hazard-compatible for use during all types of Transportation Disruptions and support the resumption of trade provisions of refs (h) and (k-n):
 - k: [National Strategy for Global Supply Chain Security, January 2012](#)
 - l: [Maritime Infrastructure Recovery Plan \(MIRP\)](#)
 - m: [DHS Strategy to Enhance International Supply Chain Security, July 2007](#)
 - n: [National Disaster Recovery Framework \(NDRF\), 2011](#)
 - 3) Administer a CGHQ MTS recovery incident support capability to provide subject matter expertise to the field and senior CG decision makers. When required, establish and staff the CGHQ MTSRF with supporting subject matter expertise provided by other offices; including, but not limited to, Commandant (CG-CPE), (CG-MER), and (CG-WWM).
 - 4) Serve as the SME for all-hazard, MTS disruptions and recovery. Coordinate with Commandants (CG-741), (CG-MSR), (CG-CPE), (CG-WWM), FORCECOM, and Area Commanders to support field units and MTSRUs.
 - 5) Serve as sponsor for information management applications and job aids supporting the MTS recovery regime.
 - 6) Serve as the Area Maritime Security Program Manager. This includes

all policy and direction regarding ref (e) & (g), and the MTS Recovery Plan and Salvage and Recovery Plan templates.

- 7) Maintain liaison with and sponsor the Memorandum of Agreement with the Homeland Infrastructure Threat and Risk Analysis Center (HITRAC).
- (7) Office of Current Operations, National Command Center: Establishes procedures at the Command Center for communications and coordination of MTS recovery information both within CGHQ and between the Coast Guard, FEMA, CBP, the National Operations Center (NOC) and the National Cybersecurity and Communications Integration Center (NCCIC).
 - (8) Office of Shore Forces (CG-741): Provide subject matter expertise when requested to support the CGHQ MTSRF regarding Vessel Traffic Services.
- b. Forces Command (FORCECOM).
- (1) Support development and maintenance of MTS recovery capabilities in coordination with Commandants (CG-CPE), (CG-MER), (CG-FAC), and Area Commanders.
 - (2) Coordinate training for MTSRU Leaders (MTSL), MTSRU staff, and IMT/IMAT members. Training will include, but will not be limited to EEI development, identification of major commodity flows and cargo distribution patterns; MTS status assessment, documentation, and reporting; awareness of supply chain interdependencies and the potential for associated collateral effects; and recovery prioritization.
- c. Area Commanders.
- (1) Support Sector and District MTS Recovery planning and operations pursuant to this Commandant Instruction and applicable Area policies.
 - (2) During MTS disruptions, maintain situational awareness and report MTS recovery status as specified in paragraph 8 of this instruction.
 - (3) Identify constraints and barriers to MTS recovery that fall outside of existing Coast Guard authorities or capabilities and communicate these to Commandant (CG-FAC). Recommend legal, regulatory, or policy initiatives to improve the CG's ability to facilitate MTS recovery and to address stakeholder concerns.
 - (4) Advise Commandant (CG-FAC) when MTS recovery activities have, or are expected to stabilize to the point where active Coast Guard involvement is no longer needed.
 - (5) Shall receive all MTSR Demobilization Reports for Type I and II Events.

d. District Commanders.

- (1) Support Sector Recovery planning and operations pursuant to this Commandant Instruction and applicable District and Area policies.
- (2) Ensure that personnel trained in MTS recovery functions and procedures are available to augment MTSRUs during large-scale or extended-duration incidents that exceed port-area MTSRU capabilities.
- (3) During MTS disruptions, maintain situational awareness and report MTS recovery status as specified in paragraph 8 of this Instruction.
- (4) Shall receive all MTSR Demobilization Reports for Type III and IV Events.

e. Sector Commander/Captain of the Port.

- (1) Develop and maintain MTS recovery procedures as required by Area Maritime Security Plans. The plan will include applicable mitigation content when used to support FOOSC and ACP mitigation responsibilities as they relate to restoration of MTS functions and commerce.
- (2) Designate a MTSRU Leader to prepare for and coordinate MTS Recovery functions. An event causing significant MTS disruptions is likely to have other impacts, including SAR, pollution response, and security, all of which will create significant demands on the Sector Commander in terms of time management, span of control, and decision making. MTSRU activity will require a multitude of significant decisions, made in concert with senior industry and other government agency representatives. Accordingly, the MTSRU Leader must have sufficient seniority and experience, and have the full confidence of the Sector Commander, to fulfill these duties.
- (3) Establish MTSRUs within the Unified Command Planning section or elsewhere as appropriate and use ref (c) and other MTS recovery plans and procedures as guidance. Coordinate, train and exercise with local maritime stakeholders to obtain information and expertise to inform and support MTS recovery situational awareness, assessment, planning, and reporting. NOTE: There may be events or incidents that may require alternative placement of the MTSRU function within the Unified Command. Captains of the Port are expected to use their own discretion as to when it is appropriate and most effective.
- (4) Populate and maintain baseline and incident specific EEI data, listed in Encl 1, as directed by the Area and District Commanders.
- (5) Develop, maintain, and exercise MTS recovery and salvage response elements of the AMS Plan as required by Area Maritime Security Plan and Area Maritime Security Assessment Development and Maintenance Process, ref (e). Sector Commanders may incorporate a consolidated, all-hazard MTS recovery plan that includes all AMS Plan MTS recovery content specifications per ref (g) by reference

into AMS Plans to satisfy this requirement.

- (6) Use the Common Assessment and Reporting Tool (CART) and follow the guidance in paragraph 11 of this instruction to record and report Essential Elements of Information (EEI) related to MTS disruption events. CART provides an information database and automated report generation capability for supporting incident management at all levels. The MTS recovery report will consist of an MTS Executive Summary that captures the MTS status from the MTS Executive Summary Status Report List. Ref (o), [CART](#), provides instructions on preparing the summary. The automated report generation feature and on-line access allows other Coast Guard units and select stakeholders to make information available without burdening field commanders with development of MTS status reports. This makes the timely updating of CART incident data vital to incident reporting.
- (7) If CART is not available, units shall use the enclosed MTS Executive Summary Template, to document and report MTS recovery status per the requirements of this COMDTINST. The MTS Executive Summary Template will serve as the minimum reporting requirement for transmission by email, facsimile, SMS messaging or other available communication methods when CART is unavailable. An electronic file version of the template is posted on HOMEPOR and the Coast Guard Portal MTS recovery community to support manual report preparation.
13. LESSONS LEARNED. Units shall conduct after action reports and submit lessons learned from exercises and actual events in accordance with the Coast Guard's After Action Report Program. Submit suggestions and questions concerning the Coast Guard's MTS Recovery policies to Commandant (CG-FAC).
14. FORMS/REPORTS. The forms referenced in this Instruction are available in USCG Electronic Forms on the Standard Workstation or on the Internet:
<http://www.uscg.mil/forms/>; CG Portal
<https://cgportal2.uscg.mil/library/forms/SitePages/Home.aspx>; and Intranet at
<http://cgweb.comdt.uscg.mil/CGForms>. Access the Common Assessment and Reporting Tool (CART) at <https://cgcart.uscg.mil>.
15. REQUEST FOR CHANGES. To submit recommended changes, contact the Office of Port and Facility Compliance, Commandant (CG-FAC).

CHARLES D. MICHEL /s/
 Vice Admiral, U.S. Coast Guard
 Deputy Commandant for Operations

Encl 1: EEI Development

Encl 2: Form CG-4620, MTS Executive Summary Report Template

ESSENTIAL ELEMENTS OF INFORMATION (EEI) DEVELOPMENT AND MAINTENANCE

1. Introduction. EEIs are the templates that facilitate the collection and dissemination of consistent information regarding the status of the MTS following a significant disruption in Incident Areas and specified non-incident areas. This enclosure provides additional information for the development of the Essential Elements of Information (EEIs) used for Marine Transportation System (MTS) recovery planning, documentation, and reporting.
2. Core EEIs.
 - a. The core EEIs in CART are the primary information resource for identifying and characterizing the status and impacts to the MTS.
 - b. Core EEIs should encompass the MTS elements described in Area Maritime Security (AMS) Plans.
3. EEI Development and Maintenance.
 - a. Work with OSC Martinsburg to develop, populate and maintain pre-incident baseline EEI data. (Note: As a best practice units should obtain a hard copy of their baseline EEI data from OSC in the event the CART is not available during an incident or event.)
 - b. Captains of the Port at their discretion may develop additional EEIs to assist with Port Recovery Status reporting. Additional EEIs that can benefit national Port Recovery efforts may be submitted to the CART Configuration Control Board (CCB) for possible inclusion in the CART baseline EEIs.
 - c. Baseline EEIs will be updated and validated not less than annually, in conjunction with MTS recovery planning pre-incident, and as soon as possible post-incident in support of incident management. The agencies, organizations or groups from which information will be needed must be identified and advance arrangements made for of the exchange of specific information and data after an incident has occurred.
4. EEI Status Reporting. Review, validate, update and supplement baseline EEI data as necessary to determine and maintain a common operating picture of MTS status starting as soon as possible after a transportation disruption occurs.
 - a. The EEI development and maintenance process during incident management will feed information to the Incident Command System Situation Unit to satisfy operational objectives by the Unified Command, and support restoration of basic functionality of the MTS.

Enclosure 1 to COMDTINST 16000.28

- b. During an incident or event the EEI update frequency will be set by the Unified Command and may vary according to need, scope, and pace of recovery efforts. For planning purposes, a daily update should be conducted.
- c. Enclosure (2) to COMDTINST 16000.28A provides a generic template for MTS status documentation and reporting that incorporates the core EEI specified by this Enclosure.
 - (1) The template provides the chain of command a basic summary of the MTS status and capabilities.
 - (2) The template is for manual generation of MTS status reports when CART is not available.

MTS EXECUTIVE SUMMARY TEMPLATE

This template incorporates essential information needed at the national level to report on field-level MTS recovery activities and port status, if the Common Assessment Reporting Tool (CART) automated reporting capability is not available. An electronic copy of this template will be posted to the pertinent Homeport communities.

Incident Name: _____

Location: _____

Sector(s): _____

COTP Zone(s): _____

MSU(s): _____

Start Date: _____

End Date: _____

EVENT/INCIDENT SUMMARY REPORT

- Event Description (*brief summary*): _____

- Type of incident (*Natural Disaster/Spill/TSI/Cyber/etc.*):
- Geographic locations affected:
 - _____
 - _____
 - _____
 - _____
- Time of incident: _____
- Anticipated length of time to resolve: _____
- Other relevant details or circumstances: _____

PORT/INCIDENT AREA SUMMARY REPORT

- Brief description of the port or the incident area (*this should include a description of the major waterways, cargo flows, and facilities*):
 - Major waterways: _____
 - Facilities: _____
 - Cargo flows: _____
 - Other: _____
- Provide an overall (general) description of the impact of the incident/event on the MTS:
 - Major waterway closures:
 - _____
 - _____
 - Environmental impacts:
 - _____
 - Other: _____

MTS IMPACT REPORT

- Overall effect of the incident to the MTS in the incident area (*summarize*):

- Most critical impacts to the MTS (*provide overview*):

- Factors contributing to restrictions or closures correlated with Port Status recorded above:
- Estimated timeframes for partial and full restoration/reconstitution of the MTS to support pre-incident levels of service or activity (*Impacts may be listed by Port Area*):
 - Partial Restoration: _____
 - Full Restoration: _____

MTS RECOVERY ACTIONS REPORT

- Actions being taken to address MTS Recovery.
 - Establishment of the MTSRU, including any special representation by other agencies or industry:
 - Assistance by others: _____

 - Damage surveys: _____

 - Stakeholder meetings: _____
 - Recovery goals, objectives, or priorities established by the IC/UC:
 - _____
 - _____
 - Debris removal status:
 - Waterways: _____
 - Terminals: _____
 - Other Actions:
 - _____
 - _____

VESSELS IN QUEUE REPORT

- Number of vessels in the queue as a result of infrastructure damage or non- availability
(Coastal ports indicate Inbound & Rivers indicate Upbound or Downbound):

- At a minimum, note the following details:
 - Estimated number of vessels in the queue: _____
 - Cause of the queue *(causes may include navigation obstructions, waterways management actions, etc):* _____
 - Estimated time to have the issue resolved: _____
 - Estimated time to eliminate the queue following full or partial MTS restoration: _____
- Actions taken to manage the queue *(i.e. standing up a Queue Management Team, Port Coordination Team, use of PIPO or other software, etc):*
 - _____
 - _____

MONITORING SYSTEMS REPORT

(Note: System components are normally populated as EEI instances in CART baseline data.)

System Component	Number Available			Explanation
	FA	PA	NA	
VHF-FM High Sites				
MF and HF DSC Sites				
NAVTEX Sites				
2182 Sites				
SITOR				
Telex				
Weather Buoys				
Tide Gauges				
Current Gauges				
P.O.R.T.S.				
Vessel Traffic Services (VTS)				

KEY: FA = Fully Available; PA = Partially Available; NA = Not available.

CYBER SYSTEMS IMPACTS REPORT

(Note: Cyber systems are a critical component of the MTS. This page is designed to capture the status of those systems that are impacting MTS recovery.)

Include items not included in the Monitoring Systems Report.

- Describe cyber failures that are contributing to MTS disruptions.
- Availability of cyber systems critical to the MTS:
 - Telephone Systems: _____
 - Radio networks: _____
 - Internet: _____
 - Port operations and cargo handling automated systems:
 - _____
 - _____
 - Other Cyber systems:
 - _____
 - _____
 - _____
 - _____

FUTURE PLANS REPORT

Identify future plans regarding MTS Recovery (include actions planned to clear waterways, mitigate environmental incidents, restore commerce, etc., as well as internal actions to be taken such as convening MTS stakeholder groups or incorporating other agency resources).

- _____
- _____
- _____
- _____

EEI SUMMARY REPORT

- Summarize status of each EEI type. Record the baseline total, and number of EEIs fully, partially, and not available.
- Vessel salvage and oil and hazardous material: Show the number of cases opened, investigated, and closed.
- Offshore Production: Show total pre-incident avg & current production for liquid hydrocarbon (bbl/day & natural gas (mcf/day).
- Provide information in comment column about an EEI category or component. Address restoration or recovery challenges or detail about recovery plans, such as when a facility could return to fully available, if a facility has the resources to return to fully available or requires government assistance to return to service.

EEI	Number Available				Comment
	Base/Total	FA	PA	NA	
Waterways and Navigation Systems					
Aids to Navigation					
Deep Draft Channel					
Non-Deep Draft Chan.					
Locks					
		Open	Invest	Closed	
Vessel Salvage/Wrecks					
Oil Pollution Incidents					
HAZMAT Incidents					
Port Area - Critical Infrastructure					
Bridges					
Bulk Liquid Facilities					
Container Facilities					
Non-container Facilities					
Shipyards					
Pass/Ferry Terminals					
Barge Fleeting Areas					
Port Area - Vessels					
Passenger and Ferries					
Gaming					
Commercial Fishing (total available)					
Small Passenger (total available)					
Barge Traffic (total available)					
Offshore Energy					
Offshore Platforms					
Offshore Production (liquid hydrocarbons) *provide pre-/post-incident bbl/day	Pre-incident bbl/day:	Current bbl/day:			
Offshore Production (natural gas) *provide pre-/post-incident mcf/day	Pre-incident mcf/day:	Current mcf/day:			
Offshore Renewable Energy Installations					
Offshore Platforms - Top 100 GOM Producers					
Monitoring Systems					
Monitoring Systems					
KEY: Base = Baseline (pre-incident number); FA = Fully Available; PA = Partially Available; NA = Not available					

OTHER CONSIDERATIONS

Other applicable information that may not be covered elsewhere.

Intermodal Transportation Availability				
Intermodal Categories	Number Available			Reasons - Comments
	FA	PA	NA	
Local Port Area Roads				
Highway Bridges				
Interstate Highways				
Railroads				
Railroad Bridges				
Airports				

Port Area Functions and Services <i>(as known or reported)</i>				
Port Functions & Services Categories	Number Available			Reasons - Comments
	FA	PA	NA	
Marine Pilots				
Harbor Tugs				
Fire / Rescue / EMS				
Police				
Terminal Labor				
Maritime Labor				
Bunkering				
Stores / Supplies				
Potable Water				
Sanitary Systems				
Marinas				

- Critical Cargoes:
 - _____
 - _____
- Cascading Effects *(as known or reported)*:
 - _____
 - _____
 - _____
- Long-term Recovery Issues *(as known or reported)*:
 - _____
 - _____
- Other:
 - _____