

# USCG/CBP NATIONAL PROTOCOLS FOR MTS RECOVERY



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Overview

- **Purpose**
- **Goals**
- **Stakeholders Engaged**
- **Description of MTS Recovery Protocol**
- **Results**



**Homeland  
Security**



U. S. Customs and  
Border Protection



**U.S.  
Coast Guard**

# Purpose of MTS Recovery Protocol

- Provide a forum for joint intergovernmental dialogues and joint government/private sector dialogues to identify and act on important issues to facilitate rapid MTS recovery and resumption of commerce.
- Assist senior-level decision makers by providing a process to collect and disseminate information to understand the status of the national MTS and to facilitate joint decision-making.
- Assist senior-level decision makers by providing recommendations for national-level priorities for recovery of the MTS and resumption of trade. The priorities may include cargo or vessel priorities, or strategic actions necessary to facilitate rapid recovery of the MTS and resumption of trade.



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

Purpose

Goals

Stakeholders

Description

Results

# Employment of MTS Recovery Protocols

- **Recovery Protocols are NOT:**
  - Used for Incident Management - falls under the **NIMS** Process
  - Activated when the event or incident *directly and/or indirectly* affects only 1 Port.
    - Managed by the COTP under the AMSC process
- **Recovery Protocols ARE:**
  - Focused on the expeditious recovery of trade / passenger flows through the MTS following an incident
  - Activated **by mutual decision** that an event or incident **has the potential to significantly disrupt trade flows on a national or area wide basis ...** e.g directly and/or indirectly affects workload / processing at *multiple Ports*
  - Initial *triggers* have been agreed to:
    - Port closed for more than 72 hours
      - Passenger operations closed for more than 24 hours
    - One way vessel traffic in a Port for more than 48 hours
    - MARSEC 2 status at multiple ports in a region
    - MARSEC 3 status at any major Port



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Goals of MTS Recovery Protocol

- Support NSPD-41/HSPD-13 initiatives
- Support MTSA requirement for an “ALL HAZARDS” plan to ensure cargo flow is efficiently and quickly reestablished through U.S. ports after a Transportation Security Incident (TSI) or other disruptive event
- Fulfill SAFE Port Act requirement to provide protocol for expeditious resumption of trade in a post TSI environment
- Consider collateral impacts of MTS incident on international commerce
- Facilitate federal decision-making actions
- Help to implement the MIRP requirements
- Define Coast Guard and CBP interactions with other government agencies in recovery effort

Accomplish goals by establishing a communications process at national level



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

Purpose

Goals

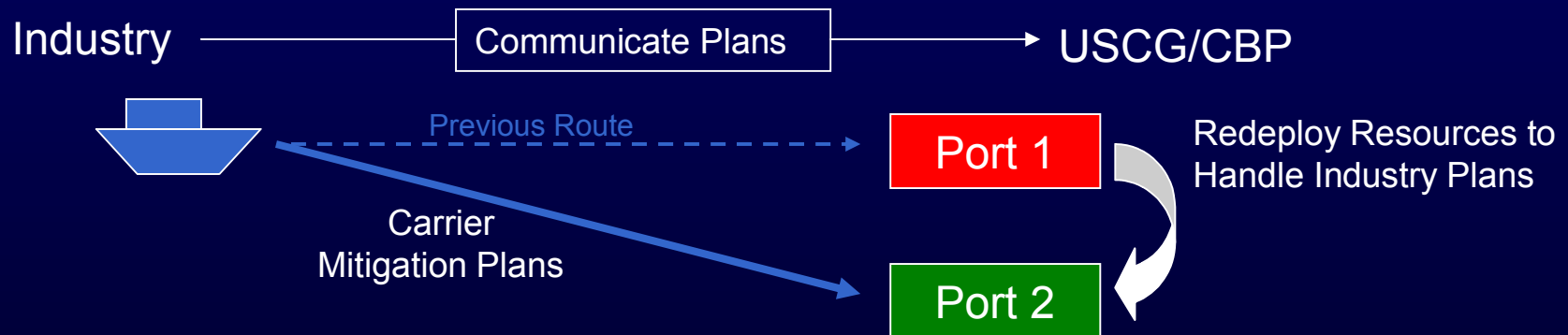
Stakeholders

Description

Results

# USCG/CBP as Facilitators

- Protocols establish **a collaborative process** which recognizes that no single government agency or private sector organization has the responsibility, resources, or awareness needed to individually manage MTS recovery. Designed to:
  - **Facilitate** private sector actions to manage the impacts of the incident on the flow of trade
  - Collect information regarding the shift of commercial maritime traffic so that we can **plan federal asset shifts**



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Industry Stakeholders Engaged in MTS Recovery Protocols

- Protocols' Establish Two Primary Industry Support Groups
  - Carrier Support Group
  - Trade Support Group
- Purpose
  - Serve as information conduits to constituencies
    - Limited partners to provide efficient, yet effective and timely communications
  - Members represent the preponderance of commercial interests in waterborne trade



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Industry Stakeholders Engaged in MTS Recovery Protocols

## CARRIER SUPPORT GROUP

### Consultation:

- World Shipping Council
- Chamber of Shipping of America
- Int'l. Assn. of Independent Tanker Owners
- American Waterway Operators
- Cruise Lines Int'l. Assn. (ICCL)
- Passenger Vessel Assn.
- Lake Carriers Assn.

### Notification Only:

- Baltic and Int'l. Maritime Council (BIMCO)
- Intercargo

## TRADE SUPPORT GROUP

### Consultation:

- American Assn. of Port Authorities
- Inland Rivers Ports & Terminals
- National Assn. of Waterfront Employers
- National Customs Brokers & Forwarders Assn.
- Association of American Railroads
- American Trucking Association
- American Assn. of Exporters & Importers
- U.S. Chamber of Commerce
- Business Roundtable
- Retail Industry Leaders Association



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

Purpose

Goals

Stakeholders

Description

Results



# Federal Government Stakeholders Engaged in MTS Recovery Protocols

## Department of Homeland Security

- USCG
- CBP
- TSA
- FEMA

## Department of Defense

- SDDC
- MSC
- USACE

## Department of Commerce

## Department of Transportation

- FHWA
- MARAD
- FRA

## Department of Justice

- FBI

## Department of State

## Department of Energy

- FERC



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

Purpose

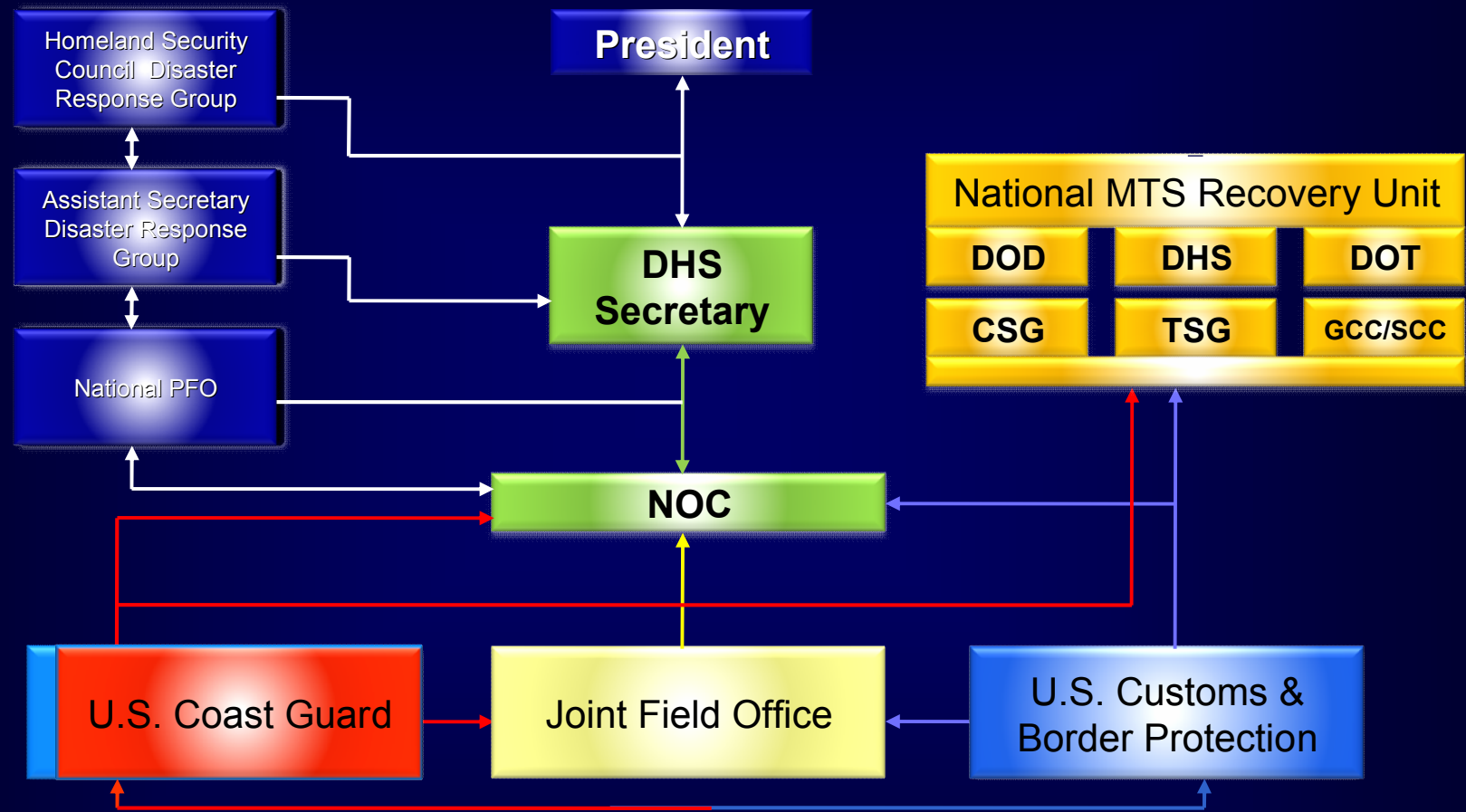
Goals

Stakeholders

Description

Results

# MTS Recovery Protocols Communications Flow Chart



Homeland Security

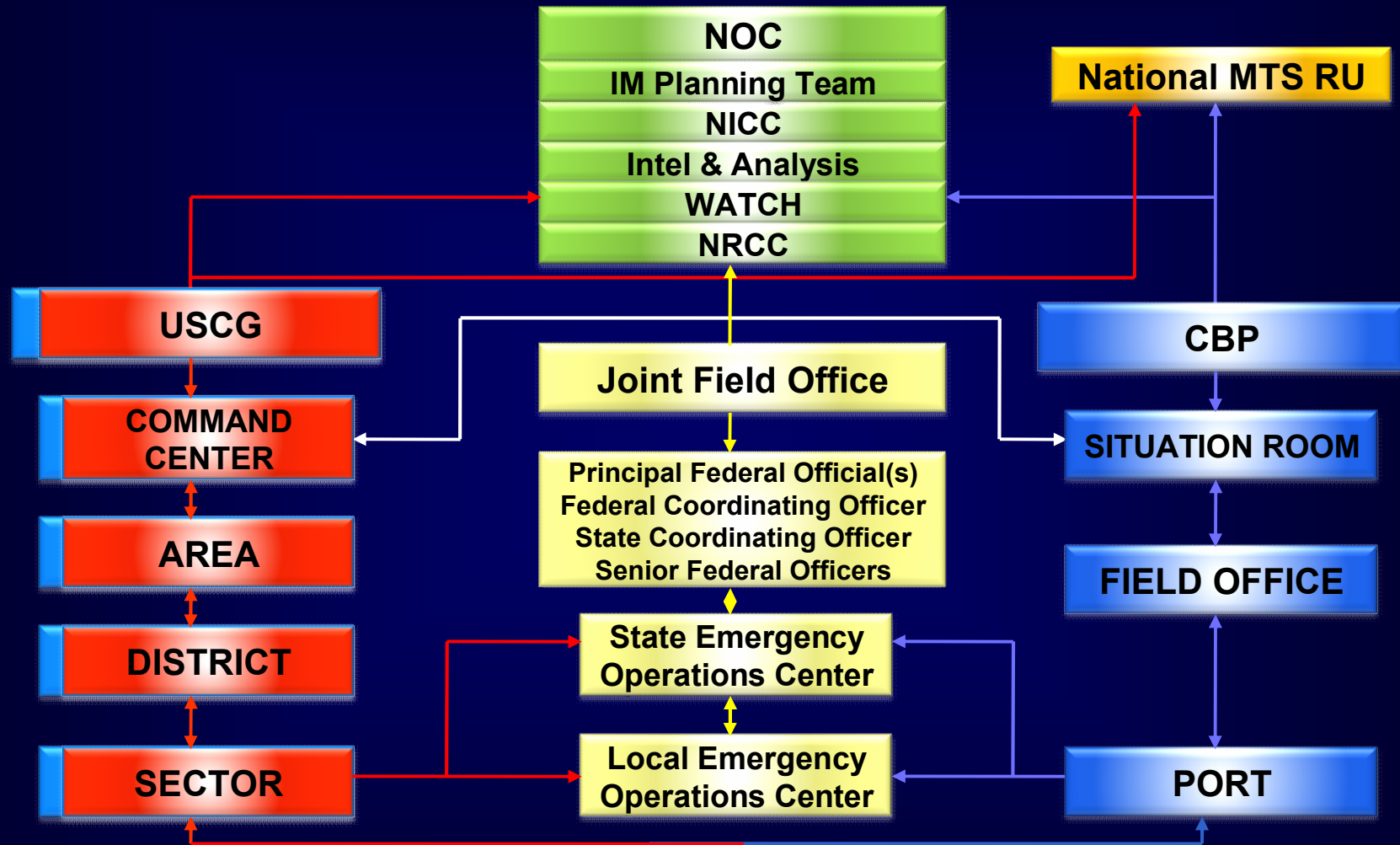


U. S. Customs and Border Protection



U.S. Coast Guard

# CBP/ USCG MTS Recover Protocols Communications Flow Chart



Homeland Security



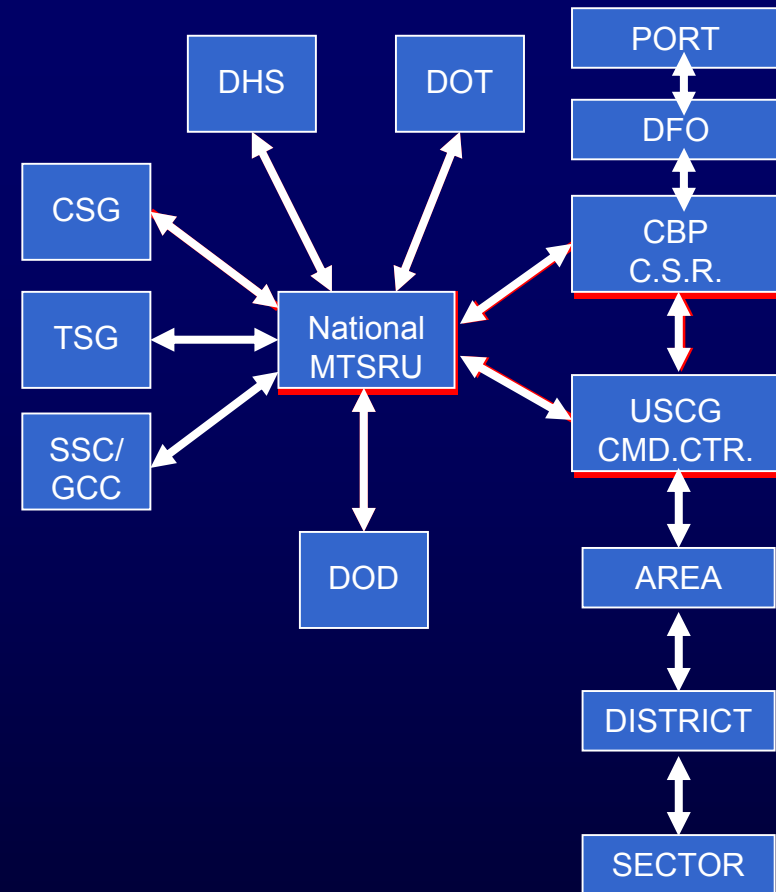
U. S. Customs and Border Protection



U.S. Coast Guard

# Initial MTS Recovery Protocol Actions

1. **Decide to activate Protocols (USCG/CBP)**
2. **Determine MTS constraints from other federal partners**
3. **Communicate NROM decisions and constraints to Carrier Support Group**
4. **Request Carrier Support Group mitigation plans**



Homeland Security



U. S. Customs and Border Protection



U.S. Coast Guard

Purpose

Goals

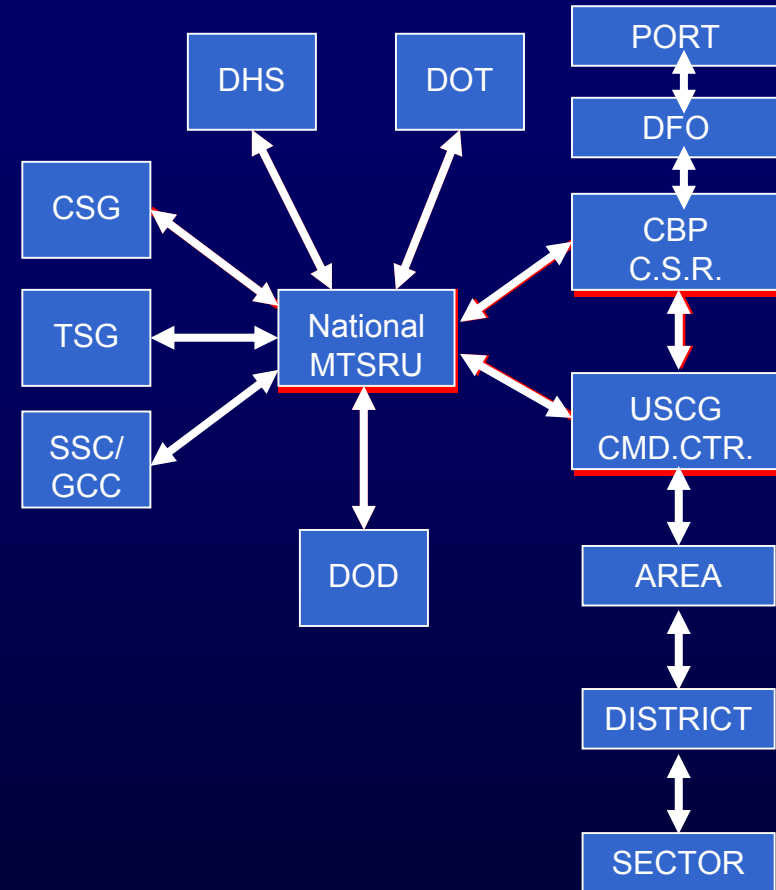
Stakeholders

Description

Results

# Initial MTS Recovery Protocol Actions

5. Identify critical cargo movements from DOD (SDDC, MSC) and FERC
6. Inform Carrier Support Group of critical cargo movements
7. Identify carrier mitigation plans from Carrier Support Group
8. Inform TSA and DOT (FRA, FHWA) of carrier mitigation plans



Homeland Security



U. S. Customs and Border Protection



U.S. Coast Guard

Purpose

Goals

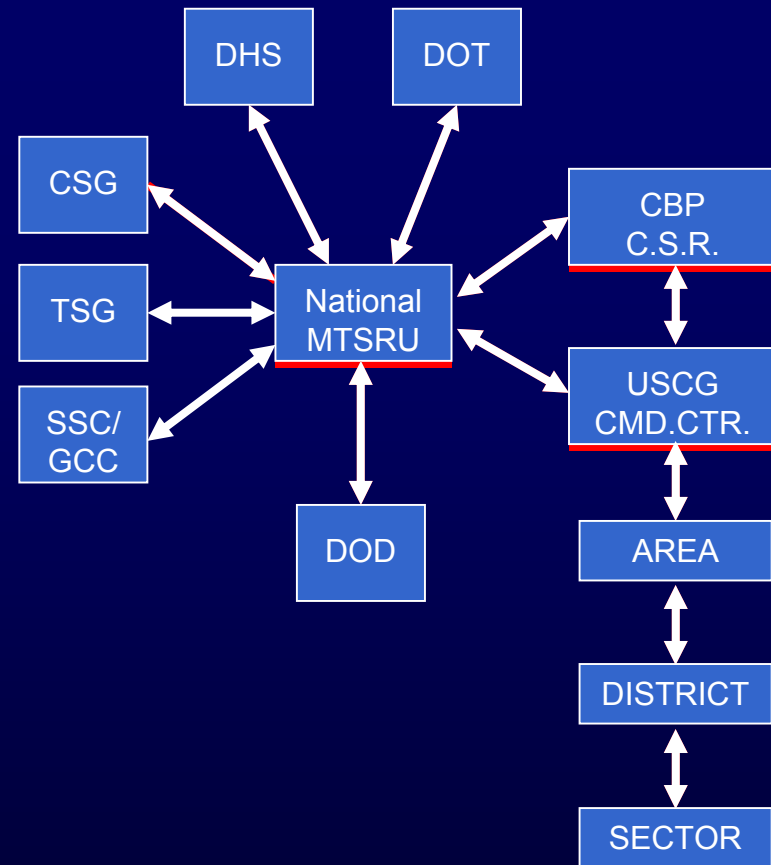
Stakeholders

Description

Results

# Initial MTS Recovery Protocol Actions

5. Identify critical cargo movements from DOD (SDDC, MSC) and FERC
6. Inform Carrier Support Group of critical cargo movements
7. Identify carrier mitigation plans from Carrier Support Group
8. Inform TSA and DOT (FRA, FHWA) of carrier mitigation plans



Homeland Security



U. S. Customs and Border Protection



U.S. Coast Guard

Purpose

Goals

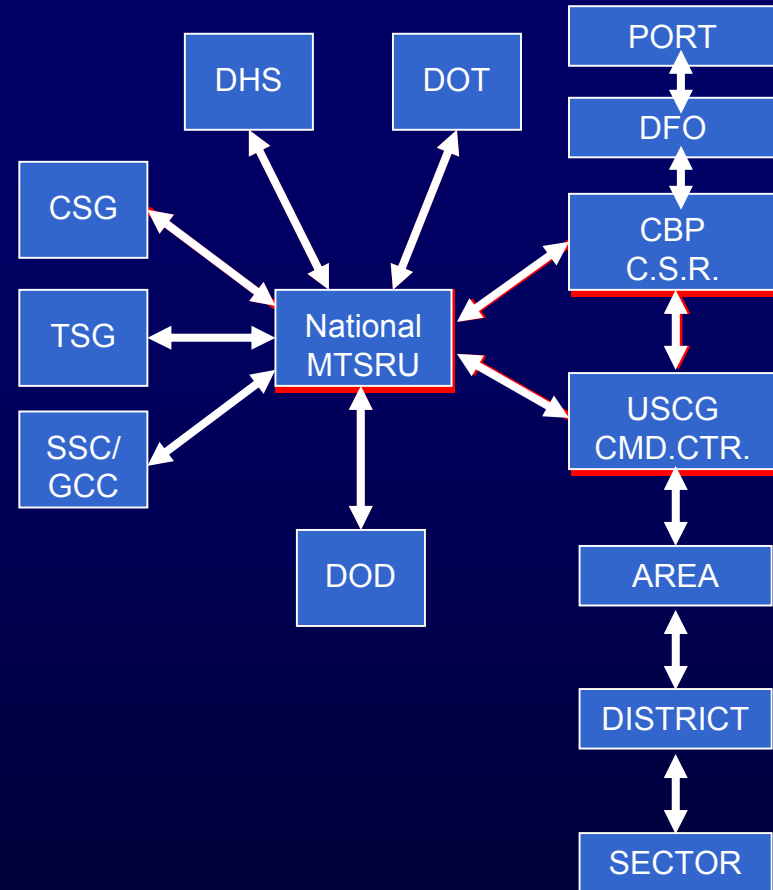
Stakeholders

Description

Results

# Initial MTS Recovery Protocol Actions

- 9. Identify inland carrier capabilities and constraints
- 10. Identify CBP and USCG resources available for deployment
- 11. Notify Carrier Support Group of inland carrier and DHS capabilities



Homeland Security



U. S. Customs and Border Protection



U.S. Coast Guard

Purpose

Goals

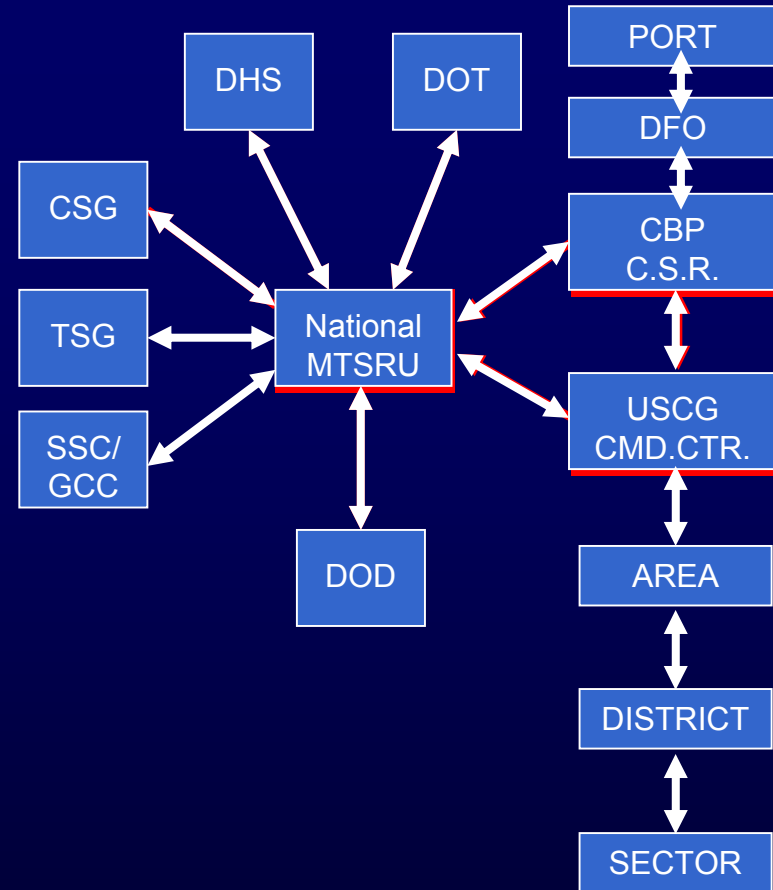
Stakeholders

Description

Results

# Initial MTS Recovery Protocol Actions

- 12. Confirm carrier mitigation plans from Carrier Support Group**
- 13. Inform broad community of mitigation plans**
  - Federal – DHS, DOD, DOT, DOJ, DOE, DOC, DOS
  - State and Local Governments
  - Industry – Trade Support Group
  - Public via media
- 14. Redeploy CBP and USCG resources**



Homeland Security



U. S. Customs and Border Protection



U.S. Coast Guard

Purpose

Goals

Stakeholders

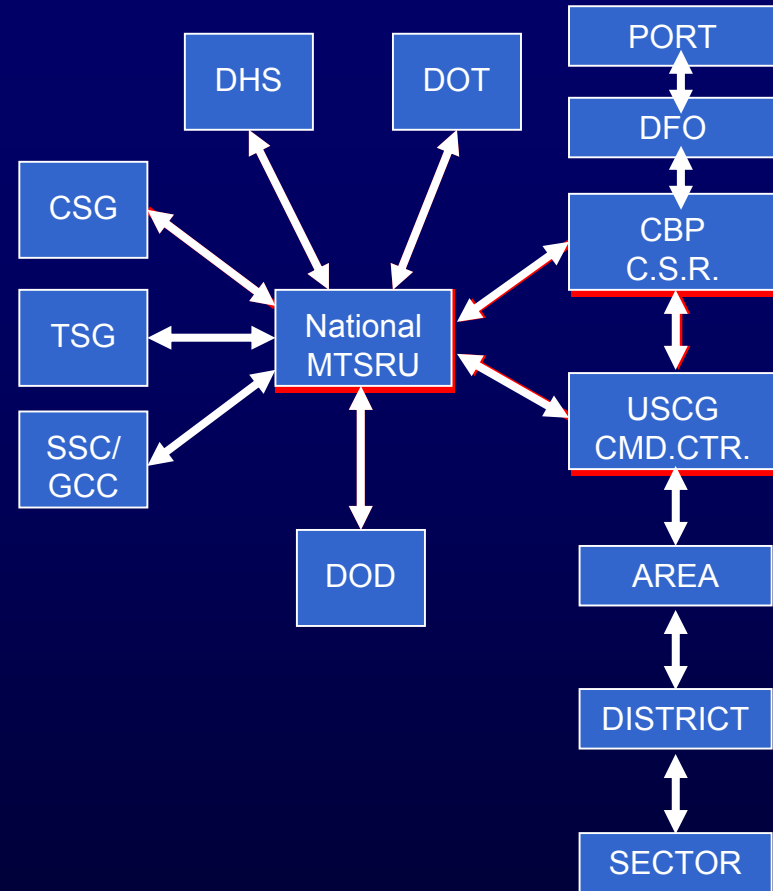
Description

Results



# Initial MTS Recovery Protocol Actions

- 15. Identify additional security requirements**
- 16. Coordinate additional security with DHS, DOJ, State and Local Law Enforcement**
- 17. Monitor status of MTS and identify industry concerns**



Homeland Security



U. S. Customs and Border Protection



U.S. Coast Guard

Purpose

Goals

Stakeholders

Description

Results

# Expeditious MTS Recovery

By following the MTS Recovery Protocol, the USCG, CBP, and other federal agencies, informed with pertinent and timely information from affected stakeholders, will communicate more efficiently and effectively, resulting in a more expeditious MTS recovery that mitigates the detrimental effects of a disruption in trade.



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

Purpose

Goals

Stakeholders

Description

Results

# National Protocols Extension to Exercise ARGUS



**Homeland  
Security**



U. S. Customs and  
Border Protection



**U.S.  
Coast Guard**

# Background

- USCG/CBP opted to use Argus to more fully test the USCG/CBP to CSG/Carriers communication portion of the National Protocols
- Exercise Objectives
  - Verify Points of Contact and Alert Notification System
  - Validate information delivery capabilities of USCG, CBP and CSG
  - Identify areas of the Protocols communication process requiring strengthening
  - Provide insight into Carrier responses to a disruption in the MTS
- CSG Participants
  - World Shipping Council
  - Chamber of Shipping
  - Cruise Line International Association
  - Lake Carriers Association



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Exercise Structure

- Limited play to 1 day – 13 Aug
- Modified Scenario
  - First Call ... CSG notified of
    - Blount Island explosion
    - Cargo ship sinking in traffic lane just south of Pine Island requiring salvage operations
    - Potential closure of the Port for period of salvage operations .. Projected to be up to 10 days
  - Second Call
    - CSG reported responses from contacted carriers
    - CSG provided situation update
      - COTP assessing ability to support one way traffic within next 48 hours
      - MARSEC 3 and HSAS Red likely to be reduced within next 24 to 48 hours



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Exercise Results

- **Communication Delivery System**
  - **USCG/CBP to CSG**
    - USCG Alert Warning System was effective in notifying CSG of the MTS disruption
    - USCG/CBP to CSG conferencing and email capabilities
      - Were quickly established
      - Sufficient for the purposes of this exercise
        - Scalability for events of greater scope & longer duration should be tested
          - Includes data input and accumulation capabilities
  - **CSG to carrier communications**
    - Variety of mechanisms used but all adequate for exercise
    - 66% felt sufficiently robust to handle large scale events
    - Remainder reserved judgment pending better understanding of requirements associated with events of greater scope



# Exercise Results

- **Information Content**

- CSG felt Situation Summary content was adequate to canvas their constituents for responses / actions
  - Stressed importance of projected duration for MTS constraints
- CSG Recommended:
  - Situation Summaries include specific questions of interest to USCG/CBP
  - Indicate at the earliest opportunity
    - Changes and confidence level in the expected duration of MTS constraints
      - Heightened security levels was of interest – particularly MARSEC 3
      - The degree to which the channel is obstructed
      - If the situation would permit the use of lighters, tugs, barges etc
      - Any difference with regard to the movement of vessels already inport
  - Include the UBRM information in the **written** Situation Summaries



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Exercise Results

- **CSG Roles and Organization**

- CSG Functional Role is well understood by its members, but **not as well understood by their constituents**
  - Questions from constituents about relationship of the National Protocols to normal communication channels to COTP/Port Director
  - USCG/CBP agreed to provide CSG collateral and assist in publicizing when the National Protocols will be employed and how they affect communication channels
- Some CSG members expressed concerns that their normal constituent contacts may not be at a high enough level to efficiently and effectively fulfill their functions.
  - USCG/CBP committed to working with CSG members to resolve
- CSG member boundaries
  - Some overlapping membership ... need to eliminate duplication of effort
  - Need to address how waterborne providers who do not belong to any CSG maritime associations are included in the process



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard



# Exercise Results

- **Business Resumption Implications of Argus**
  - Carriers felt that from a commercial perspective the disruption could be managed relatively easily due to its short duration, the modest volumes of cargo involved, and the capabilities of alternative Ports.
    - Mitigation actions ranged from diversion to alternate ports to anchoring off Jacksonville until it reopened (1 vessel)
    - Diversions were generally to Ports which the carriers currently service
      - Container processing capacity at alternates, particularly Charleston, was felt to be more than sufficient
      - Some concern from Car Carrier about the availability of yard space in Baltimore
      - Time zone difference precluded definitive responses from some Asian based carriers



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Exercise Results

- **Business Resumption Implications of Argus (con't)**
  - The exercise was not successful in addressing maintaining critical cargo flows to and from Puerto Rico during a major disruption because:
    - The closure was too short
    - Volumes too modest
    - Alternative **Port capabilities**



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard

# Carrier Perspectives



Homeland  
Security



U. S. Customs and  
Border Protection



U.S.  
Coast Guard