



U.S. DEPARTMENT OF  
TRANSPORTATION  
**Federal Highway  
Administration**

# Order

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Subject:

**Emergency Reporting Procedures**

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5181.1B	May 10, 2018	HOTO-1

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Par.

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1. **What is the purpose of this Order?** This Order amends the procedures and criteria for FHWA Headquarters offices and FHWA field offices to report significant incidents and events that affect the readiness and capabilities of the National Highway System (NHS), the Strategic Highway Network (STRAHNET), and other major arterials, or any incident that causes damage to an FHWA field office, equipment, facility, or death or injury to an FHWA employee or contractor.
2. **To whom does this Order apply?** This Order applies to FHWA Headquarters, FHWA field offices, and all FHWA personnel.
3. **Does this Order cancel an existing FHWA Order?** Yes, this order supersedes [FHWA Order 5181.1A](#), Emergency Reporting Procedures, dated March 5, 2010.
4. **What authorities govern this Order?**
  - a. [Presidential Policy Directive \(PPD\) 8, National Preparedness](#), dated March 30, 2011.
  - b. [Presidential Policy Directive \(PPD\) 21, Critical Infrastructure and Resilience](#), dated February 12, 2013.

- c. Presidential Policy Directive (PPD) 40, National Continuity Policy, dated July 15, 2016.
- d. [Federal Continuity Directive \(FCD\)-1 Federal Executive Branch National Continuity Program and Requirements](#), dated January 2017.
- e. [Federal Continuity Directive \(FCD\)-2 Federal Executive Branch Mission Essential Functions and Candidate Primary Mission Essential Functions and Submission Process](#), dated June 2017.
- f. U.S. Department of Homeland Security, [National Response Framework](#), dated June 2016.
- g. [U.S. Department of Transportation \(DOT\) Order 1900.9A Emergency Preparedness, Response and Recovery Programs, Draft](#).
- h. [FHWA Headquarters Continuity of Operations \(COOP\) Plan](#), Volume I, May 1, 2014.
- i. [FHWA Emergency Preparedness Program, Order 1910.2 D](#), dated January 11, 2001

**5. What are the general responsibilities associated with this Order?**

- a. Associate Administrators, the Chief Counsel, the Chief Financial Officer, Chief Innovation Officer, Directors of Field Services, Federal Lands Highway (FLH) Division Directors, Chief Technical Services Officer, and Division Administrators provide prompt initial notification, and necessary follow-up information regarding significant damage to an FHWA field office or facility, death or significant injury to an FHWA employee or contractor within their areas of responsibility, or damage or loss of FHWA equipment or vehicles caused by significant incidents (severe weather, acts of terrorism, civil unrest, etc.).
- b. Division Administrators and FLH Division Directors coordinate with appropriate Federal, State, Tribal, and Territorial (FSTT) officials to ensure that FHWA offices are informed of highway incidents that meet the reporting criteria described in this Order.
- c. Each FHWA field office will develop written procedures to ensure timely receipt of information from appropriate counterparts regarding incidents and events that meet the reporting criteria in this Order. These procedures will include:
  - (1) A process for identifying the field office Emergency Coordinator (Field EC) and Alternate Field EC. In addition, annual performance plans for each Field EC and Alternate Field EC will have language inserted in critical job elements (CJE) reflecting their Field EC or Alternate Field EC duties.

- (2) A process for notifying the FHWA HQs Emergency Coordinator (EC), FHWA HQ Transportation Security Coordinator (TSC), or designee [hereafter referred to as "FHWA HQ EC"], when the field office identifies a new staff member who is responsible for Field EC or Alternate Field EC duties.
- (3) A process for receiving reports of incidents or events involving highways or highway infrastructure (and obtaining additional details, when necessary or upon request) from appropriate departments of transportation, highway agencies, public safety or emergency management agencies; 24 hours a day, 7 days a week. (applies only to Federal-aid and Federal Lands Division Offices)
- (4) A process for reporting incidents or events involving highways or highway infrastructure (applies only to Federal-aid and Federal Lands Division Offices), significant damage to an FHWA field office or facility, death or significant injury to an FHWA employee or contractor within their areas of responsibility, or damage or loss of FHWA equipment or vehicles caused by significant incidents (severe weather, acts of terrorism, civil unrest, etc.) to the FHWA HQ EC in a timely manner when deemed necessary based on reporting criteria established in this Order.

**6. What are the general reporting criteria for highway incidents?** Highway incidents (including those that affect infrastructure) and other incidents or events meeting one or more of the following criteria shall be reported to the FHWA HQ EC:

- a. Any incident or event that, in the opinion of the Division Administrator or FLH Division Director, will generate immediate national interest and/or media coverage.
- b. Incidents or events that create disruption to NHS operations for 8 hours or more. These incidents can include, but are not limited to:
  - (1) Damage to, or closure of highways or highway infrastructure caused by an act of nature including, but not limited to, earthquakes, floods, tornadoes, hurricanes, or wildfires. For winter weather, only report closures to the Interstate Highway System;
  - (2) Damage to, or closure of highways or highway infrastructure, caused by crashes, terrorist or criminal acts, or unknown causes;
  - (3) Evacuation conducted for any reason; or
  - (4) Planned special events or construction that requires an extended (greater than 8 hour) closure on the Interstate Highway System.

- c. Other highway incidents (including incidents that occur on NHS and non-NHS roads) that shall be reported regardless of the reason or duration of the disruption:
  - (1) Crashes involving 6 or more fatalities;
  - (2) Crashes involving 10 or more vehicles;
  - (3) Commercial Vehicle crashes resulting in 2 or more fatalities or receiving statewide media attention;
  - (4) Highway fatalities directly related to a natural disaster;
  - (5) School bus crashes resulting in serious injuries, fatalities, or statewide media attention;
  - (6) Passenger bus crashes (including transit buses and private motorcoach operations) resulting in 2 or more fatalities, 5 or more serious injuries (requiring transport), or receiving statewide media attention; or
  - (7) Crashes or other incidents involving significant damage to highway infrastructure.
- d. Highway incidents resulting in the loss of life or serious injury of a prominent individual such as a Member of Congress, senior member of the Executive Branch, military official, diplomatic dignitary, or other major public figure.

**7. What are the notifications, requirements, and procedures for highway incidents?**

- a. All reporting shall be made by email to FHWA\_HQEC@dot.gov in accordance with FHWA Emergency Operations SOP 2: *FHWA Field EC Incident Reporting*. During times when reporting on all required elements of information via email is not possible in a timely manner, provide the information by whatever means may be available, to include direct telephone contact with the HQ EC. Other FHWA leadership shall be notified as deemed necessary by Division Administrators and FLH Division Directors.
- b. All highway incident reports shall include the following information: (See FHWA Emergency Operations SOP 2 for examples and additional information on formatting requirements)
  - (1) **Reporting Agency**
  - (2) **Incident Type (based on reporting criteria identified in Section 6 (a-d))**
  - (3) **Incident Location**
  - (4) **Incident Report**
    - a. Brief points summarizing incident

- b. Time of incident (if different from report time)
- c. Impact to operations (i.e. road closure)
- d. Number of fatalities or injuries
- e. Damage to facility
- f. Detours in place
- g. Status of FHWA personnel, if applicable

(5) **Actions/Follow Up**

(6) **Additional Information (narrative, images, Websites)**

- c. In general, follow-up reports (if applicable) shall be provided only as the incident or event changes, or when significant new information is received. However, for certain incidents or events identified by the FHWA HQ EC, Federal Highway Administrator, or Secretary of Transportation, one or more situation reports may be requested in accordance with an established operational tempo.
- d. For scenarios where information about an incident meeting the criteria identified in Section 6 is unavailable, Field ECs are advised to submit their initial reports based on available, confirmed information to ensure timely reporting. Missing information shall be provided in an update when the information becomes available.

**8. What are the reporting requirements for non-highway significant incidents affecting FHWA employees or facilities?**

- a. All field and HQ offices shall report on the following items describing the status of FHWA employees and facilities following significant incidents (severe weather, acts of terrorism, civil unrest, etc):
  - (1) Real-world (non-drill) evacuation from an FHWA field office or facility;
  - (2) Significant damage to an FHWA field office or facility;
  - (3) Significant damage to FHWA equipment or vehicles; or
  - (4) Significant injury or death to an FHWA employee or contractor
- b. Reporting shall be made in accordance with procedures identified in Section 7 (a). Other FHWA leadership shall be notified as deemed necessary by Division Administrators and FLH Division Directors.
- c. All non-highway significant incident reports shall include the following information: (See FHWA Emergency Operations SOP 2 for examples and additional information on formatting requirements)
  - (1) **Incident Description**
  - (2) **Number of fatalities or injuries to FHWA personnel or supporting contractors**
  - (3) **Estimate of damage value (if applicable)**
  - (4) **Requirements to replace damaged office equipment or vehicles (if applicable)**

- d. Follow-up reports shall be made in accordance with procedures identified in Section 7 (c) and (d).

**9. What reports are required in preparing for, during, or following an incident of regional or national significance?**

- a. Essential Elements of Information (EEI) are best described as a series of questions that must be answered before (if possible), during, and after an incident, to ensure effective and efficient coordination of disaster response resources and timely infrastructure reopening.
- b. EEI Reporting is initiated by the FHWA HQ EC in response to a notice or no-notice incident or event. The FHWA HQ EC will initiate reporting by issuing an Incident Reporting Order (IRO) to Field ECs and Alternate Field ECs in affected states. The IRO documents FHWA HQ Emergency Response Team operations (including potential DOT HQ Crisis Management Center activation) and notifies Field ECs of their reporting responsibilities. Field Offices shall acknowledge receipt of the IRO and respond to the FHWA HQ EC with EEIs in accordance with the reporting schedule established within the IRO.
- c. The following EEI are established reporting requirements for field offices and HQs (as applicable) prior to an incident that occurs with advance notice, as well as during the response and recovery phases that follow an incident. In addition to the below EEIs, Field ECs shall continue to submit incident reports for significant highway and non-highway incidents in accordance with Section 6, 7, and 8, above.

(1) Pre-incident

(a) Internal (your office)

1. Is the office in the anticipated area of impact?  
*If the answer to #1 is "Yes" or "Unsure," answer #2-4 below:*
2. Have COOP and other office emergency plans been reviewed and appropriate actions taken? What actions have been taken to prepare for the incident?
3. Are alternate communications capabilities and procedures tested and available?
4. Have employees been briefed regarding accountability procedures and requirements?
5. How many employees normally work in your duty location (including Professional Development Program, interns, Alternative Duty Location employees physically

located in your office, etc.) [For HQ organizations, how many employees are physically located in HQ? How many participate in Remote Work and where are they located?]

6. Will FHWA have a seat in a State or local Transportation Management Center (TMC) or Emergency Operations Center (EOC), if those facilities are activated? If so, what is the staffing plan for that seat (names/shifts/phone numbers/facility address)?
7. Have any employees been deployed as ESF-1 Regional Emergency Transportation Cadre members by the Regional Emergency Transportation Representative for this incident? If so, please identify those employees and the location(s) to which they have been deployed.

(b) External (your State or counterpart offices)

1. Are evacuations being considered?  
*If the answer to #1 is "Yes," answer #2-4 below:*
2. What are the evacuation plans?
3. What is the evacuation status in the affected location (voluntary/mandatory)?
4. Are contraflow operations being considered to facilitate evacuation? What is the contraflow plan (lanes being used for contraflow/hours of operation/agency administering contraflow)?
5. If applicable, is your State or counterpart office actively coordinating with neighboring State(s) or jurisdictions within the region to identify unmet needs, share transportation infrastructure status or to facilitate evacuation operations?
6. Please identify any significant traffic incidents (crashes, queues) identified by your State or counterpart office as a result of the incident. How will these incidents affect evacuation or other disaster operations?
7. Please identify toll facility operators and all tolled facilities in the affected region. Do toll operators have plans in place to allow waivers for first responders or utility operators? Are there plans for the suspension of toll collection?

8. Has your State or counterpart office suspended ongoing construction activities or work zone operations?

(2) During and following a notice or no-notice incident or event

(a) Internal (your office)

1. Submit office accountability report to FHWA HQ EC in accordance with established Field Office procedure. Who is still unaccounted for?
2. What is the status of FHWA field office facilities and equipment?
3. Have any employees been deployed as an Emergency Support Function (ESF 1) Regional Emergency Transportation Cadre members by the Regional Emergency Transportation Representative for this incident? If so, please identify those employees and the location(s) to which they have been deployed.
4. What is the estimate for your office returning to normal operations?
5. Do you have any unmet needs?

(b) External (your State or counterpart offices)

1. What is the status of the highway infrastructure in your State? Please identify closures, significant infrastructure damage, bridge and tunnel status, or anything else that is noteworthy on the following networks:
  - NHS
  - STRAHNET
  - Other major arterials
  - Intermodal transportation facilities
  - State and local infrastructure necessary to facilitate response to the incident
2. What is the highway infrastructure damage assessment schedule? If assessments are ongoing or are complete, what are the results?



3. Is your State/counterpart planning on requesting FHWA Emergency Relief (ER) funds? Do you anticipate a request for ER quick release funds?
4. To what extent has your office taken action to assist your State/counterpart?
5. If evacuation occurred as part of this incident, what is the status for re-entry planning and re-entry operations?

(3) At all times, be prepared to:

- (a) Respond to requests for information (RFI) from FHWA HQ, DOT personnel, ESF 1 personnel, and other interagency partners.
- (b) Coordinate with your state or counterpart offices to respond to RFI or to deconflict reports on transportation infrastructure status.
- (c) Identify office personnel supporting the response, including their names, their locations, and their contact information.

**10. What are the reporting procedures when the DOT Emergency Response Team (ERT) is activated?**

In the event the Secretary's ERT is activated and FHWA representatives must provide staffing to the DOT Crisis Management Center (CMC) to support the response to an incident or event, applicable field offices will be notified by email or other means by the FHWA HQ EC. The FHWA HQ EC will issue the FHWA IRO, information about the CMC activation, and contact information for the FHWA HQ EC and the FHWA ERT. The FHWA HQ EC will also establish an operational tempo for reporting purposes. Field Office ECs and Alternates shall provide information to the FHWA HQ EC in accordance with the operational tempo identified within the IRO, including nights and on weekends, when applicable.

The FHWA HQ EC or representative at the CMC will prepare Situation Reports and keep the affected Field Offices, FHWA Administrator and HQ staff informed.

- 11. Where can I get additional information?** For additional information, contact the FHWA HQ EC at [FHWA\\_HQEC@dot.gov](mailto:FHWA_HQEC@dot.gov) or 202-366-6738.



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