



# 2012 Regional Workshops

NYS Division of Homeland Security and Emergency Services,  
Office of Counter Terrorism (OCT)

*Achieving Excellence Through Innovation*



# Welcoming Remarks

**F. David Sheppard, Assistant Director  
Federal Grant Program Administration**



# Welcome!!

- Agenda Overview
- 2012 Workshop Objectives
- 2012 Workshop Themes
- Housing Keeping Items



# Agenda Overview

- DHSES Commissioner's Initiatives and Priorities
- Threat Briefing (DHSES-Intel and DHSES-Cyber Security)
- Regional Best Practices Presentation
- Concurrent Sessions (AM & PM)
- Lunch
- Homeland Security Funding- A Look into the Future



# 2012 Workshop Objectives

- **Grants:** Provide information to local stakeholders regarding FY2012 homeland security grants, new reporting requirements, and to obtain their suggestions on how to improve the grants process, from start to finish.
- **Threat:** Share updated threat information to local stakeholders including how terrorism threat has evolved since 9/11/01 to help inform their local risk management process.
- **Homeland Security Initiatives:** Provide information to local stakeholders regarding current DHSES Homeland Security Initiatives (e.g. OIEC Grant Initiatives, Assessing State and Local Capabilities, First Responder Credentialing) and solicit their feedback on how to advance or enhance these initiatives.



# 2012 Workshop Themes

- Continue to foster and Strengthen State-Local Partnerships
- Emphasis on Two-Way Information Sharing
- DHSES “Customer Service” to our Local Stakeholders
- Building, Assessing and Measuring Capabilities-  
*New Federal Reporting Requirements for FY2011-FY2012*



# 2012 Workshop Themes, cont.

- DHSES and DHS Priorities
  - Focusing on the sustainment of critical capabilities vs. development of new capabilities
  - Best Practices for completing projects within the 2 year period of performance (*Congressional emphasis on spend-down rates*)
  - Regional collaboration
  - Emphasis on the “whole community” and a complete cycle of preparedness—i.e. planning, equipping, training and exercising



# Housing Keeping Items

- Bathrooms and Lunch
- Emergency Exits
- “Electronic Leashes”
- Acknowledgements
- Post-Workshop Survey



# Questions?

DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES



OFFICE OF COUNTER TERRORISM

# Commissioner's Initiatives and Priorities

NYS Division of Homeland Security and Emergency  
Services



# Initiatives

- State Preparedness Training Center (SPTC)
  - Expanded opportunities, venues, discipline coverage
  - Enhanced simulation venues to prepare first responders for NYS's greatest risks and threats
  - Mass transit, air transportation, CBRNE, hospital surge capacity, mass causality, law enforcement capabilities



# Priorities

- **Building Sustainable Systems**
  - Engage in complete homeland security preparedness process: Planning, equipping, training, exercising, reassess
  - Fund projects informed from gap analysis
- **Sustaining and Maintaining Useful Capabilities**
  - Decreased funding = prioritize your critical capabilities
  - Sustain and maintain what is useful to your current risk and threat profile
- **Build and Sustain Interoperable Communications Systems**
  - Critical to all major incidents
  - Projects should focus on Federal and state strategic goals (e.g. NECP, SCIP, OIEC)



# Priorities

- **Maintaining Core Planning and Response Capabilities**
  - Effective and comprehensive plans
  - Close planning gaps and constantly validate plans through training, exercises, and real-incident AARs
- **Focusing on Worst Case Scenario**
  - Identify your jurisdictions worst case scenario and plan from there
  - Easier to scale down from your worst case scenario than to scale up to it
- **Developing Regional Capabilities**
  - Engage your regional stakeholders and assess your risk/threat profile
  - Less funding necessitates harnessing the development of regional assets, where appropriate



# Thank You!

- Share your best practices
- Network with your stakeholders
- Engage DHSES on your questions, comments and concerns



# Threat Briefing

**New York State Intelligence Center**

**Tom Smith, Director, DHSES-Office of Cyber Security**



# QUESTIONS?

## Contact Information

Ian Anderson, Intelligence Analyst  
DHSES Office of Counter Terrorism  
New York State Intelligence Center (NYSIC)  
[ianderson@dhSES.ny.gov](mailto:ianderson@dhSES.ny.gov)  
(518) 786-2463

**NYS Division of Homeland Security and Emergency Services  
Office of Counter Terrorism**

**Homeland Security Grant Program**

**2012 Regional Workshop**  
*Achieving Excellence through Innovation*



***Thomas D. Smith, Director***  
***Office of Cyber Security***





# Office of Cyber Security Overview

- **Established as the Office of Cyber Security and Critical Infrastructure Coordination in September 2002**
- **Responsible for leading the State's efforts regarding cyber security readiness and critical infrastructure coordination**
- **Operates on the principles of collaboration and cooperation**

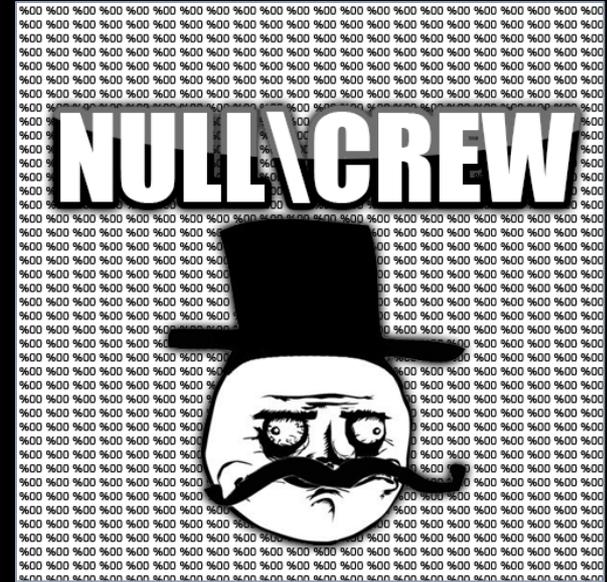
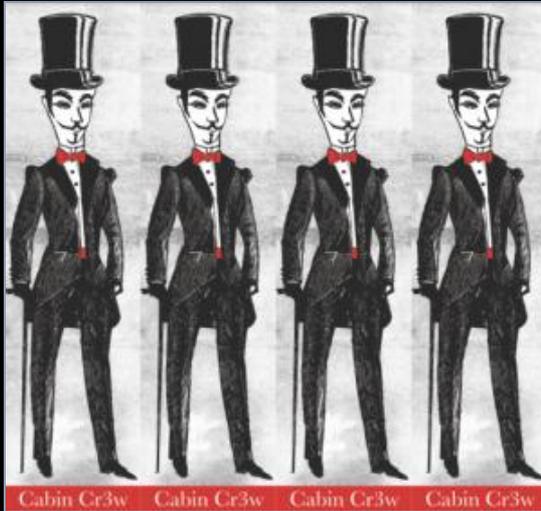
# WHAT IS HAPPENING IN 2012?

- **Cyber crime cost U.S. consumers \$20.7 billion from July 2011 to July 2012.**
  - **2012 Norton Cybercrime Report**
- **Senators Say Video Urging Electronic Jihad Underscores Need for Cybersecurity Standards**
  - **U.S. Senate Committee on Homeland Security and Governmental Affairs, May 22, 2012**
- **The number of variants of malware aimed at mobile devices rose from about 14,000 to 40,000 or about 185 percent from July 2011 to May 2012**
  - **GAO Report [GAO-12-757], September 2012**

# WHAT IS HAPPENING IN 2012?

- **Andrew James Miller was arrested for trying to sell access to two National Energy Research Scientific Computing Center supercomputers for \$50,000.**
  - **U.S. Department of Justice, June 14, 2012**
- **“Super-virus Flame raises the cyberwar stakes”**
  - **CNN Money, May 30, 2012**
- **“[B]oards and senior management still are not exercising appropriate governance over the privacy and security of their digital assets.”**
  - **Carnegie Mellon University CyLab 2012 Report**

# Tidal Wave of "Hacktivism"





# Agency Targeted by Anonymous

JUSTICE  
IS  
COMING

OCCUPY WALL STREET 9/17/11



```
41.  
42. Website:  
43.  
44.     TWITTER.COM => censorship - meh, #TakeWallStreet is trending worldwide  
45.  
46.     http://www.banking.state.ny.us/ being a site for NY banks then you have them all  
47.  
48.     http://www.nyc.gov/html/nypd/html/home/home.shtml for blocking the exchange  
49.  
50.
```

# Agency Targeted by Anonymous

## Operation Invade WALL STREET

THIS IS NOT AN OCCUPATION. THIS IS AN INVASION

Citizens of the World,

We are Anonymous.

**For too long, the crimes of Wall Street bankers, CEOs, and a corrupt political system have gone unchallenged.**

Today, the citizens of New York are fighting against these atrocities and injustices, to show that we, the 99%, will no longer grease the gears of this abhorrent system.

The lifeblood of the country is the working class, without it society will crumble. Yet our government has granted hefty tax exemptions to the rich at the cost of social services.

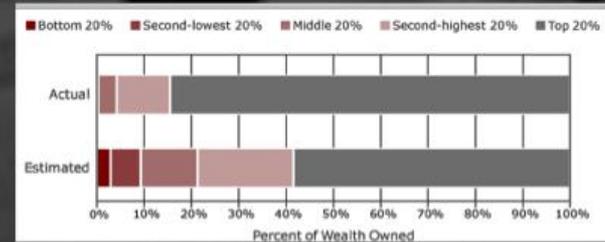
We are forced out of our homes, and denied medical care. We work long hours just to stay afloat, while the 1% reap benefits we can only imagine. Our enemy is corporate greed, and those who pretend such greed is patriotism.

We are the pissed off 99%, and we are here to say that we **do** matter. We will not be manipulated, threatened, or toyed with by the wealthy. No longer can you acquire profit and political power from our detriment. Political power cannot be traded or bought; it must be earned and agreed upon by the governed.

You have complained that something needs to be done. Now that the time for action is here, seize it.

Join the cyber-protests.  
Spread the word  
Be a part of the movement.

This is our movement. This is your moment.  
Together, make history.



What can I do to help? Three simple steps.

- 1) Download LOIC: <http://sourceforge.net/projects/loic/>  
Current Target: [www.nyse.com](http://www.nyse.com) 10 October 3:30 PM EST (Optional)
- 2) Join the IRC.
- 3) Spread the fucking word.

VOX POPULI, VOX ANON.  
WE ARE YOUR VOICE. WE ARE THE 99%.  
WALL STREET, EXPECT US.

# First National Bank of Long Island, Operation Robin Hood Victim



# New York State Law Enforcement Draws the Attention of Hacktivists



The image is a screenshot of a Twitter interface. The background is a repeating pattern of a Guy Fawkes character in a black tuxedo and top hat, holding a cane. The central focus is a tweet from the user **CabinCr3w** (@CabinCr3w). The tweet text reads: "A gift from the old man: Directory of New York State Criminal Justice Agencies #CabinCr3w #occupywallstreet - filesocial.com/hkeaf6j". Below the text are icons for Reply, Retweet, and Favorite. The tweet shows 3 retweets and 1 favorite. The timestamp is "12:30 PM - 28 Sep 11". Below the tweet is a sign-up section for CabinCr3w with fields for "Full name", "Email", and "Password", and a "Sign up" button. At the bottom of the page, there is a copyright notice: "© 2012 Twitter. About Help".

Have an account? Sign in

**CabinCr3w** @CabinCr3w [Follow](#)

A gift from the old man: Directory of New York State Criminal Justice Agencies  
#CabinCr3w #occupywallstreet - [filesocial.com/hkeaf6j](http://filesocial.com/hkeaf6j)

← Reply ↻ Retweet ★ Favorite

3 RETWEETS 1 FAVORITE

12:30 PM - 28 Sep 11 · Embed this Tweet

**Don't miss any updates from CabinCr3w**  
Join Twitter today and follow what interests you!

Full name  Email  Password

Text follow CabinCr3w to 40404 in the United States [Sign up](#)

© 2012 Twitter. About Help

# “AntiSec dumps e-mail and contact info for NYS law enforcement groups”



For our next owning we bring you multiple law enforcement targets in the state of New York, who has been on our crosshairs for some time due to their brutal repression of Occupy Wall Street. We also want to bring attention to the 1971 riots at Attica where in response to the murder of George Jackson, convicts took over the prison, demanding humane living conditions. It is in this same spirit of cross-country solidarity that we attacked police targets in NY.

We're dropping the md5-hashed passwords and residential addresses for over 300 Police Chiefs in the state of New York. We are also sharing several private mail spools of a few NY police chiefs. While most of the contents of these emails involve boring day to day office work and blonde joke chain emails, there were also treasure troves of embarrassing personal information as well as several “For Official Use Only” and “Law Enforcement Sensitive” documents discussing police methods to combat protesters.

# Operation Hiroshima

## Doxing the Governor, Mayor



**YouTube:**

[http://www.youtube.com/watch?feature=player\\_detailpage  
&v=adeAFxDwglg](http://www.youtube.com/watch?feature=player_detailpage&v=adeAFxDwglg)

# Operation Hiroshima

## Doxing the Governor, Mayor

The screenshot shows a web browser window displaying a Pastebin page. The browser's address bar shows the URL `\\albfile03.dhSES.ny.gov\OCShomeS\tsmith\Desktop\op hiroshima - Pastebin_com.mht`. The page title is "op hiroshima - Pastebin.com". The browser's status bar at the bottom indicates "Done, but with errors on page." and "Internet | Protected Mode: On".

The Pastebin page header includes the text "PASTEBIN | #1 paste tool since 2002" and navigation links such as "create new paste", "tools", "api", "archive", "real-time", and "faq". A search bar is visible on the right side of the header.

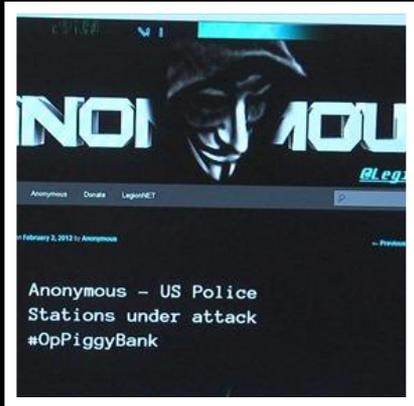
The main content area shows a post by the user "op hiroshima". The post details are: "BY: A GUEST ON DEC 31ST, 2011 | SYNTAX: NONE | SIZE: 2.75 KB | HITS: 18,824 | EXPIRES: NEVER". Below the details are links for "DOWNLOAD", "RAW", "EMBED", and "REPORT ABUSE". The post has 601 Facebook shares and 668 Twitter retweets.

The post content is as follows:

1. #Op Hiroshima
- 2.
- 3.
4. Ladies and gentlemen of the great world wide web, it is our great pleasure to present to you for your educational and viewing pleasure .... Operation Hiroshima.
5. The beginning of the New Year now begins officially. It is now, at this very moment people all across the nation and in other countries perhaps a matter of hours difference, are celebrating the turning of a new year and with it the hope for a new start whatever that may be.
6. However, a new start is not the same as a clean slate, now is it?
7. But in every situation there is ALWAYS a leveraging factor. Let the information dump commence.

On the right side of the page, there is a "Public Pastes" section listing several pastes, including "Untitled" (multiple), "MoneyTalks Kamryn ...", "C++ | 18 sec ago", and "Java | 23 sec ago".

# “Anonymous” Hackers Shut Down Syracuse Police Website



**February 1** -- Syracuse Police Department discovers that **names and passwords were posted to Pastebin.com.** Website taken down and remained unavailable for more than a week.



- The hackers indicated that the Syracuse Police Department was targeted for a “**lack of effort,**” citing its knowledge of the Bernie Fine case.
- Similar events in Boston, Texas, Salt Lake City, and Los Angeles.
- **April 16** - John Anthony Borell III charged with two counts of computer intrusion in a federal court in Utah.

# Legislature as Potential Target



The Kaspersky Lab Security News Service

Tuesday, May 29th, 2012

May 24, 2012, 10:26PM

## [New York Lawmakers Want Anonymous Comments Banned \(/en\\_us/blogs/new-york-lawmakers-want-anonymous-comments-banned-052412\)](#)

by [Anne Saita \(/author/Anne Saita\)](#)

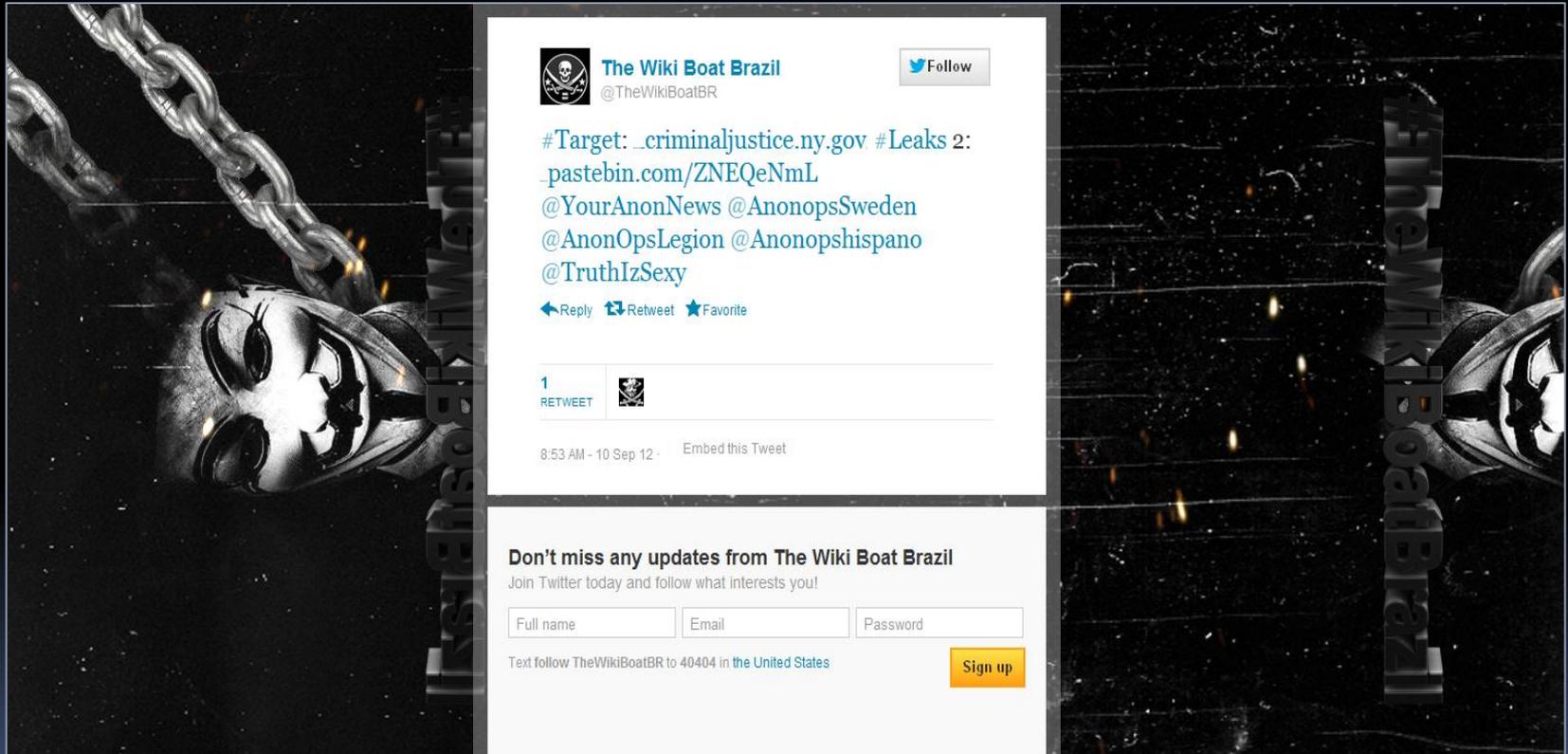
# Mayor Bloomberg's E-Mails

The screenshot shows a Twitter profile for CyberZeist (@e4ky) with 10,914 followers. The profile includes a 'Follow CyberZeist' section with fields for full name, email, and password, and a 'Sign up' button. The 'Tweets' section displays several tweets:

- CyberZeist @e4ky** (1h): @GuidoPuddi it would be funny to see how the carders will use his CC details when I publish the details online :P [View conversation](#)
- Winston Smith @GuidoPuddi** (1h): @e4ky Dump that shit NAO!!! C'mon tell us the password. [Expand](#)
- CyberZeist @e4ky** (1h): @GuidoPuddi I will surely tell... but lemme complete the mail dump first! ppl will b more interested in his CC details than in his passwd ;) [Hide conversation](#) [Reply](#) [Retweet](#) [Favorite](#)
- CyberZeist @e4ky** (1h): @th35t3r True Identity as said and Disclosed by @Reck20r - [pastebin.com/Mnk2G6a](https://pastebin.com/Mnk2G6a) [Expand](#)
- CyberZeist @e4ky** (1h): Ofcos I will tell the real passwd of #Bloomberg's mail box, but not until I have dumped all his mails :) [Expand](#)
- CyberZeist @e4ky** (2h): Got the access to the mail box of #NY mayor #Bloomberg, you wont ever believe what passwd he has used for his mailbox #Silly #bl [Expand](#)
- CyberZeist @e4ky** (2h): @AlQaedaSec That pic is damn damn .... funny XD [View conversation](#)

The footer of the page includes the Twitter logo and copyright information: © 2012 Twitter. About Help Terms Privacy Blog Status Apps Resources Jobs Advertisers Business Media Developers.

# Purported Attack on DCJS



 **The Wiki Boat Brazil**  
@TheWikiBoatBR [Follow](#)

#Target: [\\_criminaljustice.ny.gov](https://www.criminaljustice.ny.gov) #Leaks 2:  
[\\_pastebin.com/ZNEQeNmL](https://pastebin.com/ZNEQeNmL)  
[@YourAnonNews](#) [@AnonopsSweden](#)  
[@AnonOpsLegion](#) [@Anonopshispano](#)  
[@TruthIzSexy](#)

[← Reply](#) [↻ Retweet](#) [★ Favorite](#)

**1** RETWEET 

8:53 AM - 10 Sep 12 · [Embed this Tweet](#)

**Don't miss any updates from The Wiki Boat Brazil**  
Join Twitter today and follow what interests you!

Text follow [TheWikiBoatBR](#) to 40404 in the [United States](#) [Sign up](#)

# Not Necessarily Rocket Scientists



# Blurring cyber crime, cyber war, cyber activism, and cyber terrorism

There is **increasing similarity between the tools, tactics, and techniques used by various actors**, which reduces the reliability of using these factors to identify those responsible for computer network intrusions.

- The proliferation of malicious software (malware) presents opportunities for intelligence services and other actors to **launch operations with limited resources and without developing unique tools** that can be associated with them.
- Hacker websites are prevalent across the Internet, and **tool sharing is common**, causing intrusions by unrelated actors to exhibit similar technical characteristics.

- National Counterintelligence Executive  
October 2011





# Questions



DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES



OFFICE OF COUNTER TERRORISM

# Morning Break



# Regional Best Practices Presentation

Local Homeland Security Manager/Representative



# *Are We Prepared?*

## Identifying Your Threat/Hazards and Assessing Your Capabilities to Address Them





# Bottom Line

- Identifying threats/hazards of greatest concern and prioritizing/assessing capabilities is **common sense** in homeland security and emergency management
- DHS created tools (**THIRA/SPR**) to complete these processes nationwide
  - Tools are based on **Presidential Policy Directive #8 (PPD#8)**
  - PPD#8 includes a series of documents, including the new federal **Core Capabilities**



# Bottom Line, cont.

- DHS tools are **not intuitive**, so NYS developed our own tool/processes
- The results of the **NYS process** will help us determine:
  - What our threats/hazards of greatest concern are
  - What our highest-priority capabilities are
  - What our current capabilities are



# The Process....



# Federal Requirements

- NYS is required to conduct a **Threat/Hazard Identification and Risk Assessment (THIRA)** – New
- NYS is also required to conduct the **State Preparedness Report (SPR)** – Changed each year since 2007
- **SPR assesses capability targets** set in the THIRA
- Both THIRA and SPR are due to FEMA by **December 31, 2012**

Requirements outlined by FEMA are **not intuitive** and **don't produce helpful products** for State/locals





# NYS Approach

- NYS must submit THIRA and SPR – **Requirement for Grant \$\$\$**
- NYS developed a “common sense approach”
- Creation of a **Critical Capabilities List**
- Release of a **Survey** to Counties
- Focus on **Worst-Case Scenarios**
- **Outreach** with broad stakeholder group
- Development of **intuitive, concise products** that State/locals can use!

**WHEN LIFE  
GIVES YOU  
LEMONS,  
MAKE  
LEMONADE!**



# NYS Approach, cont.

- **Critical Capabilities List**
  - Target Capability List no longer used by DHS
  - New Core Capabilities List is not intuitive
  - NYS created new “Critical Capabilities List”
  - Contains 28 Capabilities
  - Represents what State/locals actually do
  - Addresses Article 2b responsibilities
  - Serves as basis for Capability Assessment



**Example of a Critical  
Capability:  
Mass Care and  
Sheltering**





# NYS Approach, cont.

- **Survey**

- **Step 1: Counties identify a series of threats/hazards of greatest concern**
- **Step 2: Counties prioritize 28 Critical Capabilities**
- **Step 3: Counties conduct a POETE Assessment of Capabilities**
- **Surveys due to DHSES on October 3**
- **Data will be used to inform State THIRA and SPR Submissions**



# Survey Results

**Draft Survey Analysis**  
**Data updated on 10/4/12**  
**Survey Response Rate: 81%**



# Next Steps



# Next Steps at DHSES

- Complete **final analysis** of surveys
- Complete required **THIRA/SPR** documents
- **Vet final information** with a broad array of stakeholders in November via a series of webinars
- Brief information to DHSES Executives and submit to DHS by **December 31, 2012**
- Determine how data/information collected through this process can be used to **inform other DHSES efforts** statewide



# Potential Next Steps Locally

- **Review** your survey submission
- Update your **HAZNY** with State OEM (if needed)
- Complete **AARs** for exercises/real-life events
- Use information to help inform **future grant investments** and other initiatives



**Questions?**



# Grants Management and Fiscal Monitoring

Technical Assistance brought to you by:  
OCT Contract Unit  
and  
DHSES Fiscal Monitoring Unit



# Grants Management

- Quarterly Fiscal and Progress Reports
- Contract Amendments
- Sole Source Submission Procedure
- EHP Review
- E-Signatures

# Common Observations



- **Lack of procurement documentation including a lack of prior written approval from DHSES for purchases from a particular vendor without competition**
- **Co-Mingling of funds**
- **Lack of written procedures related to grants management**
- **Lack of property records as required by federal guidelines**
- **Lack of certifications/documentation for payroll charges**
- **Timely compliance of Single Audit requirement**

# Contact Us



NYS Division of Homeland Security and Emergency Services  
Federal Grant Program Administration, Contracts Unit  
State Office Campus, Bldg. 7A Suite 610  
1220 Washington Ave.  
Albany, NY 12242  
1-866-837-9133  
Email: [grants@dhSES.ny.gov](mailto:grants@dhSES.ny.gov)

## **Contracts Manager: Shelley Wahrlich**

(518) 242-5108, Email: [swahrlich@dhSES.ny.gov](mailto:swahrlich@dhSES.ny.gov)

## **Contracts Supervisor: Douglas Fassbender**

(518) 242-5106, Email: [dfassbender@dhSES.ny.gov](mailto:dfassbender@dhSES.ny.gov)

## **Important Links**

Grant Information - <http://www.dhSES.ny.gov/grants/>

Grant Forms – same as above: click on Grant Forms/Egrants tab

# Contact Us



- **NYS DHSES Fiscal Monitoring Unit (518) 242-5069**

- **Website** - <http://www.dhses.ny.gov>

Click “Grants”

Then “Fiscal Monitoring”

- **E-Mail** – [FMU@dhses.ny.gov](mailto:FMU@dhses.ny.gov)

- **Regular Mail**

NYS Division of Homeland Security & Emergency Services  
Fiscal Monitoring Unit  
State Office Campus, Bldg. 7A  
1220 Washington Ave.  
Albany, NY 12242

# DHSES

DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES

Andrew M. Cuomo  
Governor

Jerome M. Hauer  
Commissioner

## 2012 REGIONAL WORKSHOPS

*“ACHIEVING EXCELLENCE THROUGH INNOVATION”*



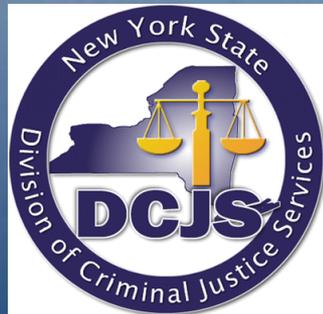
# DHSES

DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES

Andrew M. Cuomo  
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Jerome M. Hauer  
Commissioner

# NEW YORK STATE RESPONDER CREDENTIALING INITIATIVE



## *The Challenge:*

It was recognized that NYS could benefit from:

- A standardized mechanism to identify the qualifications of emergency responders statewide; and
- Effective integration of that mechanism into operations addressing incidents requiring regional or statewide responses.

In the 2012 State of the State Address, Governor Cuomo announced that New York State, in an effort coordinated by Commissioner Hauer of the Division of Homeland Security and Emergency Services, would:

*“establish a new network of municipal and regional emergency responders to help ensure the most efficient deployment of all our combined resources in emergency situations.”*

## *The Objective:*

- To ensure that the State and local governments have visibility of and access to trained public safety personnel whose identification and qualifications have been verified using a standardized statewide credentialing system.

**DHSES** is leading the effort to improve New York State's ability to qualify and credential its emergency responders.

- Develop initiative;
- Partner with relevant NYS agencies; and
- Effectively integrate program into State Watch Center/EOC operations; Fire, EMS and Law Enforcement Mutual Aid Plans; and Interstate Mutual Aid.

## Program Overview:

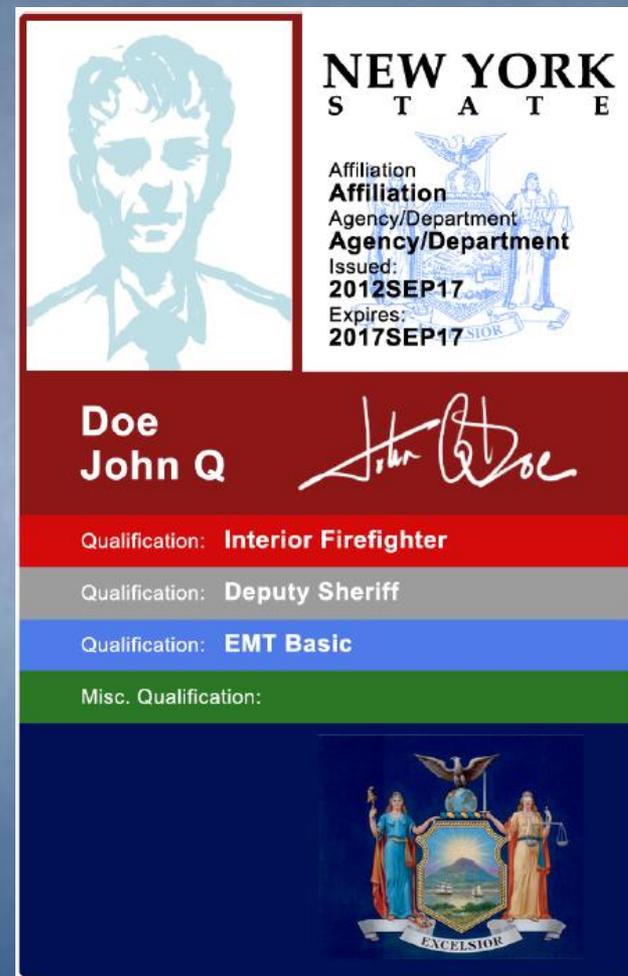
- A standardized identification card or credential will be provided for all first responders in the State of New York.
- The card will visually and electronically document the minimum qualification levels possessed by each individual responder.



- Qualification levels will be those applicable for regional or statewide responses to man-made or natural disaster related events.

- The card will include basic info including:
  - Name;
  - Qualification levels;
  - A unique identifier; and
  - A barcode for electronic documentation and scanning.

Note: Card shown is for concept illustration only.

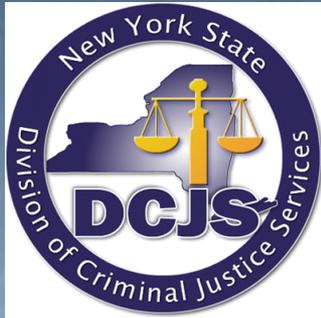


- This card will serve to “pre-qualify” responders for the likely roles and responsibilities they will be assigned during a regional or statewide activation.
- This information will improve the ability to classify resources by type/kind.



- Initial emphasis will be upon traditional emergency response disciplines:
  - *Law Enforcement;*
  - *Fire Service; and*
  - *Emergency Medical Service.*
- Program may be expanded in the future.

- Cards will be issued by local and county agencies authorized for this initiative by **DHSES.**
- To the maximum extent possible, the program will allow pre-existing local and County credentialing programs and resources to produce the specified standardized ID card.



- DHSES will retain administrative oversight of the credentialing program in conjunction with its participating NYS partner agencies:
  - Division of Criminal Justice Services (DCJS)
  - DOH Bureau of Emergency Medical Services (BEMS)

## Responder Qualification Levels:

- Qualification levels will include multiple mechanisms to meet the specified objective.
- Both “legacy” and current training and certifications will be recognized.
- Will establish minimum qualifications consistent with a specific position or task based assignment.

- Fire Service:
  - Scene Support Firefighter
  - Interior Firefighter
  - Fire Officer
  - Hazardous Materials Operations
  - Hazardous Materials Technician

- Fire Service (cont.):
  - Confined Space Rescue Technician
  - Rope Rescue Technician
  - Trench Rescue Technician
  - Structural Collapse Rescue Technician
  - Surface Water Rescue Technician

- EMS:
  - Emergency Medical Technician (EMT)
  - EMT - Intermediate (EMT-I)
  - EMT - Critical Care (EMT-CC)
  - EMT - Paramedic (EMT – P)

Note: Titles may change as the new National EMS Education Standards are implemented.

- Law Enforcement:
  - Police Officer
    - Police Officer, Sheriff's Deputy, Trooper
  - First Line Supervisor
    - Sergeant, Lieutenant, Captain.
  - SWAT/ESU

## Credentialing:

- Local/County agencies will be authorized by **DHSES** to issue ID cards.
  - Must be capable of producing an ID card in a format specified by **DHSES**.
- Will include evaluation of a means for **DHSES** to most effectively provide support and limit budgetary and resource impact upon authorized agencies.

Procedure for issuing credential will include:

1. Verification of identification by issuing agency.
2. Verification of qualification levels via **DHSES** secure web access application.
3. Approval of qualification levels and agency affiliation(s) at the local level.

## Operational Use Scenario:

Response to regional/statewide request for resources from an affected area.

- Request received at State Watch Center.
- Request forwarded to Counties selected to provide resources for deployment.

- Request will include type/kind of resource requested, mission, deployment length, etc.
- Providing County compiles list of resources available to respond, notifies the State Watch Center.
- Deployment orders issued for the available resources selected.

- Assigned resources check in at staging area in providing County.
- Credentialing or pre-qualification of personnel will provide a standard mechanism to verify any resource type/kind staffing requirements are met.



- Resources respond from local staging area to the designated check-in point or staging area for the incident.
- The standardized ID card/credential can also serve to assist with resource assignments within the affected area.



- Program can allow for the creation of incident specific ID/credentials:
- To meet an operational or security need; or
- For a specified deployment length/Ops period.

OPERATIONAL PLANNING WORK SHEET		1. INCIDENT NAME Flight 3407		2. DATE / TIME PREPARED 02/11/09 1000		3. OPERATIONAL PERIOD 02/10/09 - 02/10/09 0600 - 0600		4. REPORTING LOCATION		5. REQUESTED APPROVAL TIME										
ON SCENE LOCATION	WORK ASSIGNMENTS	RESOURCE TYPE	RESOURCES BY TYPE (SHOW RESOURCES IN USE)																	
			PERSONNEL		COM SUPPORT		CFR		CAS		HAZMAT		TICKETS							
			UNIT	QUANTITY	UNIT	QUANTITY	UNIT	QUANTITY	UNIT	QUANTITY	UNIT	QUANTITY	UNIT	QUANTITY	UNIT	QUANTITY	UNIT	QUANTITY		
Checkpoints & Perimeter	restrict access to authorized personnel	REQ	8	1 (MOC)															report to Erie County mobile command post (MOC 1) of 1st landing	
	control security check site	HAVE	8	0																
Traffic	secure crash site	REQ	11	1 (MOC)															"	
	restrict access to authorized personnel	HAVE	11	0																
Escort	provide escort to dignitaries	REQ	4	1 (MOC)															"	
	residents incoming resources	HAVE	4	0																
Relief	assist in needs that arise	REQ	6	1 (MOC)															"	
	provide relief to essential duties	HAVE	6	0																
Investigation	provide security for staging area	REQ	0	0															"	
	criminal investigation and misc. assignments	HAVE	0	0																
Security	provide security for medical examiners office	REQ	2	(ECSO)															Report to ME office location	
		HAVE	2	0																
EMERGENCY SERVICES TO CITY EMS	provide EMS services as needed on site	REQ						1	1										Report to MOC 1	
		HAVE						0	0											
Erie County Helmet	provide decan to incident personnel as required	REQ								2	1								"	
		HAVE								2	0									
Erie County JMWART	provide advanced life support capability for on site EMS	REQ								0	0								"	
		HAVE								0	0									
On-site Fire	CFR will provide suppression protection as needed on site	REQ			4	1													"	
		HAVE			4	0														
		REQ	TOTAL RESOURCES REQUIRED		PERSONNEL		TOTAL RESOURCES ON HAND		TOTAL RESOURCES NEEDED											

PREPARED BY: NAME AND POSITION  
ODW: PSC

## Responder Credentialing:

- The ID card/credential is not intended to replace or supplant any local or County level accountability or credentialing system currently in use or being developed.
- Additional outreach training will be provided.



**DHSES**

DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES

Andrew M. Cuomo  
Governor

Jerome M. Hauer  
Commissioner

**Questions?**



**DHSES**

DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES

Andrew M. Cuomo  
Governor

Jerome M. Hauer  
Commissioner

**Thank You**



# **Office of Interoperable & Emergency Communications**

**Robert M. Barbato, Director**

# OIEC Overview

- *Interoperable Communications Funding*
  - *SICG Rounds 1 and 2*
- *Progress through A Regional Approach*
  - *Consortiums*
- *PSAP Funding*
- *Technical Assistance*
- *Local Enhanced Wireless 911 Reimbursements*
- *Public Safety Broadband*



**Update:  
Round I Statewide  
Interoperable  
Communications Grant**

# Distribution of Awards

County	Award Amount	Use of funds
Sullivan	\$1,198,000	Installing new radio and microwave infrastructure, National Interoperability base stations.
Madison	\$1,997,812	Equipment for new UHF system for Central New York radio consortium.
Cortland	\$2,000,000	Equipment for new UHF system for Central New York radio consortium.
Otsego	\$1,128,000	Installing new radio and microwave infrastructure, National Interoperability base stations.
Schoharie	\$858,000	Installing new radio and microwave infrastructure, National Interoperability base stations.
Onondaga	\$331,446	Replacing non-compliant EMS (“MED Channel”) equipment used to contact hospitals for medical reports & direction while en route to hospitals.
Niagara	\$2,000,000	Is in the process of building a new UHF digital radio system. They will utilize their award to purchase subscriber radios, upgrade a tower site and refresh their PSAP.
Steuben	\$1,523,264	Converting existing system to digital to meet the narrowband deadline. And installing National Interoperability base stations. The system upgrades will be keeping pace with neighboring counties and their systems.
Delaware	\$1,078,000	Installing new radio and microwave infrastructure, National Interoperability base stations.
Cortland	\$2,000,000	Radio equipment for new countywide system to be connected to Central New York radio consortium.
Ulster	\$978,000	Installing new radio and microwave infrastructure, National Interoperability base stations.
Washington	\$171,500	Implementing a gateway and microwave solution permitting counties to link their systems.
Genesee	\$228,309	Replacing non-compliant interoperability channel base stations, and new simulcast equipment permitting first responder interoperability.
Greene	\$893,000	Installing new radio and microwave infrastructure, National Interoperability base stations.
Essex	\$2,000,000	Implementing a gateway and infrastructure solution to permit the counties in the consortium to link their radio systems together; and narrowband compliant mobile radios to integrate in their new radio system.
Warren	\$736,938	Implementing a gateway and microwave solution permitting counties to link their systems.
Nassau	\$877,729 *	Radios for local PDs/other responders to use county radio system, and other multiband radios for supervisors to communicate with Suffolk County.
	\$20,000,000	



# **Round 2 Statewide Interoperable Communications Grant (SICG)**

# Round 2 SICG Objectives

- **Improved collaboration** with all levels of government
- **Expand consortium/regional partnerships** inclusive of multi-jurisdiction, multi-discipline, intergovernmental (State/local/NGO) stakeholders
- **Develop Interoperable Communication Operating procedures** in counties and between counties and agencies
- **Implementation and use of National Interoperability and State Mutual Aid channels**

# Round 2 SICG Statistics

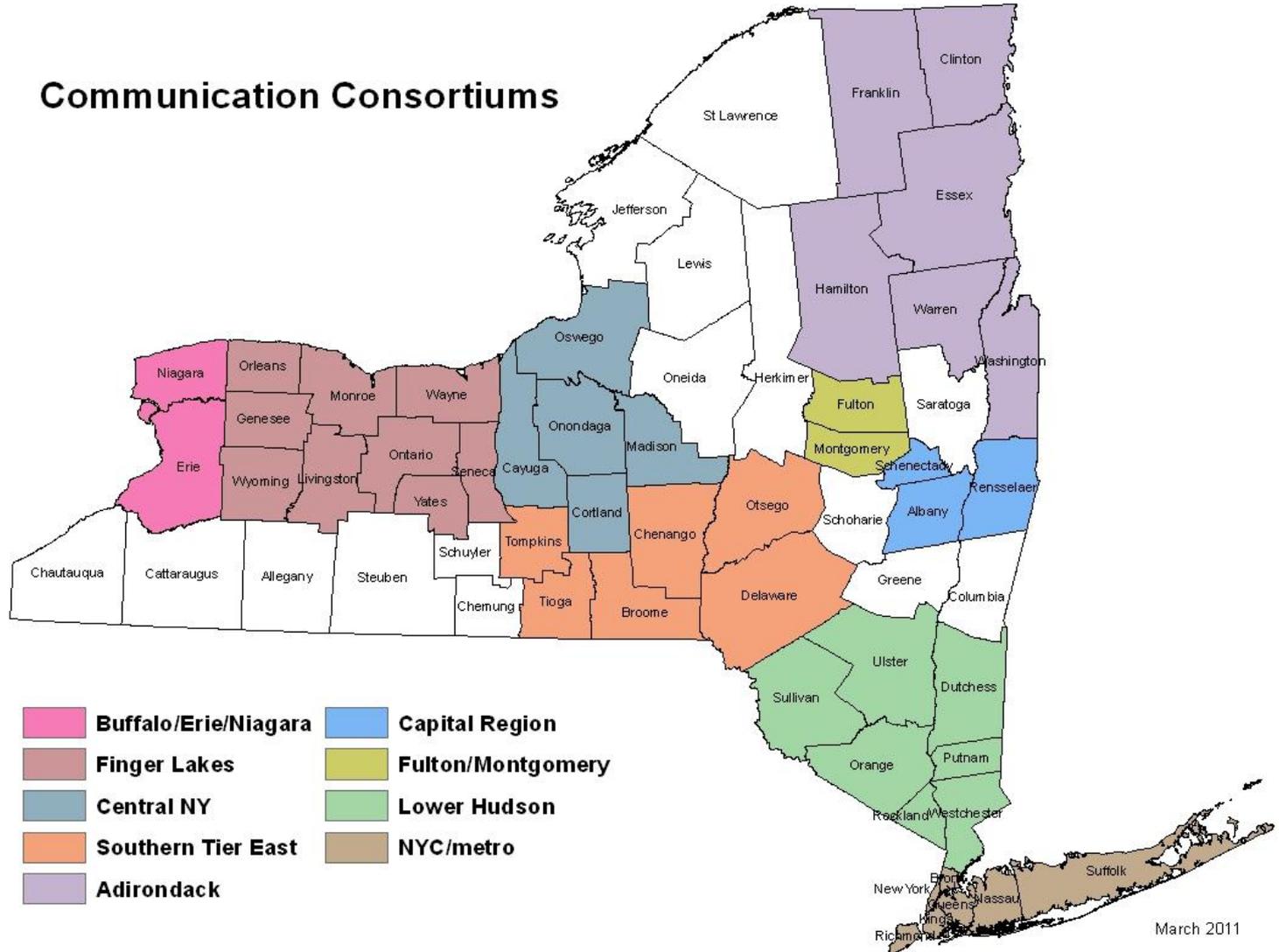
- \$36 mil dedicated in Round 2 for further development of statewide interoperable communications for public safety
- Counties were allowed to submit only 1 application per County
- 58 potentially eligible counties & NYC
  - Received 49 applications from 49 counties (85% response)
  - Requests total \$158,927,049
  - 9 counties did not apply



# Progress Through Consortiums

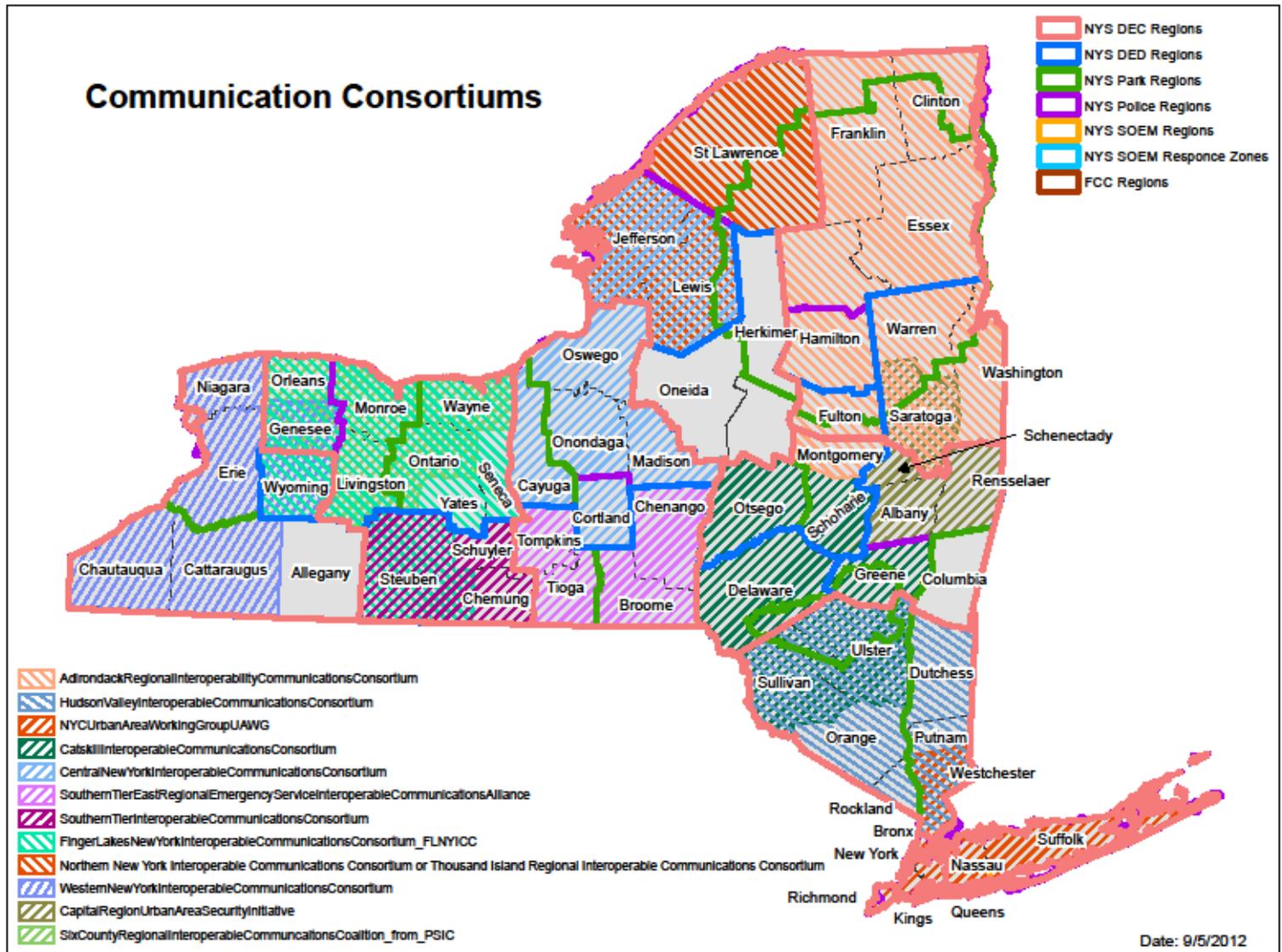
# March 2011

## Communication Consortiums



March 2011

# September 2012





# PSAP Grant

# NYS Tax Law

## New York State Tax Law re: Public Safety Answering Points

Link: [Laws of New York - Tax Law Section 186-f-Public Safety Communication Surcharge](#)

\* (d) The sum of **seven million dollars annually** for the provision of grants to counties for costs related to the operation and improvement of local public safety answering points. Such annual grants may consider prospective or retrospective costs incurred to consolidate public safety answering points, to implement new technologies in local public safety answering points that facilitate interoperability and create operating efficiencies, or to promote the development and implementation of cross-jurisdictional standard operating procedures that foster regional consolidation. The sum of **two million dollars annually** for the provision of reimbursement to counties for operating expenses, other than personal service, incurred during the operation of local public safety answering points. The commissioner shall develop a plan for the distribution of such reimbursement, in consultation with the New York state interoperable and emergency communication board. The plan for distribution may consider the potential recipient's compliance with the standards of such board and the potential recipient's role in providing communication services to the benefit of other municipalities.

# Standards & Guidelines

- New York State Law, 21NYCRR, Title 21, Parts 5200, 5201, 5203, 5250 Title 21.
  - Chapter LX. New York State 911 Board
- NENA Standards [www.nena.org](http://www.nena.org)
  - National Emergency Number Association (NENA) i3 Architectural Standard for NG9-1-1: NENA 08-003. This standard provides key technical guidelines for the implementation of next-generation 911 (NG-911) systems.
- APCO Project 36 <http://www.apcointl.org/resources/9-1-1-resources/standards/apco-standards.html>
  - Universal Standards for Computer Aided Dispatch (CAD) and CAD-to-CAD exchanges.
- APCO/CSAA 2.101.1-2008
  - Alarm Monitoring Company to Public Safety Answering Point Computer-aided Dispatch (CAD) External Alarm Interface Exchange (or Automated Secure Alarm Protocol).
- National Plan for Mitigating to IP-Enabled 9-1-1 Systems
  - National 911 Office website provides information on development of optimal 911 services. <http://www.911.gov/911-issues/standards.html>
- OASIS
  - For Data Standards refer to OASIS – Organization for the Advancement of Structural Information Standards at [www.oasis-open.org](http://www.oasis-open.org)
- New York Statewide Communications Interoperability Plan (SCIP)
  - The most recent copy of NYS SCIP can be found at <http://www.dhSES.ny.gov/oiec/interoperability-plans/>

# Eligibility Criteria

- County can apply only for one grant type:
  - PSAP Consolidation, Improvements and Enhancements Grant (\$7 million)
  - PSAP Sustainment Grant (\$2 million)
- Applications must be submitted by Counties on behalf of county and municipal PSAPs, operating within their jurisdiction.
  - There is no county match required with this grant
- Each PSAP must certify compliance with minimum standards contained in 21 NYCRR Parts 5200, 5201, 5203, 5250. (Local Enhanced Wireless 911 Certification).
  - Certification document must be submitted by a County with their application.
- Grant funds may be used only to supplement the portion of local governments' budgets that pertain to PSAPs, not replace any budgeted funds.



# Local Enhanced Wireless 911 Reimbursement

# Requirements for Reimbursement

- County Law §329 requires that each local public safety answering point affirmatively certify biennially that they comply with the following minimum standards:
  - 21NYCRR
    - Part 5200 - Direct Dispatch of All Emergency Services
    - Part 5201 - Call-Taker/Dispatcher training
    - Part 5202 - Staffing of Public Safety Answering Points
    - Part 5203 - Equipment, Facilities and Security for PSAPs
    - Part 5250 - Jurisdictional Protocols

# To Submit A Voucher

- Have Your Chief Executive Sign the Letter they received Indicating Agreement to the Terms and Conditions of the Program
- Timely Complete and Send In the “Local Enhanced Wireless 911 Reimbursement Program Certification 2012” form
- Follow the Funding Guidelines pursuant to Article 6-A of the County Law of the State of New York
- Submit Reimbursement Claim Forms and Vouchers to OIEC by the deadline
- Stay compliant

# 2012-2015 Allocation

- Letters just went out to the Chair or Chief Executive of Your County's Governing Body.
- The 2012-2015 reimbursement program expires on September 30, 2015.
- Reimbursement is available for appropriate expenditures made from April 1, 2012 through March 31, 2015.
- Total funds allocated for reimbursement: \$9,300,000.00
- All 2009-2012 allocation money was disbursed to eligible counties.

# Previously Announced Allocations

## **The 2010-2013 Reimbursement Period:**

- The 2010-2013 reimbursement program expires on September 30, 2013.
- Reimbursement is available for appropriate expenditures made from April 1, 2010 through March 31, 2013.
- Total funds allocated for reimbursement: \$9,319,764.00 00
- Adjusted allocation amount: \$9,217,464.00 - June 30, 2011 letter indicating a 1.1% Reduction to balance the budget necessitated by Congressional reductions to the enhanced Federal Medical Assistance Percentage (FMAP).

## **The 2011-2014 Reimbursement Period:**

- The 2011-2014 reimbursement program expires on September 30, 2014.
- Reimbursement is available for appropriate expenditures made from April 1, 2011 through March 31, 2014.
- Total funds allocated for reimbursement: \$9,473,425.00 00
- Adjusted allocation amount: not adjusted



# Technical Assistance

# Training Workshops

- **DHS/OEC – ICTAP Technical Assistance**
  - Tactical Interoperability Communications Plan (TICP) Workshops
  - Preparing for Broadband
- **DHSES/OIEC Offerings**
  - COML and COMT
  - COMLEX
  - COML T-T-T



# Public Safety Broadband

# FirstNet Board

- NTIA announced FirstNet Board members on August 20<sup>th</sup>
- 12 members announced (rest are statutory)
- 3 directly from public safety, including Deputy Chief Charles Dowd of NYPD
- Others from the telecomm or CIO fields, some with public safety/government backgrounds
- First meeting was September 25

# State and Local Implementation Grant Program

- On August 21<sup>st</sup>, NTIA released initial guidance information on the \$135M grant.
- Only general information. Actual notice of funding availability expected 1Q2013.
- Based on comments submitted, including from NYS.
- First round of funding will most likely focus on State governance and broadband administration.
- NTIA may ask States to show how their governance works for broadband and how they are adding LTE expertise to that governance.



# Contact Information

Office of Interoperable and Emergency  
Communications

1220 Washington Avenue  
State Campus, Building 7A  
Albany, NY 12242

**Main Phone: 518-322-4911**



***Thank you for attending***



# Lunch



# Concurrent Presentations

## *Round #2*

**DHSES-OEM**

**DHSES-OCT and FMU**

**DHSES-OFPC**

**DHSES-OIEC**



# Homeland Security Grant Funding Updates

**DHSES- Office of Counter Terrorism  
Federal Grants Program Administration**



# Presentation Overview

## Information and Updates from:

- Commissioner's Priorities
- FY2012 Awards, Process and Priorities
- Reporting Requirements (FY2011-FY2012):  
IB #388/388a
- FY2013 Grants
- Final Thoughts



# Commissioner's Priorities

- Equipment purchases must be justified and address documented capability gaps (“No Toys”)
- Prioritize your capabilities and sustain and maintain what is critical. Per FEMA, *emphasis on sustainment* over new capability development
- Maintain core planning and response capabilities
- Focus on the worst case scenario
- Develop regional capabilities, where ever possible

# FY2012 Grant Process

- HSGP Guidance, Award Amounts Released (February)
- Awards for local grantees determined and applications submitted to DHSES (April)
- NYS HSGP Application Submitted to FEMA (May)
- Fed Award Announcement (August)
- DHSES develops contracts and E-signature process conducted (September-November)



# FY2012 Challenges

- 2 year period of performance
- Significant reporting requirements
- Increased emphasis on sustainment vs. new projects
- More scrutiny of spend-down rates
- EHPs – Don't Wait!!



# FY2012 Targeted Grant Programs

Grant	Amount	Release Date/Expected Date
HazMat Program	\$1 million	Early September (due Oct 19 <sup>th</sup> )
Bomb Squad Initiative (Combined FY2011 & FY2012)	\$2.8 million	Late October
Explosive Detection Canine Team Program	\$300,000	Late October
Technical Rescue/USAR Program	\$1 million	Late October
Critical Infrastructure Program	\$200,000	December



# Federal Programmatic Priorities for FY2012 HSGP

- Three Programmatic Priorities for FY2012 HSGP:
  1. Advancing “Whole Community” Security and Emergency Management
  2. Building Prevention and Protection Capabilities
  3. Maturation and Enhancement of State/Major Urban Area Fusion Centers



# Reporting Requirements: IB #388/388a (FY2011-FY2012)

1. Advancing “Whole Community” Security and Emergency Management
  - Objective 1- Threat and Hazard Identification and Risk Assessment (THIRA): *State must complete this requirement and is coordinating with local grantees.*
  - Objective 2- Planning: *Only the state has to comply with this reporting requirement.*
  - Objective 3- Organization: *Grantees must report what equipment is purchased, what typed capabilities it supports and the number of people trained. DHSES is developing a template that grantees will need to complete with their progress reports.*



# Reporting Requirements: IB #388/388a (FY2011-FY2012)

## 2. Building Prevention and Protection Capabilities

- Objective 1- Nationwide Suspicious Incident Activity Reporting Initiative (NSI): Grantees funding intelligence analysts will have to report on percentage of SHSP/UASI personnel who are engaged in the NSI and have completed training. DHSES will reach out to these grantees directly to complete this reporting requirement.



# Reporting Requirements: IB #388/388a (FY2011-FY2012)

3. Maturation and Enhancement of State/Major Urban Area Fusion Centers
  - Objective 1- Baseline Capabilities: *DHS will review to ensure fusion centers meet a series of baseline activities*
  - Objective 2- Analytic Capabilities: *DHS will review to ensure analytic personnel meet certain key benchmarks*



# FY2013 Grants

- Congress has not passed a HSGP Appropriation for FY2013
- Early mark-ups look promising, especially for NYS
- Local funding decisions still pending executive review
- Local sub-grantees are strongly encouraged to begin planning now
- Anticipate continued emphasis on maintaining and sustaining capabilities over developing new capabilities



# Preparing for FY2013

- **Coordination and Integration of stakeholders**
- **Assessing risk and using results to inform grant requests**
- **Building/Assessing Capabilities**
  - AARs from Exercises/Real-World Events
  - Using data to inform grant requests
- **Multi-Year Planning for Grants**
  - Including Sustainment Costs
- **Regional Solutions**
- **Be prepared, flexible – the pace is going to be quick!**



# Final Thoughts

- Significantly more emphasis on performance measures/metrics. Need to quantify and articulate how we are using the funds to improve preparedness.
- National Preparedness Goal: Informs development of “capabilities” and other homeland security concepts.
- A focus on sustainment of capabilities vs. new capabilities.



# Closing Remarks

**F. David Sheppard, Assistant Director  
Federal Grant Program Administration**



**Thank you for your  
participation!**