

Chapter 7

EMERGENCY MANAGEMENT AND INCIDENT RESPONSE

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7-1.0 INTRODUCTION

7-1.01 PURPOSE

This Maintenance Manual chapter describes guidelines and action plans covering emergency management and incident responses involving the highways of Minnesota.

7-1.02 SCOPE

This chapter describes the plan framework, roles and responsibilities, policies, and associated training regarding emergency management and incident response operations typically performed by MnDOT Maintenance staff. This chapter will not attempt to explain every type of emergency or every emergency preparation activity, however, this chapter provides a general overview of the overall emergency management and incident response framework and response guidelines that are followed statewide by MnDOT Maintenance Staff.

7-2.0 GLOSSARY

All-Hazard: Any incident, natural or manmade, that warrants action to protect life, property, environment, public health or safety, and minimize disruptions of government, social, or economic activities.

Commissioner: The commissioner of the Minnesota Department of Transportation, or a designated representative.

Disaster: A large scale emergency event or incident that exceeds thresholds to warrant a major disaster declaration by the President or Governor.

Disaster area: The area of Minnesota included in a declaration of a major disaster whether included in the original declaration or added later by federal government action.

Emergency: A condition on a highway or at a highway facility that necessitates immediate work in order to keep such highway or highway facility open. Emergencies are classified as activities outside of routine maintenance department work functions.

Incident: Any accident, spill, or activity that impacts or blocks traffic or causes travel delays on a state highway.

State Duty Officer Program: A unit within the Minnesota Department of Public Safety (DPS) that provides a “single answering point” for local and state agencies

to request state-level assistance for emergencies, serious accidents or incidents, or for reporting spills of hazardous materials or petroleum.

7-3.0 EMERGENCY MANAGEMENT FRAMEWORK

7-3.01 MNDOT EMERGENCY MANAGEMENT MISSION STATEMENT AND POLICY

The MnDOT Office of Administration, Emergency Management Section, in cooperation with the MnDOT districts and offices, establishes Emergency Operation Plans (EOP's), Continuity of Operation Plans (COOP), other incident response plans, and facilitates planning and training to ensure MnDOT is prepared to safeguard Minnesota's critical transportation infrastructure from acts of terrorism, natural disaster and other emergencies, and prepares the department to respond in an all-hazards situation. Additional information and resources may be found at: <http://ihub.dot.state.mn.us/security/>

7-3.02 NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)

The US Department of Homeland Security (DHS) through the [Homeland Security Presidential Directive 5 \(HSPD-5\)](#) has developed and implemented the [NIMS](#). The NIMS is a "comprehensive, national approach to incident management that is applicable at all jurisdictional levels and across functional disciplines". The DHS has developed the NIMS as part of the [National Response Framework](#). The framework is the "how-to" guide for state and local agencies in responding to incidents.

The HSPD-5 requires adoption of the NIMS as a condition to receive federal funds when a federal national disaster is declared. MnDOT has incorporated NIMS into its Emergency Operation Plan (EOP). Further information about NIMS and response roles and responsibilities are found in Sections 7-4.02 and 7-4.03 within this chapter.

7-3.03 GOVERNOR'S EXECUTIVE ORDER

MnDOT is a state agency that is subject to emergency responsibilities assigned by the Governor's office via [Executive Order](#). The Executive Order lists responsibilities MnDOT must address during an emergency situation.

7-3.04 MINNESOTA EMERGENCY OPERATIONS PLAN (MEOP)

The MEOP is a statewide, all-agency plan for responding to and mitigating emergencies and provides the basis for a multi-agency state response to a major disaster or emergency. The plan assigns emergency planning and response policies and responsibilities for state agencies including MnDOT. The plan is reviewed and updated on a yearly basis. The [Minnesota Department of Public Safety \(DPS\)](#) is responsible for maintenance and revisions to the plan.

The [Division of Homeland Security and Emergency Management \(HSEM\)](#) within the MN DPS is designated by the Governor as the lead coordinating agency for state agencies (which include MnDOT) regarding emergency and disaster response. MnDOT's role during emergencies and disasters is to support DPS, as well as state and local agencies depending on the type of disaster or emergency.

The MEOP is the document that guides MnDOT's response during emergencies or disasters. The type of response is contained in the following annexes:

- Notification and Warning Communications
- Incident Management
- Public Information
- Accident/Damage/Assessment
- Debris Management
- Public Works and Utilities Restoration
- Environmental Hazard Response
- Resource Management
- Foreign Animal Disease

Each of the annexes contains information on how the department (MnDOT) will respond given its available resources. Within the annexes, MnDOT has Standard Operating Procedures or Standard Operating Guidelines that assist staff in proper response and incident management.

Although MnDOT could be the first agency on the scene during an emergency, particularly on the highway system, MnDOT Maintenance staff's role is primarily to secure the scene and support the actions of DPS, the Incident Commander, or other first responders.

7-3.05 MNDOT EMERGENCY OPERATIONS PLAN (EOP)

The Governor's Executive Order requires all state agencies to develop an agency specific Emergency Operations Plan to augment the National Response Framework, Minnesota Emergency Operations Plan, State and Federal laws and policy directives. The MnDOT Office of Administration, Emergency Management Section develops the agency wide EOP and assists the districts in developing district specific EOP's that augment the agency wide plan. These plans assign general responsibilities to MnDOT staff that may be involved in mitigating, preparing for, responding to, and recovering from incidents.

7-3.06 MNDOT CONTINUITY OF OPERATION PLAN (COOP)

The Governor's Executive Order requires all state agencies to develop an agency specific Continuity of Operations Plan. The COOP establishes a framework that includes plans, procedures, and protocol that will allow MnDOT to maintain and carryout its essential critical functions should an event occur that renders any of its facilities or infrastructure unusable. The COOP addresses the logical flow of events in responding to a major disruption of MnDOT services and operations.

7-3.07 QUICK CLEARANCE PROVISION

The "[Open Roads Agreement](#)" is an agreement between MnDOT and the State Patrol to expedite the removal of stalled vehicles, personal property, cargo, debris and other obstructions to roadways as to alleviate emergency conditions within MnDOT highways. This new Technical Memorandum replaces Maintenance Bulletin 97-1 and Mn/DOT Policy Guideline, Multimodal No. 89-1-G-1. Contact the District Maintenance Engineer for information on the agreement.

In addition to the agreement, a related statute ([Minnesota Statutes, Section 168B.035](#) subd. 4), allows the State Patrol expedited removal of obstructions within roadways so as to restore roadways to pre-incident condition within the eight county metropolitan district (Hennepin, Scott, Anoka, Ramsey, Washington, Dakota, Carver, and Chisago).

7-3.08 ADDITIONAL GUIDANCE SOURCES

The MnDOT Office of Maintenance updates maintenance procedures and they may include emergency management and incident response. Updates may occur via Maintenance Bulletins. Example documents pertaining to emergency management include spill response and road closure procedures.

Updates to emergency and incident management can also be addressed via Technical Memorandums. An example Technical Memorandum includes [Technical Memorandum 11-10-M-02](#), Roadway Incident Procedure. Updates to other departments including Traffic Engineering, Construction, and Design may also appear within the [Technical Memorandums](#). The Memorandums are searchable by department including Maintenance. Updates to the Bulletins and Memorandums can also include changes at the district level.

Emergency contracting guidance may be found in [Chapter 6](#) of the Maintenance Manual. This includes how to obtain an Emergency Order and contract procurement options.

7-3.09 FEDERAL HIGHWAY ADMINISTRATION (FHWA) EMERGENCY RELIEF AND FEMA DISASTER ASSISTANCE PROGRAM

For emergencies involving federal-aid highways, which include natural disasters or catastrophic failures from an external cause, MnDOT staff will apply for repair and improvement following the FHWA [Emergency Relief Manual](#). The intent of the FHWA Emergency Relief Manual is to fund repairs to restore federal-aid highways. Similar to the FHWA program is the [FEMA Disaster Assistance](#) program, which offers reimbursement for emergency response actions and to restore local and non-federal-aid highways, highway facilities, and buildings.

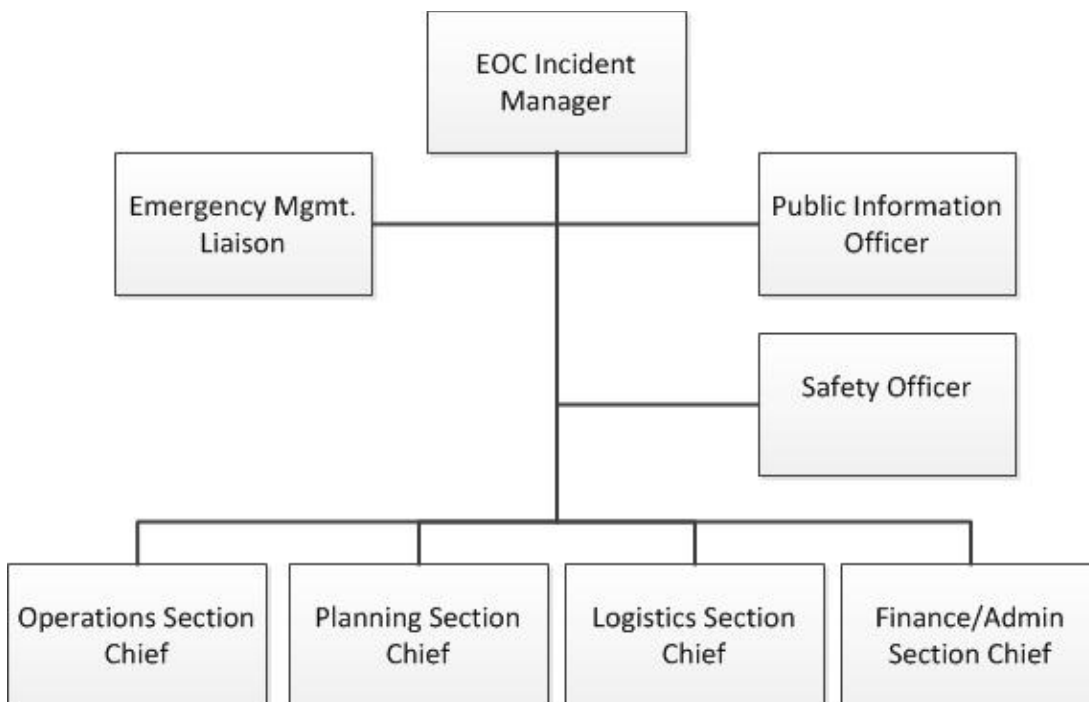
The management programs described in this section are reimbursement programs and are tied to emergency management procedures within the overall national DHS, FHWA, and FEMA agencies.

7-4.0 ROLES AND RESPONSIBILITIES

7-4.01 INCIDENT RESPONSE STRUCTURE (MAJOR INCIDENT OR EMERGENCY)

MnDOT's Incident Command System (ICS) is employed during emergencies and incidents which require a response. The Emergency Operations Center (EOC) Incident Manager is responsible for overall ICS resource support. The ICS is further explained within MnDOT's EOP. MnDOT's basic ICS structure is shown in the flowchart below:

FIGURE 1: TYPICAL MNDOT ICS STRUCTURE



MnDOT's field, district and central office staff all use this ICS system during emergencies. The ICS system is scalable and one person could perform multiple roles or responsibilities. Depending on the scale and severity of the incident, appropriate positions are staffed.

7-4.02 ROLES OF ICS POSITIONS

Incident Manager or Commander (IC): The IC is responsible for the overall management of emergency coordination activities including the development and implementation of strategy, creating an incident action plan, and approving the ordering and release of resources. MnDOT typically would not be the IC for a multi-agency response but would provide a support role during the emergency.

Safety Officer: The Safety Officer's function in the Command Staff is to identify, assess, and anticipate hazardous and unsafe situations, and to develop and recommend measures for assuring personnel safety.

Public Information Officer (PIO): The PIO is in frequent contact with his/her counterpart in both the county, district, and State Emergency Operations Center levels. The PIO keeps the IC apprised of all current and new information developments as they pertain to public information dissemination through resources and the media.

Emergency Management Liaison Officer: The EM Liaison Officer is responsible for interacting (by providing a point of contact) with assisting and cooperating organizations. Organizations may include state, federal, and local agencies such as the local county engineer, public works, or Minnesota State Patrol.

Operations Section Chief: The Operations Section Chief is responsible for managing all tactical operations that affect the incident.

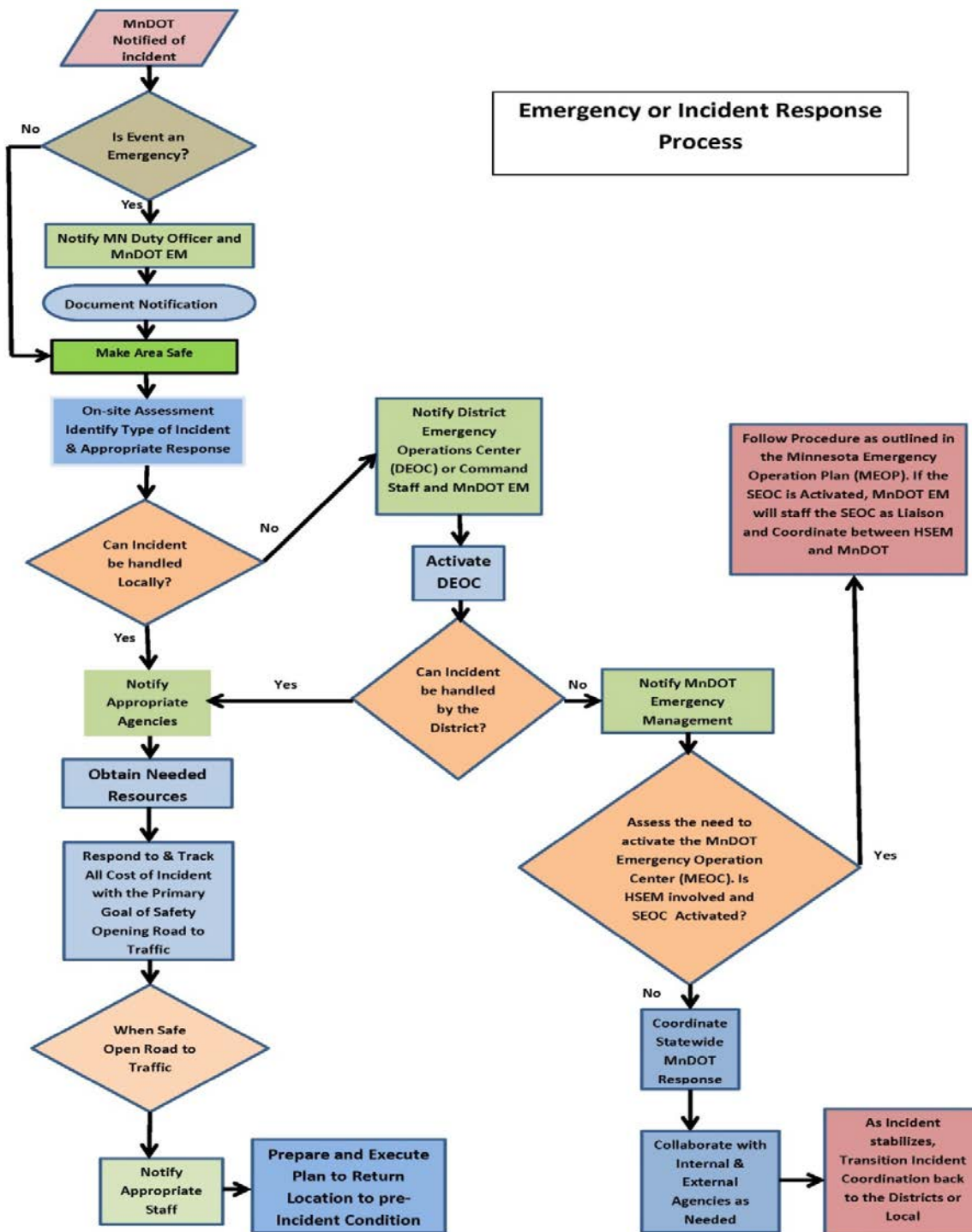
Logistics Section Chief: The Logistics Section Chief provides all incident support needs. The Logistics Section is responsible for providing facilities, transportation, communications, supplies, equipment maintenance and fueling, food services and additional resources at the incident location.

Planning Section Chief: The Planning Section Chief is responsible for the collection, evaluation, dissemination, and use of information regarding the development of the incident response and status of resources.

Finance/Administration Section Chief: The Finance/Administration Section Chief is responsible for all financial, administrative, legal, and cost analysis aspects of the event and for supervising members of the Finance/Administration Section. This section monitors costs, handles contracts, processes claims, and all other financial considerations including accounting, procurement, time recording, cost analysis, and overall fiscal guidance. Depending on the incident, the activation of the Finance/Administration may not be necessary.

The following flowchart details the typical process of when MnDOT is notified of an incident, including emergencies, and the steps of responses taken depending on the type of incident.

FIGURE 2: EMERGENCY OR INCIDENT RESPONSE PROCESS



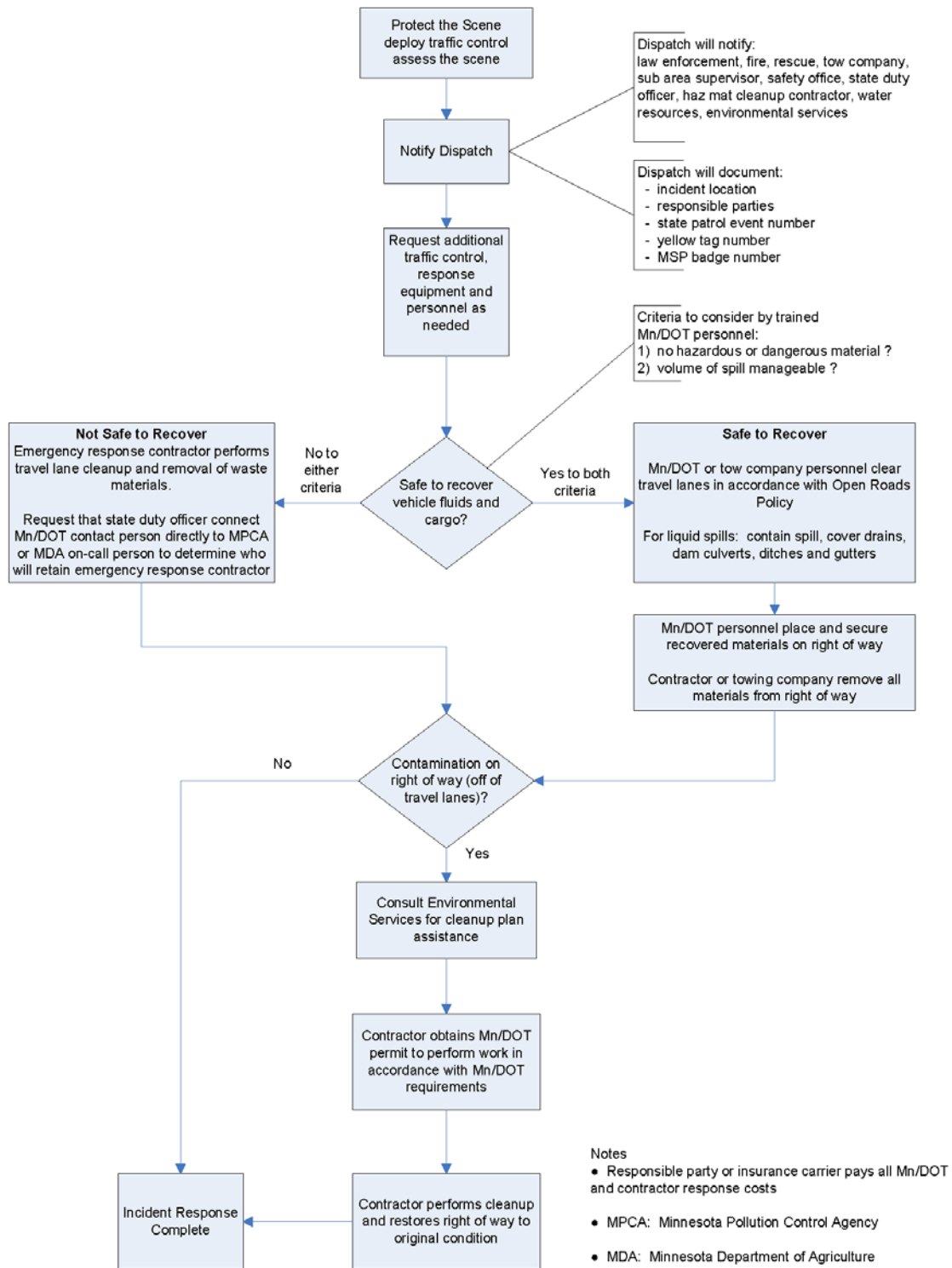
7-4.03 MINOR INCIDENT (ROUTINE) RESPONSE

For minor incidents such as spills, accidents, or cargo on road that can be addressed entirely at a district level, the guidelines presented in the [Technical Memorandum No. 11-10-M-02](#) are generally followed.

A typical minor incident procedural flowchart is shown in [Figure 3](#). This flowchart is also contained in [Technical Memorandum No. 11-10-M-02](#).

FIGURE 3: MINOR INCIDENT RESPONSE PROCEDURE

(I.E. ROUTINE TRAFFIC ACCIDENTS, DEBRIS, SPILLS, ETC.)



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7-5.0 EMERGENCY MANAGEMENT PREPAREDNESS AND TRAINING

MnDOT Maintenance staff are trained to respond to incidents and emergencies. Types of training include, but are not limited to, [FEMA NIMS Training](#) and other [Independent Study Program](#) courses depending on the staff member's role. Additional training opportunities and resources are also found on the internal iHub [MnDOT Emergency Management](#) webpage.

Checklists and Standard Operating Procedures and Guidelines have been developed both at the State and at the District level to better prepare Maintenance staff once an incident or emergency occurs. These checklists and procedures are contained within the MEOP, EOP, and COOP plans.

Incident-specific training and emergency response and recovery exercises are conducted on a regular basis. MnDOT's continuity exercise program focuses primarily on evaluating capabilities or an element of a capability, such as a plan or policy, in a simulated situation.

The exercises may include (not exhaustive):

- Annual exercises for continuity personnel to demonstrate their familiarity with COOP plans and procedures and to demonstrate MnDOT's capability to continue its essential functions.
- Deliberate and preplanned movement of incident response personnel to an alternative facility or other continuity location.
- Communication exercises within and outside the department.
- Demonstrating that backup data and records required to support essential functions at continuity facilities or locations are sufficient, complete, and current.
- Comprehensive debriefing after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the organization's emergency management and system continuity plan.
- Conducting and documenting annual assessments of Test, Training and Exercise (TT&E) Programs and continuity plans and programs.

MnDOT staff also utilizes training and exercise activities developed, coordinated, or administered by the HSEM. Those programs include:

- [State of Minnesota Homeland Security Training and Exercises](#)
- [National Preparedness Directorate](#)
- [NIMS](#)
- [Radiological Emergency Preparedness](#)
- [COOP](#)
- [Risk and Vulnerability Assessments](#)
- [FHWA Emergency Relief](#)

INDEX OF LINKS

COOP

http://search1.dot.state.mn.us/search?q=cache:xU7DLc - buEJ:ihub.dot.state.mn.us/managersworkshop/documents/june2015/3-Thursday/3-Continuity%2520of%2520Opoperations%2520-%2520Todd%2520Haglin/Managers%2520Meeting_6_4_15.ppt+%26%2361607%3B%09COOP&access=p&output=xml_no_dtd&ie=UTF-8&client=default_frontend&proxystylesheet=default_frontend&oe=UTF-8

Division of Homeland Security and Emergency Management (HSEM)

<https://dps.mn.gov/divisions/hsem/Pages/default.aspx>

Emergency Relief Manual

<https://www.fhwa.dot.gov/reports/erm/er.pdf>

Executive Order

<http://www.leg.state.mn.us/lrl/execorders/execorders.aspx>

FEMA Disaster Assistance

<http://www.fema.gov/response-recovery>

FEMA NIMS Training

<http://training.fema.gov/EMIWeb/IS/courseOverview.aspx?code=is-700.a>

Homeland Security Presidential Directive 5 (HSPD-5)

<http://www.gpo.gov/fdsys/pkg/PPP-2003-book1/pdf/PPP-2003-book1-doc-pg229.pdf>

Independent Study Program

<http://training.fema.gov/IS/crslist.aspx>

Minnesota Department of Public Safety (DPS)

<https://dps.mn.gov/divisions/hsem/Pages/default.aspx>

MnDOT Emergency Management

<http://ihub.dot.state.mn.us/security/>

Minnesota Statutes, Section 168B.035

<https://www.revisor.mn.gov/statutes/?id=168B.035>

National Preparedness Directorate

<http://www.fema.gov/national-preparedness-directorate>

National Response Framework

<http://www.fema.gov/national-response-framework>

NIMS

<http://www.fema.gov/national-incident-management-systempg229.pdf>

Risk and Vulnerability Assessment

<https://dps.mn.gov/divisions/hsem/homeland-security/Pages/critical-infrastructure-key-resources.aspx>

Radiological Emergency Preparedness Program

<https://www.fema.gov/radiological-emergency-preparedness-program>

State Duty Officer Program

<https://dps.mn.gov/divisions/bca/bca-divisions/administrative/Pages/minnesota-duty-officer-program.aspx>

State of Minnesota Homeland Security Training and Exercises

<https://dps.mn.gov/divisions/hsem/training/Pages/default.aspx>

Technical Memorandum No. 11-10-M-02

<http://dotapp7.dot.state.mn.us/edms/download?docId=1048072>

Technical Memorandums

<http://techmemos.dot.state.mn.us/TechMemo.aspx>