

Ten Years After 9/11

*An Overview of New York State's
Homeland Security Accomplishments*



The events of September 11, 2001 have had a tremendous impact on New York State. In the 10 years since 9/11, New York has developed a comprehensive strategy to organize and coordinate our homeland security efforts and to effectively and efficiently utilize federal homeland security grant dollars and other State and local preparedness resources. These efforts have greatly enhanced the New York's ability to prevent, protect against, respond to, and recover from acts of terrorism and other major disasters.

Several of the State's homeland security accomplishments are outlined in the following pages, but this report is not intended to be a comprehensive assessment; rather, it serves to highlight a sampling of our key homeland security-related programs and initiatives. The report also includes an appendix to explain how the State's actions support many of the 9/11 Commission recommendations.

Much has been accomplished since 9/11, but it is important to recognize that our work is not done. New York State is home to the number one terrorist target in the country, with thirteen terrorist plots against New York City since 9/11, as recently reported by the NYPD. Moreover, New York currently ranks fourth in the nation in the number of federally-declared disasters/emergencies and we continue to face a wide variety of natural hazards. These persistent and evolving threats require ongoing attention and commitment.

Homeland Security Organization:

The State has matured its organizational structure to meet changing homeland security needs and threats. Immediately following 9/11, the Office of Public Security (OPS) was created to guide the State's initial homeland security efforts. In 2004, OPS was transformed into the Office of Homeland Security (OHS), which had a broader mandate and mission with regard to homeland security. In 2010, the Division of Homeland Security and Emergency Services (DHSES) was created, bringing together five public safety offices (Counter Terrorism, Cyber Security, Emergency Management, Fire Prevention and Control, and Interoperable and Emergency Communications) into one consolidated Division to most effectively serve our stakeholders and the citizens of New York State.



Counter-Terrorism Zones (CTZs):

In addition to DHSES, New York State has also developed regional structures to support homeland security. For example, in 2001, 16 Counter-Terrorism Zones (CTZs) were created across the State to ensure the sharing of counter terrorism information among the 540 law enforcement agencies in New York. Today, the CTZs remain a critical component of the State's anti-terrorism prevention and protection efforts, these efforts also include Fire, EMS, Emergency Management and other first responder disciplines as well.

Urban Area Security Initiative:

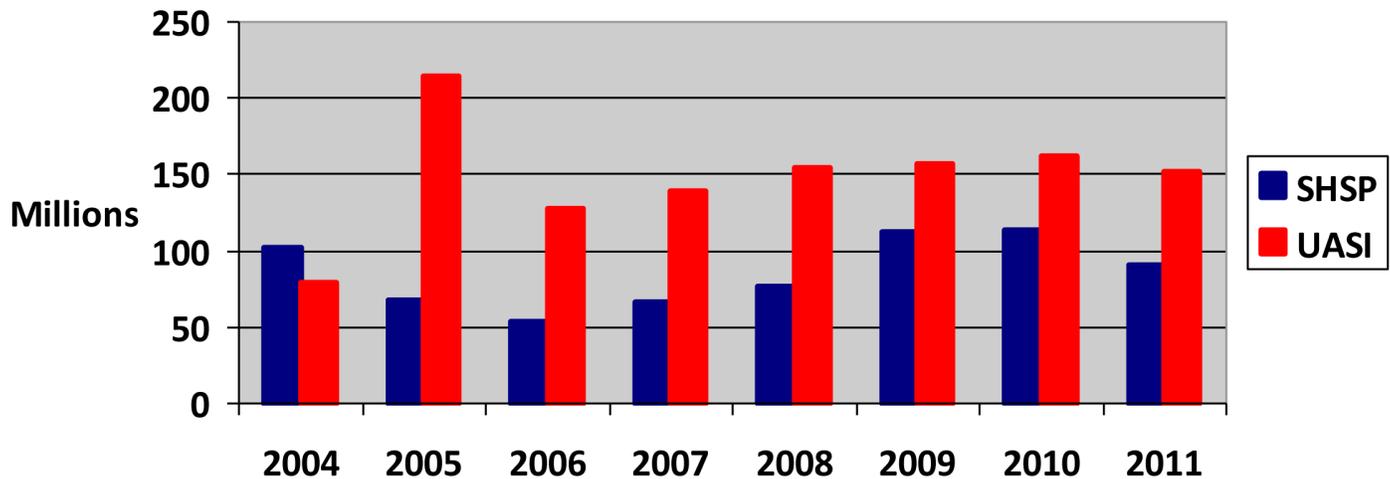
The Urban Area Security Initiative (UASI) is another important post-9/11 regional effort. The UASI program targets federal grant resources to high-risk urban areas as identified by the U.S. Department of Homeland Security (DHS) to build and enhance regional counter terrorism capabilities. Each UASI area must establish a regional stakeholder working group and a UASI strategy to guide the allocation of the federal resources. Since 2004, the New York City, Albany, Syracuse, Rochester and Buffalo regions have received funding at various times. New York City is the only region that has received funding every year, and DHS has decided that New York City will be the only region eligible for federal UASI funding in 2011. However, the State's other Urban Areas remain critical to New York's homeland security efforts.

¹ Ray Kelly, "NYPD remains dedicated to fighting terrorism as 9/11 nears 10th anniversary" New York Daily News, August 7, 2011

Homeland Security Funding:

To date, New York State has received more than \$3 billion in federal homeland security funding. These funds have been used to implement the State Homeland Security Strategy and to help State and local agencies develop, enhance and sustain capabilities needed to prepare for the threat of terrorism and other hazards. The UASI program mentioned earlier and the State Homeland Security Grant Program (SHSP) are the two largest federal homeland security grant programs currently administered by New York State. The chart below highlights the SHSP and UASI funding amounts and trends.

SHSP and UASI Funding 2004-2011



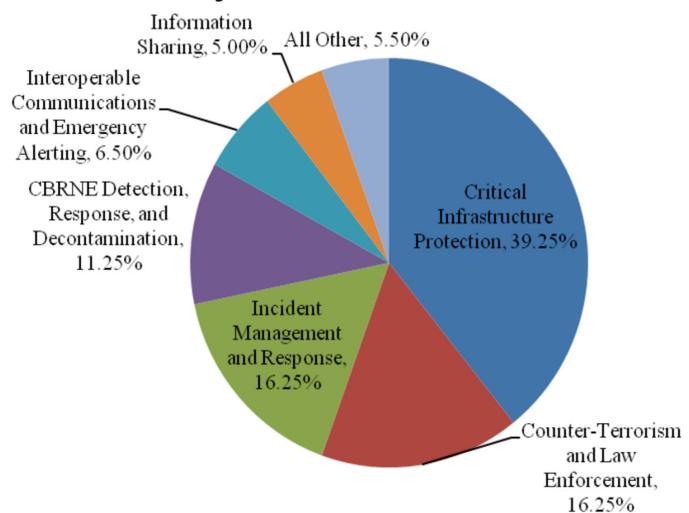
Funding Priorities - Overarching:

Specifically, this funding is used for homeland security/counter terrorism-related planning, training, equipment, exercises, and certain organizational costs, including a limited amount of overtime for critical homeland security missions. The charts below provide a high-level overview of how funding has been allocated in support of the various goals in the State Homeland Security Strategy. Note: this breakdown only accounts for federal homeland security grant funding and is not inclusive of all federal, State and local funds spent in these areas.

State Strategy Goal

- Critical Infrastructure Protection
- Counter-Terrorism and Law Enforcement
- Incident Management and Response
- CBRNE³ Detection, Response, and Decontamination
- Interoperable Communications and Emergency Alerting
- Information Sharing, Collaboration, and Intelligence Analysis
- Emergency Planning, Citizen, and Community Preparedness
- Regional Coordination, Collaboration, and Mutual Aid
- Health Emergency Preparedness
- Cyber Security

Allocations by Goal²



² Funding by State Strategy Goal is provided for Fiscal Years FY 2006-FY 2009 across all FEMA Preparedness Grants given to NYS. Data on FY 2010 was not available as the grant performance period has only recently started, and the FY 2011 awards have not been officially made yet.

³ Chemical/Biological/Radiological/Nuclear/Explosive

Funding Priorities – Specifics

Homeland Security funding has supported a variety of initiatives, including but not limited to:

Key NYC Initiatives:

As the most prominent terrorist target in the nation, New York City receives the majority of homeland security funding in the State. Funds support a variety of critical programs, including the Lower and Midtown Manhattan Security Initiative (which includes the placement of security cameras, license plate readers, and other target hardening equipment in critical locations across lower and midtown Manhattan), the “Ready, New York” Citizen Preparedness Program, Counter-Terrorism Operations, advanced HazMat and Technical Rescue Training within the FDNY, and regional catastrophic planning.



Securing the Cities:

New York City also is actively working to prevent a radiological/nuclear attack in the metropolitan area by enhancing regional capabilities to detect and interdict illicit radioactive materials. The Securing the Cities initiative is led by the NYPD but includes nearly two dozen other federal, State and local agencies. In addition



to high-level training and equipment supported by the program, the Securing the Cities initiative recently included the largest radiological interdiction exercise ever conducted in the United States. Additionally, the New York State Police and the DHSES Office of Counter Terrorism are leveraging their participation in Securing the Cities to help develop radiological interdiction capabilities in other areas across the State.

Joint Task Force Empire Shield (JTFES):

JTFES is a standing unit of New York State’s military forces composed of the Army National Guard, the Air National Guard, and the NY Naval Militia that helps patrol key transportation facilities in New York City (e.g., JFK and LaGuardia Airports, Penn Station, Grand Central Station, WTC PATH Station), and provides a “surge” capability to protect critical infrastructure during periods of heightened threat. The JTFES Military Emergency Boat Service is also used to support New York City and Lower Hudson River Waterway security, including regular marine patrols of the Indian Point Nuclear Energy Complex.



Transit Security:

In addition to JTFES, the security of the mass transit system in New York City has been enhanced through the use of federal Transit Security Grant Program funding to harden the transportation infrastructure in New York City and to support law enforcement patrols at major transportation hubs. Securing the transportation infrastructure is a critical mission due to the volume of people that use mass transit and the fact that it is a favored target of terrorists worldwide. According to the Metropolitan Transportation Authority (MTA), their transportation system in New York City moves more than 5.2 million people on an average weekday, more than twice the number of travelers that pass through U.S. airports each day.



New York State Intelligence Center (NYSIC):

The NYSIC was established in 2003 and serves as the State's designated Fusion Center, a central location where information and intelligence is processed and analyzed by numerous agencies. The NYSIC operates 24/7/365 and currently includes more than 90 staff from 20 different local, State, and federal agencies. The NYSIC supports a number of different information-sharing programs and initiatives, including the New York State Terrorism Tips Line, the "See Something, Say Something" campaign, and the Field Intelligence Officer (FIO) program with local law enforcement. To date, the NYSIC has received more than 7,000 reports to the Terrorism Tips Line, all of which have been investigated by the FBI Joint Terrorism Task Force and/or State and local law enforcement.

Drivers License Security:

The 19 hijackers who perpetrated the terrorist acts against our country on 9/11 had more than 364 known aliases and possessed no less than 26 State-Issued identification documents (none from New York State). New York State has utilized the Driver License Security Grant Program funding to implement document scanning work stations in Department of Motor Vehicle (DMV) offices to assist in validating identity documents shown as proof to establish one's identity. In 2003, New York State DMV began point of transaction verification of Social Security Numbers and cross-checks of demographic information. In 2005, New York State introduced a new driver license document with the most state of the art security features and the document remains one of the leading documents in driver license security. New York State DMV arrests

regarding individuals providing false documentation and personal identifiers have grown from 140 arrests in 2000 to more than 1,000 arrests in 2010. In 2010, the New York State DMV used homeland security grant funding to implement a comprehensive facial recognition program to identify individuals attempting to obtain more than one driver license or non-driver identification document. The facial recognition program has led to more than 4,000 investigations of suspected multiple records and over 600 felony arrests for crimes committed in these attempts to obtain identification documents.

Ammonium Nitrate Security:

New York was one of the first States in the nation to develop security regulations associated with the sale and storage of Ammonium Nitrate, a common farm fertilizer and chemical compound that has been used to make homemade explosives, including the device in the 1995 Oklahoma City bombing. Norwegian authorities also suspect that Ammonium Nitrate was utilized in the July 2011 bombing in downtown Oslo. The scrutiny associated with Ammonium Nitrate, reportedly led Faisal Shazad to use a weaker grade of fertilizer in the attempted Times Square bombing in May 2010, which contributed to the device not detonating as intended. Because of its use as a homemade explosive, the U.S. Department of Homeland Security has recently proposed federal Ammonium Nitrate security measures as well.

Northern Border Security:

New York State shares more than 445 miles of international border with Canada, which provides great benefits to both countries, but also introduces shared security challenges that must be addressed. New York State developed a comprehensive Northern Border Security Strategy and has coordinated 42 multi-agency, intelligence-driven law enforcement operations along the Northern Border in the last four years.



Specialty Team Support:

More than \$10.5 million has been provided to advance the capabilities of the State's 12 local FBI-certified Bomb Squads, and targeted funding has also been allocated for HazMat, Technical Rescue, and Explosive Detection Canine Teams (more than \$3.5 million in FY2009-FY2010 alone). New York State also has developed SWAT certification standards and training programs, including active shooter training to address situations like those seen in Mumbai in 2008 and more recently in Oslo, Norway.

Communications and Emergency Alerting:

New York State has proactively leveraged both federal and State dollars to build its communications and emergency alerting capabilities since 9/11. Recently, the State established an office dedicated to this issue, the Office of Interoperable and Emergency Communications (OIEC), within DHSES. Additionally, in 2011, the State released a \$20 million grant for local jurisdictions to build their communications capabilities; these funds will complement the significant investment of federal dollars made in this area. With regard to emergency alerting, New York State developed a nationally-recognized all-hazards alert and notification system, called NY-ALERT. NY-ALERT now hosts more than 5.1 million subscriber accounts and tens of thousands of alerts are sent monthly to New Yorkers via telephone, email, faxes, and text messages.

Enhanced Emergency Management Capabilities:

New York has built upon a strong emergency management framework to support "all hazards" preparedness in the post-9/11 environment. The DHSES Office of Emergency Management (OEM) ensures the State Comprehensive Emergency Management Plan remains updated to address terrorism and other man-made hazards, and OEM has been leading the State's effort to further develop Incident Management Teams and other disaster response and recovery capabilities. As part of the legislation that created DHSES, an Intrastate Mutual Aid Program was established to further streamline the sharing of services between governments when an untoward event occurs. Since 9/11, there have been 32 federally-declared disasters and emergencies and numerous other local and regional events that did not receive a federal declaration but nevertheless caused significant damage to local communities.



WMD Trailers:

Caches of standardized WMD response equipment have been distributed across the State by DHSES to local responders, including 172 Mobile WMD Response Trailers. These trailers represent the “backbone” of the State’s WMD/HazMat response capability. DHSES has established a Logistics Center responsible for the ongoing maintenance and calibration of the equipment, and a comprehensive strategy for inventory and resource tracking and control. DHSES also regularly trains jurisdictions and State agencies on the use of the program and equipment.



National Incident Management System (NIMS) Implementation:

The 9/11 Commission Report highlighted the need for improved operational coordination at major emergencies. New York State has successfully implemented the NIMS (through training, planning, and exercises) to ensure that all first responders in the State are operating using a common “playbook” with regards to incident response. More than 100,000 first responders in New York State have been trained in the Incident Command System (ICS). Our improved operational coordination results in more effective management of major incidents and increased safety for the State’s first responders.

Medical Emergency Response Cache (MERC):

Grant funds have been used to support the MERC, which is the State’s cache of pharmaceuticals and medical supplies. The MERC bridges the gap after local supplies are depleted and before supplies from the Strategic National Stockpile are available. The MERC’s cache is divided among four different sites, located strategically across the State, to ensure an efficient post-incident response. Because of this investment, medical countermeasures can be deployed anywhere in the State within four hours.

Citizen Preparedness:

New York State’s citizens are a critical component of our homeland security efforts. The State participates in public outreach campaigns (e.g. “See Something, Say Something”) and has supported the creation of 16 County-Level Citizen Corps Councils (CCCs), 7 local CCCs, 19 Community Emergency Response Teams (CERTs), 31 Medical Reserve Corps (MRCs), 36 Fire Corps, and 52 Volunteers in Police Services (VIPS). At the State-level, DHSES maintains five regional Citizen Preparedness Coordinators and one State Program Manager to provide training to local volunteer groups and to ensure that their efforts are coordinated with the State’s emergency management community. The Citizen Preparedness Coordinators have provided training and education to more than 245,000 New Yorkers in the past three years. These trainings have addressed a wide variety of citizen preparedness issues, including the engagement of vulnerable populations (e.g., elderly, disabled) in the State’s disaster preparedness efforts.



Operation Safeguard:

Complementing the citizen preparedness efforts is Operation Safeguard, a collaborative program aimed at law enforcement outreach to the business community, specifically those types of businesses or sectors that have been or could be exploited by terrorists (e.g., self storage facilities, hardware stores). As part of Operation Safeguard, State and local law enforcement visit businesses to educate them on how to spot and report suspicious activity, and to further promote the “See Something, Say Something” message. Since the program’s inception in 2004, more than 30,000 visits have been made. Operation Safeguard is modeled after NYPD’s Operation Nexus program, a similar outreach initiative.

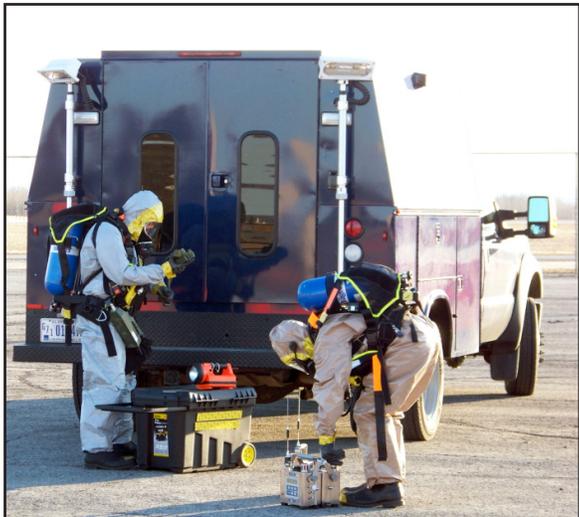


Cyber Security:

Cyber attacks have increased dramatically in the 10 years since 9/11. To protect the State’s Information Technology (IT) systems, the DHSES Office of Cyber Security (OCS) provides Managed Security Services (which includes 24/7/365 network monitoring) to 35 State agencies and periodic vulnerability scanning to 59 additional State Agencies. Additionally, OCS has worked to promote awareness and to provide training to local governments with regard to cyber security threats and mitigation programs. An annual Cyber Security Conference draws more than 800 attendees, including cyber security experts from around the country.

First Responder Training:

DHSES has utilized federal grant dollars to support a wide array of terrorism and all-hazards preparedness training. For example, over the last five years, OCT has provided training for more 42,000 first responders. OCT has provided more than 1,200 different courses, including more than 14,000 at the State Preparedness Training Center. OCT has provided more than 1,200 different courses to responders, including courses related to Active Shooter Scenarios, CBRNE, Agro-Terrorism, Improvised Explosive Device (IED) Awareness, etc. Since 9/11, the DHSES Office of Emergency Management has coordinated the delivery of more than 1,600 courses to over 69,000 students, including numerous NIMS/ICS and other emergency management courses. Additionally, the DHSES Office of Fire Prevention and Control trains approximately 50,000 firefighters a year and has used the homeland security funding to support more than 6,500 HazMat, Incident Response and Technical Rescue courses since 9/11.





State Preparedness Training Center (SPTC):

New York State has invested both State and federal dollars to support the State Preparedness Training Center (SPTC) in Oriskany, New York. When complete, the SPTC will be a state-of-the-art training center that benefits multiple first responder disciplines, including Law Enforcement, Fire, Emergency Management, EMS, etc. The images above highlight the front of the SPTC (left) and the various facilities that the SPTC will house once construction is complete (right). More than 17,000 responders have trained at the SPTC since the facility opened in 2006, and even during development the SPTC is being used to train hundreds of first responders a month.

Conclusion:

New York has leveraged both federal grant dollars and State investments to develop and sustain the capabilities needed to address the persistent and evolving threats facing the State and our Nation. The programs and initiatives outlined in this report are just a sample of what has been accomplished since 9/11. Despite these accomplishments, we must continue our efforts to ensure New York is prepared and protected now and in the future.

The State Homeland Security Strategy and more information on the Division of Homeland Security and Emergency Services can be found at: www.dhSES.ny.gov

Appendix – 9/11 Commission Recommendations Crosswalk

The 9/11 Commission issued 41 recommendations, mainly aimed at the federal government. However, New York State has taken a variety of actions that support many of the recommendations. The applicable 9/11 Commission recommendations and related State actions are outlined below. The numbers in parenthesis refer to page numbers in the Commission Report. The full report is available at: <http://www.gpoaccess.gov/911/pdf/fullreport.pdf>

9/11 Commission Recommendations	Related New York State Actions
<p>Preventing the Proliferation of Weapons of Mass Destruction (WMD): By strengthening counter-proliferation efforts, expanding the Proliferation Security Initiative, and supporting the Cooperative Threat Reduction program (381).</p>	<p>New York State established laws related to the possession and use of chemical or biological weapons. New York also participates in a variety of programs focused on WMD detection and interdiction, including the Securing the Cities initiative led by the NYPD.</p>
<p>Terrorist Financing: Vigorous efforts to track terrorist financing must remain front and center in U.S. counterterrorism efforts (382).</p>	<p>New York State passed laws against money laundering in support of terrorism and other anti-terrorism related statutes to provide State and local law enforcement and prosecutors additional legal tools and options.</p>
<p>Counter Terrorism Strategy: The United States should combine terrorist travel intelligence, operations, and law enforcement in a strategy to intercept terrorists, find terrorist travel facilitators, and constrain terrorist mobility (385)</p>	<p>New York State developed a comprehensive homeland security strategy with a goal dedicated to enhancing counter terrorism and law enforcement capabilities. The State’s participation in the FBI Joint Terrorism Task Forces, the New York State Intelligence Center (NYSIC), and the State’s Counter Terrorism Zones (CTZ) also support this recommendation.</p>
<p>Secure Identification: The federal government should set standards for the issuance of birth certificates and sources of identification, such as driver’s licenses (390).</p>	<p>Facial recognition technology and document security features have helped to ensure the New York State Drivers License remains one of the most secure in the country. New York is also one of only four states to establish an Enhanced Drivers License suitable for cross-border (Mexico/Canada) travel.</p>
<p>Transportation Sector Risk Assessment: The U.S. government should identify and evaluate the transportation assets that need to be protected, set risk-based priorities for defending them, select the most practical and cost-effective ways of doing so, and then develop a plan, budget, and funding to implement the effort (391).</p>	<p>A Regional Transit Security Working Group of transportation and public safety stakeholders in the NYC Metro Region conducted a holistic assessment of the region’s transportation network. Federal transit security funds have been leveraged to address and mitigate vulnerabilities based on risk. The U.S. Department of Homeland Security identified this model as a national best practice.</p>
<p>Information Privacy: As the President determines the guidelines for information sharing among government agencies and by those agencies with the private sector, he should safeguard the privacy of individuals about whom information is shared (394).</p>	<p>The NYSIC has a privacy officer and a privacy policy reviewed and approved by the U.S. Department of Homeland Security. NYSIC information and intelligence efforts comply with 28 CFR Part 23, the federal regulation governing the operation of federally supported criminal intelligence systems.</p>

9/11 Commission Recommendations	Related New York State Actions
<p>Allocate Homeland Security Funds Based on Risk: Homeland security assistance should be based strictly on an assessment of risks and vulnerabilities (396).</p>	<p>New York State has long used a risk formula to allocate homeland security grant resources and continues to advocate that the federal government do the same.</p>
<p>Establish a Unified Incident Command System: Emergency response agencies nationwide should adopt the Incident Command System (ICS). (397)</p>	<p>On March 5, 1996, Executive Order No. 26 was signed establishing ICS as the State standard command and control system utilized during emergency operations. New York State continues to be a recognized leader in use of the ICS.</p>
<p>Provide Adequate Radio Spectrum for First Responders: Congress should support pending legislation which provides for the expedited and increased assignment of radio spectrum for public safety purposes (397).</p>	<p>Although federal legislation to establish a dedicated public safety radio spectrum is still pending, New York State has been working to leverage federal and State resources to enhance interoperable and emergency communications and has recently established an Office dedicated to this effort.</p>
<p>National Counter Terrorism Center (NCTC): We recommend the establishment of a National Counterterrorism Center...this NCTC should be a center for joint operational planning and joint intelligence, staffed by personnel from the various agencies (403)</p>	<p>Established in 2003, the NYSIC serves as the State's Fusion Center, bringing together staff from a variety public safety and intelligence agencies to review, analyze and share counterterrorism information and intelligence.</p>
<p>Legislative Oversight: Congress should create a single, principal point of oversight and review for homeland security...Congress does have the obligation to choose one in the House and one in the Senate, and that this committee should be a permanent standing committee with a nonpartisan staff (421)</p>	<p>The New York State Legislature has identified a Committee in each House with primary jurisdiction over homeland security issues. The Committee on Veterans, Homeland Security and Military Affairs in the Senate, and the Government Operations Committee in the Assembly. This model has proven to be very effective, and New York State has established many homeland security laws to further protect the State and Nation.</p>
<p>Legislative Information Sharing: The Department of Homeland Security and its oversight committees should regularly assess the types of threats the country faces(428)</p>	<p>The Division of Homeland Security and Emergency Services (DHSES) Office of Counter Terrorism has a legislative mandate to conduct an annual threat briefing for each House of the State Legislature. Governed by confidentiality protocols, the briefing provides a forum for the Legislative and Executive branches to discuss threats and counterterrorism initiatives.</p>