

***NEW YORK STATE  
COMPREHENSIVE EMERGENCY MANAGEMENT  
PLAN***

**TRANSPORTATION INFRASTRUCTURE BRANCH  
ANNEX**



**Disaster Preparedness  
Commission**

**PREPARED BY THE NEW YORK STATE  
DISASTER PREPAREDNESS COMMISSION  
TRANSPORTATION INFRASTRUCTURE BRANCH**

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# TRANSPORTATION INFRASTRUCTURE BRANCH (TIB) FUNCTIONAL ANNEX

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## TRANSPORTATION INFRASTRUCTURE BRANCH (TIB) FUNCTIONAL ANNEX

### Glossary of Terms

**Area Transportation Infrastructure Group (ATIG):** Transportation Infrastructure Group members within a specific geographic area which is a regional collection of counties corresponding to the DOT regions. (refer to map in Attachment B)

**Clearance:** Means that transportation infrastructure is made passable for emergency vehicles, although debris may remain in some portion of the transportation infrastructure right-of-way.

**Debris:** Abandoned or destroyed vehicles, rubble, flora, wreckage, ruins, litter, refuse, trash, storm related material including snow and ice, or the scattered remains of something destroyed and may include geological debris such as soil or fragments of rock.

**Local:** Local is not confined to single jurisdiction but is better defined as regional in nature since it would include adjacent jurisdictions and county and immediately adjacent county highway assets within a reasonable distance from the epicenter of the defining event.

**Local Transportation Infrastructure Providers:** Highway superintendents, port operators, airport managers, transit agencies, etc.

**Multi-Agency Coordination Branch (MAC):** A term which describes an executive management team who are assembled to determine incident policy, the prioritizing of incidents, and the sharing and use of critical resources. The MAC organization is not a part of the on-scene ICS and is not involved in developing incident strategy or tactics.

**Primary Agency:** Means an agency that is providing direct operational or functional support in the form of staff and/or resources to an incident as opposed to the supporting agency that is providing intelligence or information or indirect support.

**Removal:** Means that debris is removed from the transportation infrastructure right-of-way and properly disposed of.

**State Agency:** Collectively refers to State departments and agencies, State authorities and international authorities.

**STICC:** Statewide Transportation Information and Coordination Center, located at the DOT Main Office in Albany.

**Supporting Agency:** An agency that is providing information, intelligence or *indirect* operational or functional support to the response as opposed to a Primary Agency that provides staff or operational resources.

**TRANSCOM:** A coalition of eighteen transportation and public safety agencies in New York, New Jersey and Connecticut.

**Transportation Infrastructure:** Roads, bridges, tunnels, airports, canals, ports, railroads, subways, sidewalks, bicycle lanes, and shared-use paths owned by the State of New York, New York State authorities, international authorities and local municipalities.

**Transportation Infrastructure Emergency Planning:** Means planning being applied to the use of the transportation infrastructure as a result of the loss of key transportation system assets due to natural or human caused events such as evacuation or repatriation planning issues.

## **TRANSPORTATION INFRASTRUCTURE BRANCH FUNCTIONAL ANNEX**

### **Transportation Infrastructure Branch (TIB) Tier 1 or Primary Agencies**

New York State Department of Transportation (NYSDOT)  
New York State Thruway Authority (NYSTA)  
New York State Bridge Authority (NYSBA)  
New York Division of State Police (DSP)  
New York State Department of Corrections and Community Supervision (NYSDOCCS)  
New York State Department of Environmental Conservation (NYSDEC)  
New York State Office of Emergency Management (SOEM)  
New York State Office of Parks, Recreation and Historic Preservation (NYSOPRHP)  
New York State Division of Military and Naval Affairs (DMNA)  
Port Authority of New York and New Jersey (PANY&NJ)  
Metropolitan Transportation Authority (MTA)

### **Transportation Infrastructure Branch (TIB) Tier 2 or Supporting Agencies**

Albany Port District Commission (APDC)  
Buffalo and Fort Erie Public Bridge Authority (PBA)  
Long Island Power Authority (LIPA)  
New York Power Authority (NYPA)  
New York State Energy Research and Development Authority (NYSERDA)  
New York State Office of Children and Family Services (NYSOCFS)  
New York State Olympic Regional Development Authority (ORDA)  
Niagara Falls Bridge Commission (NFBC)  
Niagara Frontier Transportation Authority (NFTA)  
Ogdensburg Bridge and Port Authority (OBPA)  
New York State Office of Information Technology Services (ITS)  
Port of Oswego Authority (POA)  
St. Lawrence Seaway Development Corporation (SLSDC)  
State University of New York (SUNY)  
Thousand Islands Bridge Authority (TIBA)  
New York State Department of Agriculture and Markets (AGMKT)

For the sake of expandability, additional State Agencies, Authorities, Public/Private partners or International Authorities may participate as warranted by the emergency situation.

## TRANSPORTATION INFRASTRUCTURE BRANCH (TIB) FUNCTIONAL ANNEX

### SECTION I   General Considerations and Planning Guidelines

#### A.     Introduction

When an emergency or pre-planned event occurs within the state, it has the potential to negatively impact the State's transportation infrastructure and to become a regional transportation issue affecting residents, the economy, response and recovery operations.

It is an accepted notion that every emergency begins and ends locally, including impacts to the transportation infrastructure. The history of the Transportation Infrastructure Branch began with the recognition that local and regional weather related incidents necessitated coordination for the removal of debris from the highways to allow response and recovery activities. The first document to address planning for transportation infrastructure issues was the Debris Management Plan developed by the Highway Emergency Task Force. The concept has evolved to include all types of transportation infrastructure.

Historically the need for coordination has been fulfilled by the formulation of ad hoc teams recognizing the need for local and regional coordination. The teams generally operated from a local Emergency Operation Center to establish priorities and coordinate resources. As the process evolved, the Area Transportation Infrastructure Groups (ATIGs) became an accepted and recognized organization and method to address coordination challenges.

When highways become choked with debris, response and recovery activities are severely limited. The challenge is to remove only enough debris to allow access for responders and for aid to reach the affected area. Events which produce enough debris to block local transportation routes will quickly consume local resources requiring additional assistance from regional, state or even the federal government. The challenge is to provide a coordinated response in clearing the infrastructure using local, regional and state assets. The NYS Department of Transportation has developed a coordination unit called the Statewide Transportation Information and Coordination Center (STICC). The mission of the STICC is twofold, to provide a central hub for state highway information from the various regional transportation management centers and to provide mission coordination for the deployment of DOT's assets. The information gathered by the STICC is shared with other state agencies including SOEM's Watch Center or with the State Emergency Operations Center (EOC) when it is activated.

In recognition of the importance of the transportation infrastructure or the magnitude of the event, the county emergency management agency may request the activation of an Area Transportation Infrastructure Group (ATIG) to focus on transportation restoration and management issues, and provide the overall coordination of resources to clear, reopen or restore transportation infrastructure.

The ATIG is a multi-agency capability, composed of liaisons from regionally based state agencies working with local agencies to address transportation infrastructure problems. The primary mission of the ATIG is to coordinate the clearance of the infrastructure, with a secondary mission to coordinate the applied assets in order to provide emergency access for response and recovery.

The Area Transportation Infrastructure Group is regionally defined to provide for regionally coordinated response. The term “regional” as it is used in this document can be defined as either the collection of municipalities within a county or as a number of counties within a geographic area such as a DOT region. The ATIG is a transportation management resource that may be requested by the County Emergency Management Agency. Once regional resources have been exhausted, the ATIG is empowered to request Department of Transportation resources from the STICC. As part of its mission, the STICC will provide situational awareness to the State EOC upon the assignment of DOT assets and will provide mission resource requests to the State EOC when additional resources are needed from supporting state agencies.

The relationship of the Area Transportation Infrastructure Group to the State Transportation Infrastructure Branch (ATIG/TIB) relates to the concept where local or regional response resource shortfalls are identified, triggering support from the next higher level of government. Once the regional resources of the ATIG are exceeded and there is outreach to the State, the TIB will be instrumental in providing a level of coordination for the application of state agency resources and will provide oversight in the evaluation in the commitment of those resources.

Prior to the State Transportation Infrastructure Branch being activated, the STICC will receive mission requests directly from the DOT Residencies, State EOC or the ATIGs, develop a strategy to address the mission, assign priorities and coordinate with the ATIGs to execute the missions. Once additional state agencies are required, mission assignments to non-member agencies are coordinated through the State EOC agency liaisons while the STICC continues to coordinate DOT assets exclusively.

If during a large scale event, a Multi-Agency Coordination Group (MAC) is convened by the Disaster Preparedness Commission (DPC) Chairman, the MAC group will be comprised of upper level management officials from various state agencies who will be provided with operational and intelligence reports to assist them in setting overall State response policy and priorities. The MAC Group will provide policy guidance to the State Transportation Infrastructure Branch or other operational branches that have been activated.

The organizational structure and the process by which state and local governments coordinate their response to transportation infrastructure incidents are described in this plan. The Annex provides focus on specific issues related to events involving transportation infrastructure and the coordination of resources needed to remediate transportation-related issues.

## **B. Purpose**

“Transportation infrastructure” should be interpreted broadly to include roads, bridges, tunnels, airports, canals, ports, railroads, subways, sidewalks, bicycle lanes, and shared-use paths owned by the State of New York, New York State authorities, international authorities (hereafter referred to as “State Agencies”) and local municipalities.

The purpose of the Transportation Infrastructure Branch Functional Annex is to provide a plan which identifies the operational structure for coordinated, temporary, focused, limited State Agency assistance to local governments who have exhausted their resources, but still have closed transportation infrastructure that creates life-threatening and unsafe situations by limiting event response and recovery operations. In addition, the plan provides the structure to access technical and operational assistance in support of planning efforts which have a significant effect on the transportation infrastructure. Assistance is provided by Primary Agencies who have the capability to provide direct or tactical resources, staffing or technical assistance to the event. Supporting Agencies provide information related to the operation such as the condition of allied transportation infrastructure or as a partner in the coordination of transportation related activities and may at times, provide direct resources depending on the location of the event.

### **The purpose of the Transportation Infrastructure Branch (TIB) is;**

1. To provide prioritized, coordinated, temporary, and focused, strategic planning assistance by state agencies in identifying resources in support of local government’s efforts to restore transportation infrastructure;
2. To provide intelligence on the operational status of the State’s transportation infrastructure during emergency situations or planned events, which may include the status of transportation infrastructure elements in adjacent states or provinces;
3. To provide technical assistance in the planning process for events which have the potential to significantly impact the operation of the transportation infrastructure.

## **C. Scope**

The Annex applies to any incident that negatively impacts infrastructure and warrants State assistance including support for evacuation, exchange of intelligence or debris clearance. The Annex is designed to address preparedness activities, emergency response and short-term recovery from natural, technological, or human-origin hazards that could adversely affect transportation infrastructure.

As a functional annex this document describes the fundamental policies, concepts of operations, organization and capabilities to be used when the Transportation Infrastructure Branch is activated within the Operations Section of the State Emergency Operations Center.

Three appendices of this annex, Debris Clearance, Transportation Intelligence and Evacuation Support, are proposed to be developed. The Debris Clearance Appendix addresses issues of clearing and properly disposing of debris blocking the transportation infrastructure for emergency responders. Debris clearance is a multi-agency issue including clearing, removal, storage, disposition and environmental considerations. The Transportation Intelligence Appendix will focus on the process of obtaining and disseminating transportation-related intelligence for

display, statistical analysis, status, or in support of strategic planning functions and the protection of critical infrastructure. Intelligence is a multi-agency issue focused on the dissemination of evolving and accurate information in support of transportation infrastructure stakeholders. The Evacuation Support Appendix will provide strategic and operational support and coordination between agencies for mass transportation movements for planned or emergency events. Evacuation planning is a local government issue which requires regional coordination as impacts on the regional transportation infrastructure are likely to occur. Agencies and units in support of the appendices are activated by the State Transportation Infrastructure Branch in coordination with the management of the State EOC and provide focused guidance on specific issues related to transportation infrastructure restoration. The TIB shall identify the appropriate stakeholders through the State Emergency Operations Center, to address the challenges outlined in the appendices.

#### **D. Situation**

In an emergency situation or pre-planned event which may cause transportation infrastructure to become unusable, each level of government has the responsibility of maintaining the highway infrastructure under their authority. For instance the State Department of Transportation has the responsibility to maintain those highways on the state system. Additionally the state may have agreements with local agencies for the maintenance of limited portions of the infrastructure that run through their jurisdiction. Transportation infrastructure events are not confined to incidents that include physical damage; they may also include mass evacuation planning issues which will temporarily affect infrastructure access and capacity. In addition to operational considerations in restoration and short term recovery, up to date intelligence on the status of the affected infrastructure is essential for all stakeholders at each phase of the process. A protocol to provide status information will be required at each level of response, from local government through State or Federal involvement.

The situation may be of significant scope or affect a large geographical area where local and county assets have been exhausted or are insufficient to restore the affected infrastructure which is needed to support response and short term recovery efforts. Examples of issues of significant scope include impassable roads due to debris, winter storms, subsidence or wash outs, destroyed rail lines, widespread signal failures, destroyed or unsafe bridges or inundation due to flooding. To provide coordination on the State level or across multiple regions; the State EOC coordinator may choose to activate the State Transportation Infrastructure Branch (TIB) within the Operations Section. The TIB will be responsible for strategic planning activities involving state-level agency support to the regional Area Transportation Infrastructure Groups and subsequently the counties. In addition, the State Transportation Infrastructure Branch will coordinate state resource response, recovery and demobilization activities in support of the Area Transportation Infrastructure Group(s).

The transportation infrastructure is taken for granted since it is used daily to move individuals and commerce in every corner of the state. When a disaster or emergency event occurs it will likely limit some portion of the transportation infrastructure, triggering an immediate and profound effect on the community.

The initial task is to provide life safety by allowing first responders to provide search and rescue missions and to enable aid to reach disaster survivors. Very often the blockage or destruction of transportation infrastructure limits the provision of aid. The transportation

infrastructure is key to providing access by first response agencies and to allow aid to reach disaster survivors.

From a historical perspective infrastructure has been disrupted most frequently by natural disasters such as debris from wind storms, flooding, record snow events, soil subsidence, and failure of infrastructure from repetitive storms causing flash flooding. We need to remain cognizant that transportation infrastructure must be broadly defined beyond highways and that natural and human caused events have severely hampered rail and commuter rail transportation within the state. For Example, storm surge and flooding has shut down portions of the New York City subway system and halted train traffic along the northeast corridor. Flooding has closed highways and affected rail transportation in all portions of the state. In addition to short term flooding, long term damage has occurred due to destruction of bridges, culverts and significant portions of roads being completely washed away. Significant snow events have closed highways in Central and Western New York east of Lake Ontario and Lake Erie respectively and have severely impacted highways in the New York City metropolitan area, which is home to more than half of the State's population. Wind events have distributed debris onto the infrastructure in several areas of the state and have affected train travel in the northeast corridor for several days. Ice storms have impacted infrastructure in several portions of the state and high heat in the metropolitan areas has cause electrical or signal outages on a regular basis.

The most noted human caused event was the attack at the World Trade Center which stopped subway traffic in lower Manhattan and halted PATH traffic between New Jersey and lower Manhattan. In addition debris and recovery operations closed streets around the WTC site for several months and slowed travel through tunnels and over bridges due to increased security measures.

## **E. Planning Assumptions**

State Agency assistance is intended to provide support to local government to re-open or re-establish transportation infrastructure during an emergency. Assumptions for such include;

- Local government is the lead decision maker in times of emergency.
- During a planned event or emergency situation, the transportation infrastructure may become unusable affecting access to and egress from the affected area.
- A Declaration of a local state of emergency (SOE) does not automatically trigger State Agency assistance but should act as a key indicator that such assistance may be pending.
- The goal is to provide sufficient limited restoration of the transportation infrastructure to allow ingress and egress for emergency response personnel and short term recovery operations.
- The actions of the Area Transportation Infrastructure Group and the State Transportation Infrastructure Branch may be required when conditions exist that require a state response when local resources are exhausted within the affected operational region.
- Operational problems such as limited service, re-routing, partial closures or out of service support systems in the transportation infrastructure may have a negative impact on emergency response and short-term recovery activities.

- It is an expectation that emergency work being performed by the county government will incur overtime costs and they will be fully committed to emergency access.
- County government has the responsibility to insure that emergency needs have to be prioritized and all local resources have been fully committed prior to requesting State assistance.
- Transportation infrastructure emergency response and short-term recovery operations may exceed regionally controlled or accessible assets, necessitating them to reach outside their respective areas to provide an effective response.
- The locally managed ATIG may exhaust its capacity to respond and may request assistance through the State Transportation Infrastructure Branch for assets outside of the affected area, which may cause the activation of additional ATIGs for coordination and support.
- As local/regional capabilities are exceeded resources will need to be coordinated and prioritized regionally or on a statewide basis.
- The County Emergency Manager may request the activation of the Area Transportation Infrastructure Group (ATIG) on behalf of local government to provide strategic planning and tactical resource assistance on a regional basis.
- Depending on the event and the county affected, it is not out of the question to find a DOT official present at the County EOC from the beginning of the event.
- State agency transportation providers may have entered into local/state contracts or MOU's with local government for road maintenance or usage. Activities of the State Transportation Infrastructure Branch or Area Transportation Infrastructure Group activities will not usurp such contracts or agreements.
- Branch roles during the activation of the Transportation Infrastructure functional branch will be assumed if not delegated and are intended to focus on coordination, cooperation and communication.
- Transportation Infrastructure Branch members have prepared agency-specific tactical plans utilizing standard operating procedures and/or guidelines for implementing restoration activities. The TIB structure provides a coordinated approach in support of those tactical plans.
- State Agencies may be directed to assist with State Agency and local municipal transportation infrastructure response and short-term recovery activities following Transportation Infrastructure Branch activation.
- The appropriate state agencies will continue to prioritize actions on State controlled infrastructure considering regional priorities in consultation with County Emergency Management.

- The availability of information during emergency situations is critical. Transportation infrastructure owners and operators will make every effort to supply through whatever means available infrastructure status in relation to its availability for use during response and recovery efforts.
- The lowest level of government with which the State EOC-based TIB will be interacting will be county government or the ATIGs.
- Since maximum flexibility of utilization is intended and required, the use of primary or supporting agencies is not intended to be a rigid definition. The circumstance and necessity will determine the role of listed and non-listed agencies.

**F. Concept of Operations**

As a result of an event that impacts transportation infrastructure, there will be an immediate response of local government resources in an attempt to re-establish or reopen infrastructure allowing emergency response and short term recovery activities. Because infrastructure restoration has to be planned out, is time and labor intensive and quickly places huge demands on available resources local shortfalls quickly emerge. Identified shortfalls will prompt local governments to reach out to adjacent jurisdictions and to private contractors, to assist. If restoration activities exceed local capability the county will be called upon to provide resources and to coordinate additional local or contracted assistance. To assist with regional response activities the County may choose to activate the Area Transportation Infrastructure Group (ATIG) to coordinate multi agency activity and to fill any resource shortfalls related to access or restoration. It is likely that the State EOC is activated due to event activities and in anticipation of mission requests to support local government response.

Absent the formal activation of the ATIG, the County would work through the State EOC to fill mission requests. In turn the State EOC would work through state agency liaisons to insure execution of mission requests. The ATIG should be recognized as a regional coordination asset for the County emergency manager in all matters pertaining to transportation infrastructure restoration.

The Transportation Infrastructure Branch Functional Annex provides a process for assessing, managing, reallocating and demobilizing resources from state agencies following Transportation Infrastructure Branch activation in support of local government to reopen, repair or to provide regional planning for the use of transportation infrastructure.

Transportation infrastructure emergency response and short-term recovery activities will proceed in a decentralized manner, based on the premise of obtaining local resources first and then working up through the following functional levels:

- |        |  |
|--------|--|
| First  | Local and County Response, County EOCs                               |
| Second | Area Transportation Infrastructure Group (ATIG)                      |
| Third  | Statewide Transportation Information and Coordination Center (STICC) |
| Fourth | The TIB in coordination with the State EOC                           |

In response to an event that warrants the activation of the ATIG and eventually the TIB to provide coordination and support, the concept of operation is predicated on the fact that;

- An event occurs that requires County resource activation to supplement local shortfalls while state transportation resources will likely be committed exclusively to state infrastructure.
- The County has requested the activation of an ATIG for the identification, prioritization and coordination of mission resources.
- The ATIG prioritizes, deploys and coordinates state and local missions as a transportation management resource working in the County EOC.
  - The ATIG may request Tier 1 agency participation which will be mission assigned through the STICC to the TIB (if activated). Once these Tier 1 agency resources are deployed, management and demobilization is coordinated through the ATIG.
- If regional ATIG capabilities are exceeded, the ATIG may request activation of the TIB at the State EOC, through the STICC.
- Operationally, the SEOC coordinates Tier 1 assets, since they are normally state agencies. Delegation of coordination emanates from the State EOC Operations Section to the TIB (or STICC, if the TIB is not activated). The responsibility of the STICC is to continue to track and coordinate DOT assets in support of the missions and the ATIG provides regional coordination, prioritization and mission assignments in support of local emergency management.
- The TIB will activate the Tier 1 agencies in direct support of local government and will activate Tier 2 agencies for support as required in coordination with the State EOC.
- If federal support is required the TIB will request the activation of Emergency Support Function (ESF) 1 “Transportation” through the State EOC.

The local/regional transportation infrastructure provider(s) will prioritize requests for assistance within their area of responsibility. It is encouraged that as a preparedness activity, local transportation infrastructure providers identify all transportation assets and prioritize their importance for clearance or sustainment. The information collected should be compiled in a standardized format similar to **Attachment B**.

Local Transportation Infrastructure Provider(s), acting regionally, will, after all their resources are deployed in support of response and short term recovery, submit prioritized mission requests for assistance to the Area Transportation Infrastructure Group who, if activated in support of a coordinated regional response with the County Emergency Operations Center, will coordinate a response to those missions.

Once the capability of the Area Transportation Infrastructure Group has been exceeded, a request may be initiated in coordination with the County to the STICC for additional DOT assets, or through the EOC for assistance from other state agencies with operational coordination being provided by the TIB, if activated.

It is imperative that the STICC provides information to the DOT liaison in the State EOC insuring continual intelligence on the utilization of ATIG resources, so that total asset visibility related to ATIG assets according to type and mission assignments is provided to the State EOC. The STICC will be responsible for maintaining resource availability and tracking mission commitments including equipment, staff and technical assistance.

## G. Policy

When the Transportation Infrastructure Branch or any Area Transportation Infrastructure Group (ATIG) is activated for transportation infrastructure emergency repair and/or debris clearance, the State's policy is as follows:

1. State Agency resources may be used to perform temporary repairs and/or debris clearance from impacted transportation infrastructure surfaces and other public property when local resources have been depleted and transportation infrastructure remains closed and/or access to public property for the purpose of repairing utility infrastructure remains obstructed. The permanent repairs and/or removal of the cleared debris and ultimate storage and/or disposal are the responsibility of the affected local governmental entity working in liaison with any agency that has statutory jurisdiction for various debris types.
2. Clearance means that transportation infrastructure is passable for emergency vehicles; debris may remain in the transportation infrastructure right-of-way. Removal means that debris is removed from the transportation infrastructure right-of-way and properly disposed of, which remains a local responsibility and may require operational and management support. Environmental issues are under the statutory responsibility of the Department of Environmental Conservation, with the remediation of other types of debris requiring coordination with other local, state or federal agencies.
3. The Statewide Transportation Information and Coordination Center (STICC) is located at NYSDOT Main Office in Albany. The STICC will maintain situational awareness for all transportation systems within NYSDOT jurisdiction as well as modal operators, as necessary. When one or more ATIGs are activated, reporting will be expanded to include local and other impacted infrastructure, including TIB member agencies. Support for ATIG operations, including resource ordering, policy guidance, and legal assistance will also be coordinated through the STICC.
4. State Agency missions shall be assigned on a prioritized basis, according to the following order of priorities:
  - a) **First:** To re-open the affected transportation infrastructure in order to enable passage of emergency vehicles and life sustaining aid.
  - b) **Second:** To re-open the transportation infrastructure and other public property to allow repair crews access to facilitate repairs to the infrastructure and to restore utilities.
5. Although it is anticipated that the State Transportation Infrastructure Branch or ATIG, would be activated for major emergencies which warrant a Declaration of a State Disaster Emergency, activation of the Transportation Infrastructure Branch/ATIG is not limited to a gubernatorial declaration. Such emergency response and short-term recovery actions may be taken in the absence of a gubernatorial declaration,

- only under the most exigent emergency circumstances, as directed by the Governor and;
- under the declaration of a state of emergency by a local government, and
- a request for State assistance pursuant to Section 24(7) of the Executive Law; and
- where the local government has certified (in writing) that State employees are deemed officers or employees of the political subdivision for purposes of Section 25(5) of the Executive Law.
  - See the Emergency Recovery Services Agreement in **Attachment F**

Field monitoring and reporting actions following activation of the TIB by the State Office of Emergency Management will be through the Statewide Transportation Information Coordination Center (STICC) which will monitor and gather the operational status information associated with the affected transportation infrastructure. The Transportation Infrastructure Branch will report operational status information, strategic and tactical actions taken to mitigate the situation and short term recovery actions.

The Transportation Infrastructure Branch will;

- Provide Branch members with the guidance as to how, where, what and when to report information related to their mission. Significant transportation infrastructure operational status changes or impacts should be reported through the established reporting system as they become available.
- Establish procedures to obtain status information in areas where private transportation companies own and operate significant transportation infrastructures.
- TRANSCOM reports obtained through the STICC may be used to supplement information from the New York City metropolitan area, as appropriate.
- **Status Rating:** Transportation infrastructure operational status information shall be reported as follows.

**Status 1** (Not Usable) = impassable, not operational, out of service

**Status 2** = (One Lane Usable) one (1) lane passable, marginally usable, expect delays, minimal operation

**Status 3** = (Two Lanes Usable) two (2) lanes passable, but right-of-way (ROW) not usable (shoulder damages, large debris piles, etc.) continue to expect delays

**Status 4** = (Two Lanes w/Limitations) two (2) lanes passable, including most of the right-of-way (ROW), but some problems remain within the ROW (debris piles, erosion, slope problems, etc.), expect restoration related delays

**Status 5** = (Normal) normal or “clean” (pre-disaster condition)

(See **Attachment G** for a copy of the Road Status Damage Assessment System (RSDA))

## **H. Authority**

Under Executive Law, Article 2-B, Section 29, “Upon the declaration of a state disaster emergency, the Governor may direct any and all agencies of the state to provide assistance under the coordination of the DPC.” State agencies are directed to take such actions as may be necessary to assist affected areas in repairing, restoring, and protecting public and private facilities and to provide such other emergency assistance that would protect the public health and safety. Should the Governor issue a directive for State Agency assistance in the absence of a State Declaration of Disaster Emergency, the statutory limitations and obligations of State Agencies shall be respected.

## TRANSPORTATION INFRASTRUCTURE BRANCH (TIB) FUNCTIONAL ANNEX

### SECTION II PREPAREDNESS

- A. The NYS Department of Transportation has been designated to Chair the Transportation Infrastructure Branch.

Preparedness refers to all short-term or long-term activities that may eliminate or reduce the number of occurrences of an emergency nature, or mitigate the effects of an occurrence that impacts the transportation infrastructure. For transportation infrastructure issues, measures such as, mitigation efforts, tactical measures, support facility development, operational and strategic planning efforts, as well as training programs and exercises related to the activation of branch members is key to operational efficiency. Additional preparedness activities may include the identification and typing of resources, identification of private contractual agreements and the execution of inter-municipal agreements to expedite operations and relieve liability concerns.

Current preparedness activities include;

- Planning Activities
  - Regional meetings with ATIG stakeholders
  - Annual meeting of TIB members and ATIG stakeholders
  - Develop resource capability lists by agency
  - Define “Standard Crew” configurations for use by TIB member agencies
  - Develop 24/7 system monitoring for state facilities and major local elements
  - NYS DOT and NYS OEM have signed a memorandum of understanding outlining the use of Civil Air Patrol resources to assist DOT with aerial reconnaissance, damage assessment and other appropriate missions.
- Communication Activities
  - Develop and maintain emergency contacts for each DOT/ATIG Regions
  - Development 511 NY system/transfer information via web and phone
  - Trans Alert information to subscribers distributed thru NY Alert
- Train & Exercise Activities
  - Provide plan overview training to stakeholders on a regional basis
  - T&E of damage assessment teams in each DOT Region
  - T&E of stakeholders in each region, annually
  - Development of after action reports (post exercise and event) to determine shortfalls or plan changes
  - Participation with the radiological planning and exercise program where appropriate
  - Participation in various state and local level exercises including the hurricane scenarios

Preparedness activities include identification of local contract resources. It has been determined that in moderate sized events, limited public resources will quickly be

committed to response and recovery activities and regionally available contract resources are essential in providing additional capabilities. Planning should take into consideration that jurisdictions may be competing for the same contracted resources. Contracting with local resources provides economic stimulus by reinvesting disaster funding into the local economy. Preparedness activities include cataloguing contact information, resource typing, identification of staging areas and capability assessments.

Capability assessments of both public and private resources prior to an emergency will enable response agencies to identify anticipated resource shortfalls and the development of a plan to mitigate them.

Preparedness includes training and exercising response plans. Training and exercise initiatives are designed to familiarize stakeholders with operational process, communication protocols, and asset visibility. In addition, participants will continue to explore and refine their defined roles measured against actual responses.

Pre-planned events provide preparedness opportunities for planners and responders alike. The pre-planned events allow participants time to review existing plans, update risk assessments, develop functional or hazard specific plans and most importantly provide an opportunity for stakeholders to work as a team. A planned event provides the opportunity to identify gaps and can be used to develop a mitigation strategy without the stress of an emergency situation.

Training scenarios can be tailored to focus upon a single aspect of the plan, such as notification and warning or activation of the functional branch or plan appendices. Training focused on awareness for those who might request or activate a functional branch is a basic requirement which includes, reviewing process and organization structure.

Exercising allows emergency management personnel, first responders and regional officials to train and practice prevention, protection, response and recovery capabilities in a realistic but risk-free environment. Exercises are also a valuable tool for assessing and improving performance and plans by providing the opportunity to assess capability and capacity to respond. Upon identification of gaps, plans can be adjusted, additional training can be initiated, and most importantly, if capacity is exceeded MOU's or LOI's with additional agencies may be negotiated.

After Action Reports can provide invaluable information motivating future planning objectives. The main purpose of an After Action Report (AAR) is to capture observations and recommendations based on an exercise, planned or actual event. The recommendations are based on the metrics associated with the objectives and tasks assigned during the event. The AAR should result in an improvement plan (IP) which identifies specific corrective actions and assigns them to responsible parties with specific completion targets. The AAR is directly related to improvements in future planning efforts and better understanding of the organizational structure as well as communication process.

Intelligence Relationships are important prior to an event but are absolutely essential during an event. Two essential elements of any coordinated response are mission requests and intelligence. During any event there is an insatiable need for

information with the most important aspect being, is the situation getting better or worse. If it is getting worse there is an initial assumption that there are not sufficient resources available to improve the situation. If the situation is improving, redeployment and demobilization become planning considerations. It is essential that pre-event intelligence relationships be developed with transportation infrastructure stakeholders and includes not only intrastate partners but interstate partners as well. Intelligence information from local providers will shape response planning as well as the prioritization and allocation of resources. Intelligence related to infrastructure damage is essential for the recovery process including short and long term objectives. Transportation intelligence is essential for determining activity levels, failure or success of planning objectives and economic recovery planning.

Supplies and Equipment are essential in any response either planned or unplanned. As a preparedness measure, agencies should have an available inventory of supplies and equipment that might be activated during a transportation emergency response. As each agency documents individual assets, based on common planning scenarios, gaps will be identified. In addition to individual supplies and equipment, agencies should be prepared by researching and preparing an inventory of available contract resources, including specialized services that may be required to fill gaps.

## **B. Functional Annex Review and Update**

Annually the Transportation Infrastructure Branch will convene a meeting or teleconference of Transportation Infrastructure Branch members for the purpose of reviewing and revising the Transportation Infrastructure Branch Functional Annex. The Transportation Infrastructure Branch will recommend revisions and actions (e.g., training, exercises), as necessary, to the Chair of the Disaster Preparedness Commission no later than October 15 of each year.

It is recommended that the Area Transportation Infrastructure Groups meet annually to bring together local stakeholders and initiate a review of their functional annex and in addition make sure that the statewide and area plans are complimentary yet address local or regional requirements. Any planning conflicts will be addressed between the Area Groups and the TIB.

## TRANSPORTATION INFRASTRUCTURE BRANCH (TIB) FUNCTIONAL ANNEX

### SECTION III RESPONSE

Prior to the activation of the TIB, the coordination of ATIG activities will be managed and reported by the STICC. The activation of the TIB is a joint decision by the management of the State Emergency Operations Center in consultation with the TIB Chair. Once activated the TIB's focus will be on the common operating picture related to infrastructure status and to prioritize mission requests from the Area Transportation Infrastructure Group(s). If the capability of the State is exceeded, the State may choose to request assistance from the Federal government through FEMA.

The TIB will perform the following functions in an effort to restore the transportation infrastructure system to minimum operating conditions;

For State-controlled infrastructure;

- Conduct damage assessment to determine status of facilities and/or modes;
- Provide technical advice and evaluation, engineering, contracting, construction management, and construction inspection services;
- Provide for emergency repair through the use of State Agency resources and/or private contractor(s);
- Monitor the operational status of State-owned and operated facilities;
- Provide other support to assist State Agencies in meeting goals related to emergency response and short-term recovery activities;
- Gather and provide analytical data relating to the status of transportation infrastructure assets from primary and supporting agencies; and
- Provide and coordinate technical assistance relative to evacuation planning activities.

For locally controlled infrastructure;

- The TIB will coordinate with the ATIGs working with local officials to conduct damage assessments to determine the condition of facilities;
- Perform temporary repairs and/or clearance of facility obstruction(s) when local resources are depleted and the transportation infrastructure remains closed;
- Provide technical advice and evaluation for restoration efforts;
- Assist with contracting, construction management, and construction inspection;
- Provide assistance with contracting for emergency repairs to meet goals related to emergency response and short-term recovery activities;

- In coordination with local jurisdictions, obtain and report on the status of local infrastructure.
- Coordinate interrelated traffic management issues pertaining to local and state infrastructure.

#### **A. Alert and Notification**

The State Transportation Infrastructure Branch becomes operational under the coordination of the State Emergency Operations Center if it has been determined that a state wide coordination effort is required.

1.) TIB activation will be determined by the magnitude and geographical expanse of the event, location of the event, cascading effects of the event and in coordination with the TIB Chair, EOC Management and the needs of the activated ATIGs.

Due to the magnitude or impact of an event, or the type or volume of calls being received at the SWC a Level 3 EOC activation may be declared. At Level 3 the TIB Chair will be notified by the EOC Coordinator for situational awareness.

Once briefed on the situation and the scope of the incident, the TIB Chair in coordination with the SOEM Operations Section will jointly identify the need for TIB activation and if activated will request the attendance of the appropriate members.

As the role of the TIB expands, additional members will be activated as appropriate.

Demobilization phases will be determined based on mission requests and level of activity. The TIB Chair in coordination with member organizations will develop a demobilization plan and eventually defer activities to the ATIGS and to local governments.

#### **B. SEOC Activation Levels**

Activation levels used in the State EOC which relate to the activity by the Transportation Infrastructure Branch Activation levels are as follows:

**Day to Day Operations** - Day to day monitoring of the transportation infrastructure is performed by the STICC and relayed to the SWC.

##### **Level 3 (Situation Room Activation)**

- Due to potential or actual conditions which may prompt actions above the level of day to day operations, members increase their monitoring posture and exchange intelligence as required.
- The STICC monitors DOT activities and provides status reports to the State Watch Center and the TIB Chair as appropriate. There is an expectation that supporting agencies will also share situational information relating to TIB activities. An ATIG may or may not be activated depending on local conditions or regional impacts.

### **Level 2 (Partial Activation)**

- The Transportation Infrastructure Branch may be activated by the Coordinator of the State Emergency Operations Center when a potential or actual emergency situation results in a request for state agency assistance from a County, ATIG, or New York City OEM. The TIB Chair in coordination with SOEM, the Area Transportation Infrastructure Group and upon assessing the situation may choose to activate the Transportation Infrastructure Branch with the appropriate members based on the limited scope of the situation.
- The TIB continues to monitor activities while activating Branch members. The TIB Chair in coordination with Branch members will evaluate missions for assistance from the ATIG or county and coordinate support to them.
- The Transportation Infrastructure Branch shall provide strategic planning coordination and prioritization of resources in support of the local ATIG(s), as appropriate.

### **Level 1 (Full Activation)**

- The Transportation Infrastructure Branch may be activated by the Coordinator of the State Emergency Operations Center when a potential or actual emergency situation warrants TIB activation. The TIB Chair in coordination with Tier 1 members (if previously activated), SOEM, the Area Transportation Infrastructure Group(s) and upon assessing the situation, may choose to activate the appropriate Transportation Infrastructure Branch members due to the scale or type of event.
- The TIB continues to monitor activities while activating Tier 1 and notifying the appropriate Tier 2 branch members. Upon activation by the TIB Chair, members will cooperatively evaluate missions for assistance from the ATIG(s) in the affected regions and coordinate response of state resources.
- The Transportation Infrastructure Branch shall provide strategic planning coordination and prioritization of resources in support of the local Area Transportation Infrastructure Group(s) as appropriate.

## **C. Activation of Hazard Specific Groups**

1. **Debris Clearance Appendix;** the activation and members of a debris clearance functional group by the State Transportation Infrastructure Branch will be scenario driven. When events require support to regional government with particular emphasis on the clearance of material from the transportation infrastructure allowing it to be minimally operational for response operations, the group may be delineated to execute the debris clearance appendix. The Chair of the TIB in consultation with SOEM and the Tier 1 members shall determine the required agency liaisons to be called upon to assist in the strategic planning and execution of the debris clearance appendix. The State TIB may also be tasked by the ATIGs to obtain technical assistance, such as technical specialists for disposal issues, recycling, storage of material and to facilitate the procurement or movement of special equipment that may be required.

It should be noted that there are multiple phases to the debris clearance and removal process after an event.

- The first phase involves the clearance of debris from critical infrastructure or from critical infrastructure that serve essential services. This is essentially a process by which debris is moved, or removed to allow access by emergency response and short term recovery personnel during the initial phases of emergency response, evacuation, search and rescue, and with providing victims which needed assistance. Local, regional and state agencies will need to prioritize and coordinate efforts to efficiently execute the objective to provide emergency access.
- The second phase involves the removal of debris from critical infrastructure and to coordinate with private and public agencies in the restoration of essential services. In this phase local and state agencies will coordinate resources with other public and private agencies to begin to restore public infrastructure and allow short term recovery activities to commence. Response activities include damage assessment, restoration of utilities and short term restoration of the transportation infrastructure. Strategically and operationally additional agencies will be required due to the changing mission and the additional stakeholders involved. The State TIB's role will be one of support for the missions tasked by regional government upon the identification of shortfalls.
- The third and final phase of the debris management cycle exhibits an increased role by local government as the incident transitions to local control and long term recovery issues. State agencies will continue to participate in a supporting role as the remaining resource and technical assistance gaps are identified by local government. The final phase is commonly the most difficult to define since it involves management of debris that consists of hazardous materials, damaged personal property, raw waste, construction debris and vegetation all being brought into the transportation right of way with the expectation that it will be removed.

In addition to initiating the Debris Management Appendix, the TIB will assist the ATIG(s) by collecting and centrally disseminating intelligence on the status of affected infrastructure.

- 2. Evacuation Support Appendix;** The TIB may choose to activate an evacuation support functional group to address the Evacuation Support Appendix when local, regional or interstate evacuation coordination is desirable or essential. The evacuation support group composition would be determined by the TIB Chair in coordination with the State EOC management based on the situation. The most likely scenario is the need for strategic planning assistance to assist local governments for an event that has the potential to affect the transportation infrastructure and is regional in scope. It is assumed that the ATIG(s) serving the affected region have been previously activated for the incident that results in an evacuation. Due to the potential impact of transportation issues that extend beyond the affected region, additional ATIGs may be requested to provide information as well as planning efforts to manage a regional evacuation.

- 3. Infrastructure Intelligence Communication Appendix;** the activation of the infrastructure intelligence communication functional group will be scenario driven and will be dependent on the magnitude, location and sensitivity of the event and the specific intelligence requirements. The Intelligence Appendix is a process-based document. The local, regional and state agencies involved in crises or consequence management operations will mutually agree on the type and source of information to be obtained, the process flow of the information and the form of the information. Critical information regarding the status of the affected infrastructure may be law enforcement sensitive and guidance is provided in the Transportation Infrastructure Annex.

Intelligence related to the transportation infrastructure is essential for potential response and recovery planning.

#### **D. Transportation Infrastructure Branch Roles and Responsibilities**

##### **1.) The Transportation Infrastructure Branch will:**

- With the concurrence of the State EOC Operations Section the Transportation Infrastructure Branch may make notification calls to the required state agency liaisons to support Branch activities. Notifications may be made through the State Watch Center (SWC).
- Obtain from the State Office of Emergency Management, through the SOEM Region, a point of contact for the affected county for coordination of information and requests, and possible deployment of additional resources. The point of contact will be the liaison to the County Emergency Operations Center from the Area Transportation Infrastructure Branch;
- The role of the STICC is scalable depending on the magnitude of the event. The STICC's primary role is the coordination of DOT resources which remains constant through every response. While their role is constant, the source of information and missions may be routed through a DOT region, an ATIG or if activated the TIB;
- If the S-TIB is not explicitly activated, the STICC will assume all S-TIB responsibility and coordinate as necessary with both ATIGs and SEOC Operations Section;
- The Transportation Infrastructure Branch will incorporate the priorities, goals, and objectives of the Branch into an "agency type" report submitted to the Planning Section at the State EOC. Individual agencies will submit an "agency type" report which outlines, tactics, missions and goals of the individual agency relative to the strategy developed by the Branch. Goals and objectives may be promulgated by the Multi-Agency Coordination (MAC) Group if it has been established. In the absence of a MAC Group, the Transportation Infrastructure Branch will ensure the coordination of emergency situation priorities with overall State response efforts through the State EOC;
- Based on the nature of the emergency situation and experience required, the Transportation Infrastructure Branch may request additional personnel from supporting agencies;

- Monitor and address political issues influencing emergency response and short-term recovery activities;
- Coordinate and provide resources for the Area Transportation Infrastructure Group as needed, to support local emergency response and short-term recovery activities;
- The Transportation Infrastructure Branch will communicate through the Operations Section of the State EOC. Tasks to the Branch will be routed and approved through the Operations Section, and informational reports shall be routed to the Planning Section through the normal information flow process;
- Monitor field conditions, progress, and needs, and channel information from the field back to the supporting agencies (status, projections, strategies); and
- Schedule meetings as warranted.

2.) Roles and Responsibilities of the Transportation Infrastructure Branch participants will:

- Receive mission requests through the Operations Section of the State EOC;
- Perform a strategic planning function to determine priorities, resources and best practices to accomplish mission assignments;
- Anticipate required actions necessary to reestablish infrastructure and the issues to be addressed with supporting agencies during response and short term recovery;
- Provide prioritization and coordination for regionalized strategic planning, in coordination with the ATIGs or local transportation infrastructure providers;
- Determine available resources (people, equipment, and expertise) outside of the affected area(s) that may be deployed to affected area(s) during the event with coordination of DOT assets through the STICC and non-DOT assets through the State EOC;
- Assist in identifying staging area(s) or any other facilities under the control of the supporting agencies that may serve to sustain the assigned mission;
- Obtain information on resource capabilities including but not exclusively crew make-up, including the number of people, and type(s) and quantity of equipment being deployed to the incident;
- Identify any resource shortfalls that might exist in relation to the assigned missions;
- Respond to resource availability and general emergency situation information request(s) made by the State Office of Emergency Management or the Multi-Agency Coordination Group, if activated.
- Process any mission assignments from the Transportation Infrastructure Branch to non-associated agencies through the Operations Section of the State EOC;

The Transportation Infrastructure Branch members will not:

- Offer resources directly to a local transportation infrastructure provider(s);
- Respond to requests received directly from a local transportation infrastructure provider(s); and
- Send resources until determined whether they are appropriate for the assigned mission by the Transportation Infrastructure Branch.

## **E. The Area Transportation Infrastructure Group**

### **1.) Activation**

The ATIG is assembled or requested by the County emergency management agency in support of local or regional transportation issues. Its activation status is driven by local events and response activity.

The ATIG in coordination with local jurisdictions, which includes the county, may request the assistance of additional state resources.

Requests for additional resources will be processed in coordination with the County Emergency Management agency and sent to the STICC or the TIB (if activated) as a mission request. If the resources requested are exclusively from DOT, the STICC will coordinate the mission, and backfill the DOT liaison at the State EOC relative to the mission and resources applied. If the missions require assets from other state agencies, the missions are directed to the State EOC, reviewed and assigned to the appropriate agency by the EOC Manager, or reviewed for mission tasking by the TIB, if the Branch is activated.

### **2) Roles and Responsibilities of the Area Transportation Infrastructure Group**

- Be operational at or in direct communication with a county Emergency Operations Center(s) regarding requests for State assistance;
- Provide leadership and coordination in relation to any local or regional transportation infrastructure planning initiative;
- Arrange for assistance from State Agencies to conduct damage assessments at impacted sites in order to determine the appropriate equipment and other resources needed to perform the required work;
- Arrange for assistance from State Agencies to provide any technical assistance which may aid local governments in the restoration of the transportation infrastructure;
- Review all requests for assistance from local transportation providers;
  - to insure that requests are consistent with the purpose and policy of this Functional Annex;

- to monitor that all county and in some instances regional resources are deployed for transportation infrastructure emergency response and short-term recovery activities
- to ensure that priorities are being considered and that any gaps are identified for mission assignment to the State;

- Attempt to identify and/or arrange for appropriate resources from Area Transportation Infrastructure Group members required for emergency response and short-term recovery activities;
- Assist Local Transportation Infrastructure Provider(s) to identify potential contractors and/or provide contracting assistance, guidance, and/or expertise to facilitate the transition of emergency response and short-term recovery activities from State Agency assistance back to the Local Transportation Infrastructure Provider(s);
- Submit a request to the State Transportation Infrastructure Branch for additional State Agency assistance after determining that all local municipal and area State Agency resources are totally committed to the emergency situation and additional resources are needed;
- Obtain and process transportation infrastructure status reports from county and local providers as a means of facilitating prioritization of emergency response, redeployment of assets and short-term recovery activities;
- Plan for redeployment and demobilization of assets early in the response to best manage limited resources according to priority of need and to determine an initial target date for withdrawal (for logistical planning purposes); and
- Unless otherwise determined by the Operations Section Coordinator in the State Watch Center or an operational MAC group, State Agency resources may be re-deployed, re-assigned, or withdrawn from the area when the infrastructure restoration effort has a status rating of 3 or higher.

The Area Transportation Infrastructure Group members will not:

- Offer resources directly to Local Transportation Infrastructure Provider(s);
- Respond to requests received directly from a Local Transportation Infrastructure Provider(s); and
- Send resources until requested by the appropriate Area Transportation Infrastructure Group.

### 3) Roles and Responsibilities of the County Emergency Operations Centers

The county Emergency Operations Centers, including the New York City Emergency Operations Center, will:

- Assign a liaison to coordinate between the ATIG and County Emergency Management;

- Ensure that all local municipal resources are deployed for transportation infrastructure emergency response and short-term recovery activities;
- If required, request the activation of the Area Transportation Infrastructure Group to coordinate restoration and recovery specifically for transportation issues and to initiate the activation of the Debris Clearance, Intelligence Exchange and Evacuation Support planning appendices;
- Identify assets that may be obtained from, and missions that may be fulfilled by unaffected municipalities regionally;
- Review all requests from local municipalities to ensure that the requests are consistent with the purpose and policy of this Functional Annex, are mission appropriate and are consistent with current priorities;
- Prioritize requests for assistance within the affected area and compile and transmit the information in a format similar to guidance provided in Attachment B and;
- If activated, coordinate requests through the Area Transportation Infrastructure Group for State Agency assistance.

Local Transportation Infrastructure Provider(s) will:

- Deploy all their resources for transportation infrastructure emergency response and short-term recovery activities;
- Acquire contractor assistance where possible;
- Coordinate and cooperate with the Area Transportation Infrastructure Group in relation to any regional emergency transportation planning initiatives;
- Prioritize requests for assistance within their area of responsibility and compile and transmit the information in a format similar to guidance provided by **Attachment H** and;
- Submit requests for assistance through the county Emergency Operations Center.

**F. Continuing Actions**

- After the initial activation of the TIG or at the direction of the Operations Section Coordinator in the State EOC, or if operational, the Multi-Agency Coordination Group (MAC), the State Transportation Infrastructure Branch will initiate a regular meeting schedule to assess the status of mission progress according to established priorities. Meeting participants shall include TIG liaison, Operations Section Coordinator, liaison from impacted counties, appropriate SOEM regional staff and ATIG liaison. This assessment will be conducted no less than weekly (seven calendar days) thereafter.
- Once a completion date is agreed upon and a redeployment or demobilization plan is in place, the State Transportation Infrastructure Branch will coordinate with the activated ATIGs or County EOCs to insure that the date is publicized to each of the affected local transportation infrastructure provider(s). The purpose of establishing a deadline is to

maintain emphasis on the emergency nature of the work and to ensure that emergency-related activities are completed in a timely manner. This will also serve to avoid problems that can occur when non-emergency work is performed simultaneously with emergency projects. In addition, this will allow residents and local transportation infrastructure providers to complete emergency response and short-term recovery activities, freeing staff to proceed with other essential services.

#### **G. After Action Reporting**

The Transportation Infrastructure Branch Chair, within two weeks of demobilization, will:

- Schedule a conference with Transportation Infrastructure Branch members to develop an after action report to review and discuss emergency response and short-term recovery performance;
- Conference with the appropriate Area Transportation Infrastructure Group members including the county EOC's to review and discuss Area Transportation Infrastructure Group(s) performance and process to develop an After Action Report;
- Provide a report which should include recommended actions to improve future emergency response and short-term recovery performance with a copy to each of the members (see Attachment C, "Sample After Action Report Form").

#### **H. Follow up Actions**

- Based on the recommendations of the After Action Reports the State and Area Transportation Infrastructure Groups shall institute any necessary modifications to the functional annex, policies and procedures in the response to the event. Upon the review and adoption of any modifications the Groups shall convene an informational training forum to review updates.

## TRANSPORTATION INFRASTRUCTURE BRANCH (TIB) FUNCTIONAL ANNEX

### SECTION IV RECOVERY

Recovery refers to activities performed to continually improve transportation infrastructure moving beyond the initial emergency response. Short term recovery objectives will be focused on full use restoration of the transportation infrastructure to facilitate social and economic recovery. Long term recovery objectives will focus on full restoration, mitigative measures and the activity required completing all tasks that may have been associated with restoration activities.

#### **A. Demobilization and Transition to Day to Day Activities**

The State Transportation Infrastructure Branch will need to closely monitor the status of the response and recovery to insure that;

- A prioritization methodology is being applied so that there is equitable restoration of the transportation infrastructure in all affected areas;
- The utilization of resources are applied in a consistent manner to achieve the goals established by the group and consistent with the infrastructure status ratings;
- The reallocation of resources is consistent with the infrastructure status ratings and;
- As conditions improve, a demobilization plan is devised with the objective to move from short term recovery to resuming day to day operations while addressing long term recovery goals.

When conditions warrant and the requirement for state agency coordination and provision of resources has diminished, the TIB in coordination with the State EOC will demobilize. Upon demobilization of the TIB, command and control for recovery efforts will first fall to the ATIG and then will default to local government and to the STICC for the coordination of State DOT resources. The demobilization of state resources other than those belonging to DOT will be coordinated with the ATIGs and the State EOC.

Immediately prior to demobilization, the ATIG's mission will be to assist local government in assessing damage, participation in the reconstruction development plan and assisting with identification of mitigation projects, where appropriate, to minimize damage from future events. As local government transitions into long term recovery operations, they will work directly with SOEM to obtain federal funding as available. This phase of recovery will include the development of projects related to reconstruction, mitigation and the management of joint funding sources.

As response and short term recovery issues are addressed, the objectives of making transportation infrastructure accessible to emergency response and restoration consistent with status protocols should become evident. Upon completion of emergency restoration objectives, the State Transportation Infrastructure Branch should be

comfortable that long term recovery goals can be assimilated into day to day operations as part of the agency's normal statutory role.

## **B. Recovery Program Activities**

Upon the cessation of response activities, there is a gradual transition to recovery activities with the purpose of restoring the infrastructure to pre-event condition. At this point in time, transportation infrastructure may be working with state and federal officials to obtain recovery funding and will be examining mitigation program practices and funding for long term recovery efforts.

### **Stafford Act, 404/406 Mitigation Program**

Under Section 406 of the Stafford Act, mitigation projects may be identified and funded for eligible Public Assistance (PA) projects. The Public Assistance Program provides funding for the repair, restoration or replacement of damaged facilities belonging to governments and private nonprofit entities and for other associated expenses, including emergency response activities and debris removal.

Additionally, the program allows for the funding of mitigation measures related to the repair of the existing damaged facility. The measures must either be required by code or be cost-effective and comply with program guidance. FEMA will fund at least 75% of the eligible cost of the mitigation measure.

Under 404 of the Stafford Act the 404 program, also known as the HMGP, assists states and local communities in implementing long term hazard mitigation measures following a major disaster declaration. Local governments may receive funding at a 75% cost share for approved, cost effective mitigation projects which have been included in the State's Federally approved long term mitigation plan.

### **Federal Highway Administration Emergency Funding**

This funding is provided by the Highway Trust Fund for the repair or reconstruction of Federal-aid highways and roads on Federal lands which have suffered serious damage as a result of natural disasters or catastrophic failures from an external cause. This program, commonly referred to as the emergency relief or ER program, supplements the commitment of resources by States, their political subdivisions or other Federal agencies to assist in paying for unusually heavy expenses resulting from extraordinary conditions. The applicability of the ER program to a natural disaster is based on the extent and intensity of the disaster.

Approved ER funds are available at the pro-rata share that would normally apply to the Federal-aid facility damaged. For Interstate highways, the Federal share is 90 percent. For all other highways, the Federal share is 80 percent. Emergency repair work to restore essential travel, minimize the extent of damage, or protect the remaining facilities, accomplished in the first 180 days after the disaster occurs, may be reimbursed at 100 percent Federal share. It is the responsibility of the State to request ER funds and a notice of intent to request ER funding by DOT will initiate the application process.

### **C. Functional Annex Review and Update**

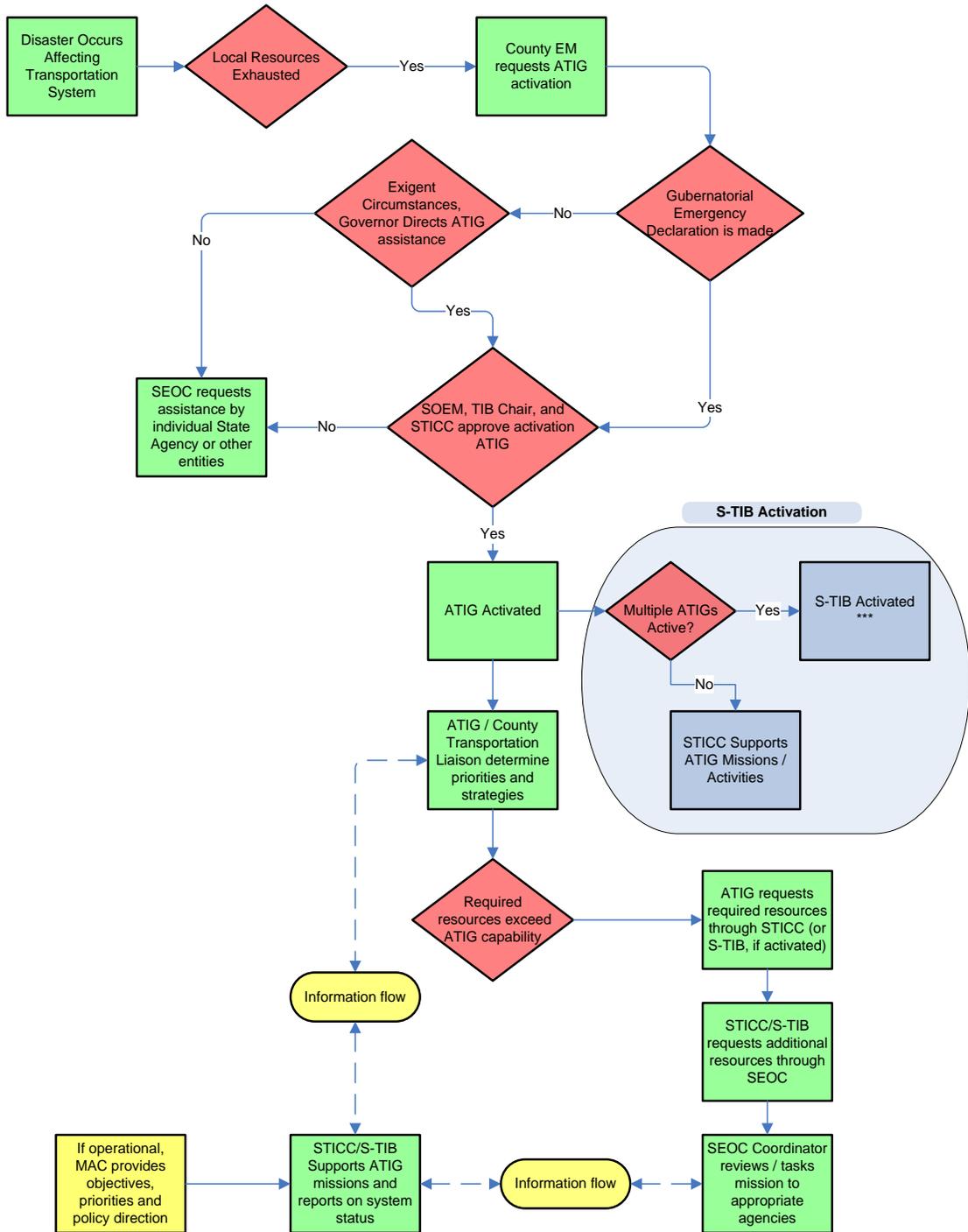
Annually the Transportation Infrastructure Branch will convene a meeting or teleconference of Transportation Infrastructure Branch members for the purpose of reviewing and revising the Transportation Infrastructure Branch Functional Annex. The Transportation Infrastructure Branch will recommend revisions and actions (e.g., training, exercises), as necessary, to the Chair of the Disaster Preparedness Commission no later than October 15 of each year.

It is recommended that the Area Transportation Infrastructure Groups meet annually to bring together local stakeholders and initiate a review of their functional annex and in addition make sure that the statewide and area plans are complimentary yet address local or regional requirements. Any planning conflicts will be addressed between the Area Groups and the TIB.

**ATTACHMENT A Organizational Chart and Activation Process**

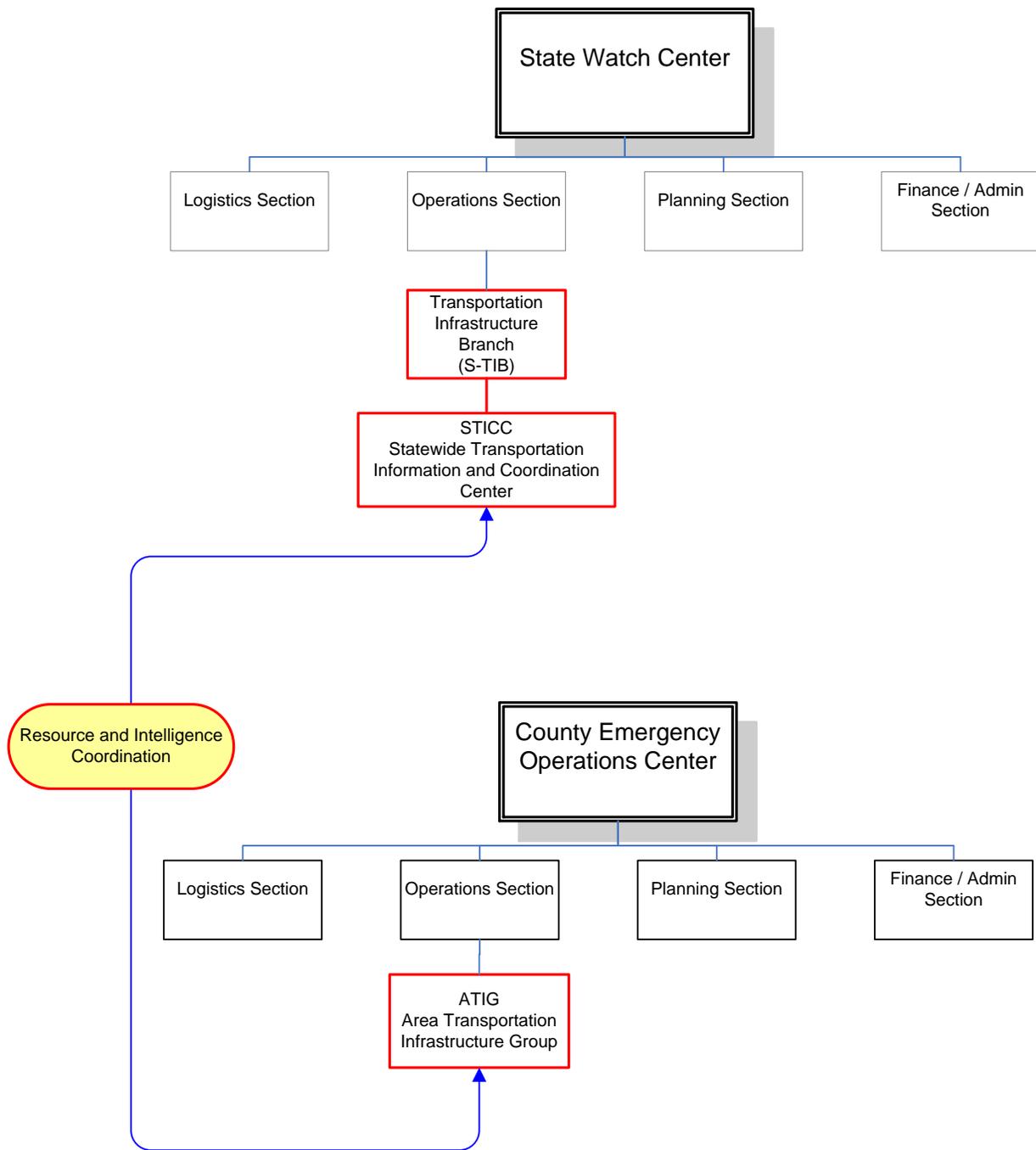
(see next page)

# ATIG / S-TIB Activation Process



3/24/10 update

\*\*\* S-TIB may also be activated at the discretion of the SEOC Operations Section Chief



## **ATTACHMENT B      FORMAT FOR PRIORITIZING TRANSPORTATION ASSETS**

### **RECOMMENDED BEST PRACTICE, PREPAREDNESS ACTIVITY FOR LOCAL HIGHWAY ADMINISTRATORS**

#### **Priority List for Highway Emergency Activities**

##### **Purpose:**

Local Highway Departments (village, city, town, county) should list all their streets, roads, highways, etc., according to Functional Classification, on the attached set of forms before an incident occurs. This information is available from functional classification maps available from the Planning and Program Management Office in each Regional Office of the New York State Department of Transportation.

The attached forms are divided according to functional classifications, which is one way to prioritize response and short-term recovery activities. After an event occurs, the local highway department(s), county Emergency Operations Center or New York City Emergency Operations Center staff, and/or the Area Transportation Infrastructure Group members can use the forms to assess damages according to the rating system on the bottom of the forms. This information can then be used to develop a 3-Day Work Plan. (See the next section for additional information.)

Also, identifying the local transportation network by functional classifications will facilitate reimbursement activities. The Federal Highway Administration's (FHWA) Emergency Relief (ER) Program (administered by the New York State Department of Transportation) can provide reimbursement for eligible costs incurred on Interstates, Principal Arterials, Minor Arterials, Urban Collectors, and Rural Major Collectors. The Federal Emergency Management Agency's (FEMA) Public Assistance (PA) Program (administered by the New York State Office of Emergency Management) can provide reimbursement for eligible costs incurred on Rural Minor Collectors and Local Roads (Urban and Rural).

**PRIORITY LIST FOR HIGHWAY EMERGENCY ACTIVITIES**

FUNCTIONAL CLASS	ROUTE/ROAD/STREET	RATING				
		1	2	3	4	5
Interstates and Principal Arterials						

\_\_\_\_\_ COUNTY \_\_\_\_\_ DATE

- Rating: 1 = impassable
- 2 = one (1) lane passable
- 3 = two (2) lanes passable, but right-of-way (ROW) not usable (shoulder damages, large debris piles, etc.)
- 4 = two (2) lanes passable, including most of the right-of-way (ROW), but some problems remain within the ROW (debris piles, erosion, slope problems, etc.)
- 5 = normal and "clean" (pre-disaster condition)

**PRIORITY LIST FOR HIGHWAY EMERGENCY ACTIVITIES**

FUNCTIONAL CLASS	ROUTE/ROAD/STREET	RATING				
		1	2	3	4	5
Minor Arterials and Urban Collectors and Rural Major Collectors						

\_\_\_\_\_ COUNTY \_\_\_\_\_ DATE

- Rating: 1 = impassable
- 2 = one (1) lane passable
- 3 = two (2) lanes passable, but right-of-way (ROW) not usable (shoulder damages, large debris piles, etc.)
- 4 = two (2) lanes passable, including most of the right-of-way (ROW), but some problems remain within the ROW (debris piles, erosion, slope problems, etc.)
- 5 = normal and "clean" (pre-disaster condition)

## Area Transportation Infrastructure Group 3-Day Work Plan Form

**Purpose:**

The Local Highway Department, the appropriate county Emergency Operations Center and/or the Area Transportation Infrastructure Group can use this form to assist with planning and developing three-day work plans and assignments.

Information from this form also can be used to prepare Incident Command System Form 204: Assignment List and/or to prepare Incident Command System Form 215: Operational Planning Worksheet.

Area Transportation Infrastructure Group 3 Day Work Plan

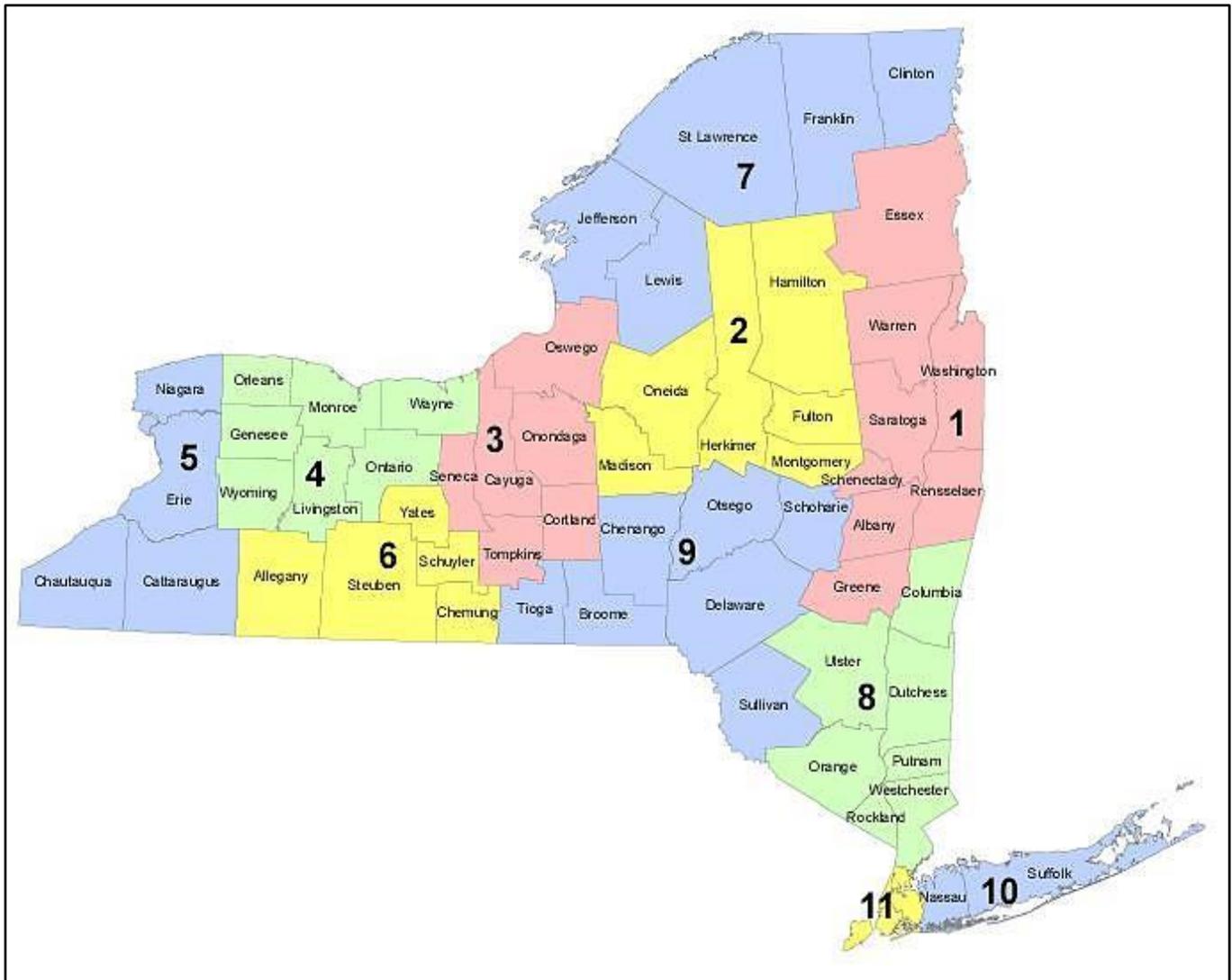
CREW #	SOURCE (Agency)	DAY 1 Date:	DAY 2 Date:	DAY 3 Date:
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				

\_\_\_\_\_ COUNTY

**Example: ATIG, 3 Day Work Plan for Jefferson County**

CREW #	SOURCE (Agency)	DAY 1 Date: 1/14/03	DAY 2 Date: 1/15/03	DAY 3 Date: 1/16/03
1	DMNA	Rte 11 Adams Center clear highway	Rte 177 Rodman to Rte 11 clear highway	Adams Center clear highway
2	DMNA	Rte 11 at Rte 232 clear highway	Zoar Road clear highway	Rte 11 clear highway
3	NYSDOCCS	Rte 12 from 180 to 342 clear highway	Rte 12 from 180 to 342 clear highway	Rte 12 clear highways
4	NYSDOCCS	Rte 12 from 180 to 342 clear highway	Tanners Corners Road clear highway	Tanners Corners Road Clear highways
5	NYSDOT	Rte 180 Dexter clear highway	Jenkins Road clear highway	Lewis County
6	NYSTA	Rte 177 Rodman to Co Line clear highway	Adams Center assist with access to restore electric	Adams assist with access to restore electric
7	NYSOPRHP	Rte 11 Philadelphia North clear highway	Rte 11 Philadelphia South assist with access to restore electric	Lewis County clear highways
8	NYSDEC	Rte 26 Theresa- Philadelphia clear highway	Rte 26 Theresa- Philadelphia clear highway	Evans Mills assist with access to restore power
9	Jefferson Co.	Rte 26 Theresa- Philadelphia clear highway	Perch Lake Road clear highway	Carthage Clear highways
10				
11				
12				

## ATTACHMENT C MAP OF DOT Regions/ATIGs



### ATIG Listing according to region:

- ATIG 1. Albany, Essex, Greene, Rensselaer, Saratoga, Schenectady, Warren, Washington
- ATIG 2. Fulton, Hamilton, Herkimer, Madison, Montgomery, Oneida
- ATIG 3. Cayuga, Cortland, Onondaga, Oswego, Seneca, Tompkins
- ATIG 4. Genesee, Livingston, Monroe, Ontario, Orleans, Wayne, Wyoming
- ATIG 5. Cattaraugus, Chautauqua, Erie, Niagara
- ATIG 6. Allegany, Chemung, Schuyler, Steuben, Yates
- ATIG 7. Clinton, Franklin, Jefferson, Lewis, St. Lawrence
- ATIG 8. Columbia, Dutchess, Orange, Putnam, Rockland, Ulster, Westchester
- ATIG 9. Broome, Chenango, Delaware, Otsego, Schoharie, Sullivan, Tioga
- ATIG 10. Nassau, Suffolk
- ATIG 11. Bronx, Kings, New York, Richmond, Queens

**ATTACHMENT D Request for Assistance from COUNTY to ATIG**

Jurisdiction/Municipality: \_\_\_\_\_

Date and Time: \_\_\_\_\_

Area Transportation Infrastructure Group Number: \_\_\_\_\_

Type of Facility: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Phone: (     ) \_\_\_\_\_

Mobile/Cell Phone: (     ) \_\_\_\_\_

Email: \_\_\_\_\_

Pager: (     ) \_\_\_\_\_

Nature of Problem(s):

- Tree debris on pavement(s)
- Earth debris (sand, gravel, rock, dirt, mud, etc.) on pavement(s)
- Snow
- Slope failure(s)
- Pavement washout(s)
- Bridge washout(s)
- Other (describe)

Other Information About the Situation:

In the absence of a gubernatorial declaration, only under the most exigent emergency circumstances, as directed by the Governor, Local Transportation Infrastructure Provider(s) will provide the declaration of a state of emergency by a local government and a request for State assistance pursuant to Section 24(7) of the Executive Law, and the local government certification in writing that State employees are deemed officers or employees of the political subdivision for purposes of Section 25(5) of the Executive Law.

**ATIG USE ONLY**

Agency assigned to do evaluation: \_\_\_\_\_

Evaluation completed (date and time): \_\_\_\_\_

Resources needed: \_\_\_\_\_

Other information: \_\_\_\_\_

Agency to provide assistance: \_\_\_\_\_

Reporting location: \_\_\_\_\_

Time to report: \_\_\_\_\_

**ATTACHMENT E    Sample After-Action Report Form**

Area Transportation infrastructure Group Name: \_\_\_\_\_

Name of Person Completing Report: \_\_\_\_\_

Agency of Person Completing Report: \_\_\_\_\_

Incident: \_\_\_\_\_

Incident Period (dates and times): \_\_\_\_\_

ATIG Location: (From where did the ATIG operate?) \_\_\_\_\_

**Problems or issues encountered/observed:**

(List significant problems or issues. List each in separate paragraphs for clarity.)

**What Worked Well:**

(Identify the positive aspects of the operation including lessons learned.)

**Suggestions for Improvements:**

**ATTACHMENT F    Emergency Recovery Services Agreement**

(Begins on next page)

AGREEMENT BETWEEN THE  
NEW YORK STATE DEPARTMENT OF TRANSPORTATION  
AND  
\_\_\_\_\_, NEW YORK

THIS AGREEMENT, made this \_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, by and between the People of the State of New York (hereinafter referred to as “State”), acting by and through the Commissioner of Transportation of the State of New York (hereinafter referred to as “Commissioner”) with its principal place of business being located at 50 Wolf Road, Albany, New York 12232, and the \_\_\_\_\_ with its principal place of business being located at \_\_\_\_\_, \_\_\_\_\_, New York \_\_\_\_\_ (hereinafter referred to as “Municipality”), as follows:

WHEREAS, severe adverse weather conditions and/or other disaster emergency conditions have arisen, but no formal State declaration of a disaster emergency has yet been declared pursuant to Section 28 of the Executive Law which would authorize the State to undertake emergency recovery activities involving anything other than the Interstate or state systems of highways, or would authorize the Municipality to undertake emergency recovery activities involving anything other than municipal roads and bridges or other municipal properties; and

WHEREAS, the State and the Municipality wish to enter into an agreement for the provision of governmental services on a shared basis for purposes of joint emergency recovery efforts and to share certain materials and services, pursuant to Section 55 of the Highway Law and/or Section 99-r of the General Municipal Law; and

WHEREAS, the exchange of such materials and services shall promote and assist the maintenance of State and Municipal roads and highways and provide a cost savings by maximizing the effective utilization of both parties’ resources.

NOW THEREFORE, in consideration of the mutual promises made by each of the parties herein, the State and the Municipality agree as follows:

1. The State and the Municipality agree to share the materials and services as detailed in Exhibit A. Full reconciliation shall occur at the end of this Agreement's term. Any outstanding balances may be reconciled by exchange of materials or services or the remission of payment.
2. The term of this Agreement shall be for one (1) year commencing on upon signing. The actual starting date may be adjusted based upon the date of approval by the State Comptroller. The term may be extended, should both parties agree, under the same terms and

conditions as the original contract for up to three (3) additional one (1) year periods. The parties will endeavor to provide no less than thirty (30) days written notice of its intent to extend the Agreement. Said Agreement may be extended by the execution of a countersigned letter by both parties. Either party may revoke such Agreement by providing sixty (60) day written notice of such revocation. Upon revocation, any outstanding obligations of the parties must be satisfied within thirty (30) days of the date of such revocation.

3. Any action taken by the parties pursuant to this Agreement shall be consistent with the public duties of such officials and any expenditure incurred shall not exceed the amounts set forth in the parties' budgets for highway purposes.

4. The Municipality at its own expense, and for the term of the Agreement, shall furnish and show evidence of General Liability Insurance coverage issued by an insurance carrier licensed to do business in the State of New York for the protection of the State of New York and the Municipality against any claims, suits, demands or judgments by reason of bodily injury, including death, and for any claims resulting in property damage occurring on or in proximity to the facility. Such General Liability Insurance shall be in the amount no less than one million (\$1,000,000.00) (combined property damage and/or bodily injury, including death) single limit per occurrence, and shall name the People of the State of New York as an additional insured. The Municipality will furnish the State with a certificate of insurance, with a (30) thirty day(s) prior written notice of any cancellation or major change in the policy conditions. This Agreement shall be voided if insurance is cancelled, modified or lapses. Approval of this Agreement shall be contingent upon receipt, by the State, of a copy of a properly executed insurance certificate.

5. The Municipality agrees to indemnify the State for any and all claims arising out of the Municipality's acts or omissions under this Agreement.

6. The parties shall remain fully responsible for their own employees, including but not limited to salary, insurance, benefits and Worker's Compensation.

7. All notices permitted or required hereunder shall be in writing and shall be transmitted either:

- a. Via certified or registered united States mail, return receipt requested;
- b. By facsimile transmission;
- c. By personal delivery;
- d. By expedited delivery service; or
- e. By e-mail.

Such notices shall be addressed as follows or to such different addresses as the parties may from time to time designate:

New York State Department of Transportation (NYSDOT)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Other Parties: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.

The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this Agreement by giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representatives for the purposes of receiving notices under this Agreement. Additional individuals may be designated in writing by the parties for the purposes of implementation and administration/billing, resolving issues and problems and/or for dispute resolution.

8. In accordance with Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Municipality will not discriminate against any employee or applicant for employment because of age, race, creed, color, national origin, sexual orientation, military status, sex, disability, predisposing genetic characteristics, or marital status. Neither shall the Municipality discriminate

in the use of the premises or any access thereto if such premises are used as a public accommodation or in connection with a public service.

9. If any of the provisions of this Agreement are held invalid, such invalidity shall not affect or impair other provisions herein which can be given effect without the invalid provisions, and to this end the provisions of this permit are severable.

10. Attached hereto and made a part hereof is a copy of the duly adopted Municipal resolution authorizing the Municipality to enter into this Agreement.

11. This Agreement and Appendix A, Required Clauses for all New York State Contracts, attached hereto and made a part hereof, shall bind the successors, assigns, and representatives of the parties hereto.

12. Municipality shall provide complete and accurate billing invoices to the State in order to receive payment. Billing invoices submitted to the State must contain all information and supporting documentation required by the Contract, the State and the State Comptroller. Payment for invoices submitted by the Municipality shall only be rendered electronically unless payment by paper check is expressly authorized by the New York State Department of Transportation Commissioner (hereinafter referred to as "Commissioner"), in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Municipality shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at [www.osc.state.ny.us/epay/index.htm](http://www.osc.state.ny.us/epay/index.htm), by email at [epunit@osc.state.ny.us](mailto:epunit@osc.state.ny.us), or by telephone at 518-474-4032. Municipality acknowledges that it will not receive payment on any invoices submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

IN WITNESS WHEREOF, this Agreement is executed by the State and the Municipality by their duly authorized representatives, to become effective and binding upon approval by the State Comptroller.

Agreed to:  
\_\_\_\_\_  
\_\_\_\_\_

APPROVED AS TO FORM:  
\_\_\_\_\_  
Office of the State Comptroller

Agreed to:  
STATE OF NEW YORK  
\_\_\_\_\_

STATE OF NEW YORK  
BY: \_\_\_\_\_  
For Commissioner of Transportation



## SCHEDULE A

The emergency recovery services to be provided by the State to the Municipality and/or by the Municipality to the State, shall include, but not be limited to, the following:

# APPENDIX A

## STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

1. **EXECUTORY CLAUSE.** In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.
2. **NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.
3. **COMPTROLLER'S APPROVAL.** In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).
4. **WORKERS' COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.
5. **NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified

and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. **WAGE AND HOURS PROVISIONS.** If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law.
7. **NON-COLLUSIVE BIDDING CERTIFICATION.** In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.
8. **INTERNATIONAL BOYCOTT PROHIBITION.** In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).
9. **SET-OFF RIGHTS.** The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including,

in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

**10. RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter or three (3) years after final payment, whichever is later. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

**11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) PRIVACY NOTIFICATION. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

(2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

**12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.** In accordance with Section 312 of the Executive Law, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies,

equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii) banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Empire State Development Corporation's Division of Minority and Women's Business Development (MWBD) pertaining hereto.

**13. CONFLICTING TERMS.** In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

**14. GOVERNING LAW.** This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. **LATE PAYMENT.** Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.
16. **NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.
17. **SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.
18. **PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS.** The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of State Finance Law §165. (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. **MACBRIDE FAIR EMPLOYMENT PRINCIPLES (NON-FEDERAL AID NEW YORK STATE CONTRACTS).** In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.
20. **OMNIBUS PROCUREMENT ACT OF 1992 (NON-FEDERAL AID NEW YORK STATE CONTRACTS).** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development

Division for Small Business  
30 South Pearl St -- 7<sup>th</sup> Floor  
Albany, New York 12245  
Telephone: 518-292-5220

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development  
Division of Minority and Women's Business Development  
30 South Pearl St -- 2nd Floor  
Albany, New York 12245  
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and
- (d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

**21. RECIPROCITY AND SANCTIONS PROVISIONS (NON-FEDERAL AID NEW YORK STATE CONTRACTS).** Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

**22. PURCHASES OF APPAREL.** In accordance with State Finance Law 162 (4-a), the State shall not purchase any apparel from any vendor unable or unwilling to certify that: (i) such apparel was manufactured in compliance with all applicable labor and occupational safety laws, including, but not limited to, child labor laws, wage and hours laws and workplace safety laws,

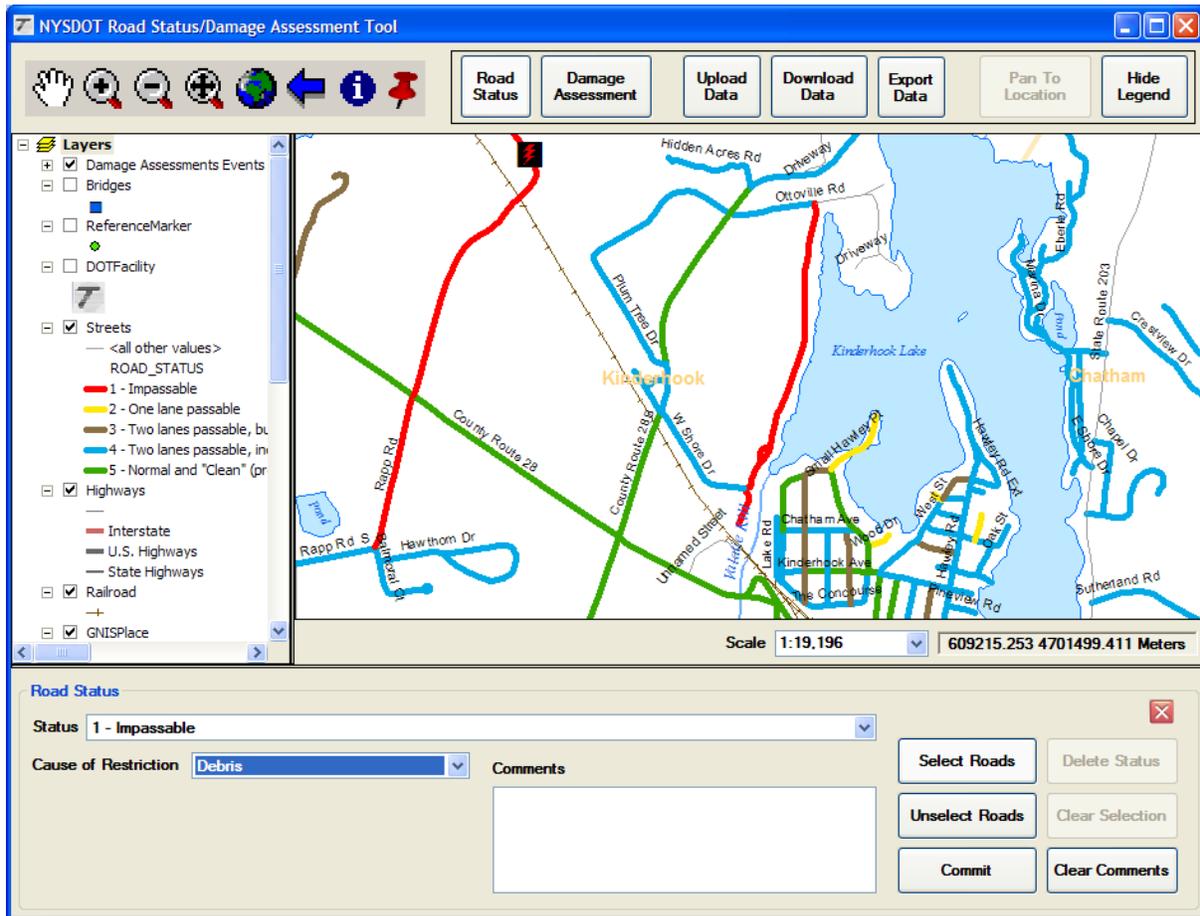
and (ii) vendor will supply, with its bid (or, if not a bid situation, prior to or at the time of signing a contract with the State), if known, the names and addresses of each subcontractor and a list of all manufacturing plants to be utilized by the bidder.

**23. CONTRACT TERMINATION PROVISION.** The State reserves the right to terminate this contract in the event it is found that the certification filed by the Contractor in accordance with the requirements contained in State Finance Laws §139j and §139k was intentionally false or intentionally incomplete. Upon such finding, the State may exercise its termination right by providing written notification to the Contractor in accordance with the written notification terms of the contract.

**24. PERSONAL INFORMATION SECURITY.** Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208). Contractor shall be liable for the costs associated with such breach if caused by Contractor's negligent or willful acts or omissions, or the negligent or willful acts or omissions of Contractor's agents, officers, employees or subcontractors.

2/09

## ATTACHMENT G Road Status Damage Assessment System (RSDA)



The Road Status/Damage Assessment system is a map-based field application and centralized database developed to assist field personnel in the collection of transportation infrastructure conditions and provide analysis and reporting functionality in the Regional Emergency Operations Centers and the STICC (Statewide Transportation Information and Coordination Center)

- The application leverages GIS technology to provide an intuitive map based interface, store and depict current road status and collect locations of highway system damage.
- The application must be able to work offline but also transmit data to the Main Office in a timely manner. RSDA users can code road status and damage information while offline allowing them to collect information where there is no possibility of internet connectivity. When connected to the NYSDOT network, the RSDA user may upload the assembled road status and damage assessment data to the central ArcSDE database by simply pushing the "Upload Data" button on the interface. This capability greatly improves reporting speed.
- Since the application is intended specifically for emergency response, a great deal of focus was placed on ease of deployment, ease of use, and reliability under difficult circumstances.

## Transportation System Status Report

NYS DEPARTMENT OF TRANSPORTATION

Status Report For

Event

DATE: *00/00/2009*

TIME: *11:00 AM*

Correspondence should be directed via email to: [STICC@dot.state.ny.us](mailto:STICC@dot.state.ny.us)

Phone: (518) 457-3765

Send fax transmittals to the STICC at Fax # (518) 485-9318

### I. Significant Developments Today

- Note – all new information is displayed in *italics*.

#### GENERAL OVERVIEW

- *Provide a BRIEF General Situation Overview*

#### CLOSURES

- Road Closures: (new closings and continuing since previous report)
- Bridge Closures: (new closings and continuing since previous report)
- Other Transp. System Closures: (new closings and continuing since previous report)

#### SUMMARY OF DOT RESPONSE ACTIVITIES

- Describe any significant event related actions.
- Describe any significant event related issues.
- Describe the status of any missions that have been assigned to the Region by SOEM or others.

#### EMERGENCY OPERATION CENTER INFORMATION

- *Provide overview of other miscellaneous issues info related to the Department's readiness and operational response.*

##### *Examples*

- Operations Centers Hours
- Planned Reporting Times
- Planned Staffing within Operation Centers

#### OTHER

- *INSERT Bulleted Summary of Other Significant Developments HERE.*

##### *Examples*

- Road/Bridge Openings: (since previous report)
- Weather Overview
- Equipment Issues: (significant)
- Issues Affecting the Operations: (i.e. no operators for snow blowers, fuel shortages)

## II. Personnel & Equipment Status

This section to be completed using data from “CARS REPORTS” during activation when CARS is being used.

Deployment to OO from other Regions	Home Region	Region 4	Region 5	Region 6	Region 7	Region 8	Region 9	Region 10	Totals
Total Staff	0	0	0	0	0	0	0	0	0
Total Equip	0	0	0	0	0	0	0	0	0
<b>Total Department Staff assigned to this incident</b>									<b>0</b>
<b>Total Department Equipment assigned to this incident</b>									<b>0</b>

- For more specific information on staff and equipment deployment refer to the logistics spreadsheet for the event.

## III. Summary of Affected Areas

- Use this section **only** if the event is widespread and the overview provided in Section I is insufficient to provide the reader with an appropriate level of understanding of the current overall status.

*Examples*

- **Bridges:**
- **Roads:**
- **Highway System Condition/Resource Issues:** (any major issues associated with the current traffic conditions on major highways, bridges and tunnels (in particular any major closures, detours, backups or delays), or with highway conditions such as flooding, closures, buckling, etc. as well as any major issues with highway resource availability and deployments, etc.):
- **Signal Systems Condition/Resource Issues:** (any major issues associated with problems with the current traffic signal systems operational condition on major arterials (such as any significant power outages) as well as any major issues with traffic signal systems resource availability and deployments):
- **Transportation Management Center Condition/Resource Issues:** (any major issues with Traffic Management Center resource availability and deployments (HELP truck deployments, ability to control field devices, TMC power and communications issues) or any major traffic management strategies implemented (VMS messaging, detours, etc.) :
- **Other NYSDOT Actions/Issues/Missions:** (any other significant event related actions and issues as well as the status of any missions that have been assigned):

## IV. Status of All Modes of Transportation

- **Optional: Only Include In Events Where Relevant. Otherwise Delete Out.**

**AIR TRAVEL**

**Albany Airport**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**JFK**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**MASS TRANSIT  
(Commuter Rail, Subways, etc.)**

**LOWER HUDSON VALLEY**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**LONG ISLAND**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**NEW YORK CITY**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**SURFACE TRANSIT  
(Bus lines)**

**Albany**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**LONG ISLAND**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**NEW YORK CITY**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**FERRIES**

**LOWER HUDSON VALLEY**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**LONG ISLAND**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**NEW YORK CITY**

Service/Operator	Full Service	Service Disruptions	Not Operating	Comments

**NYS DOT Regional Offices**

Region 1 Counties: Albany, Essex, Greene, Rensselaer, Saratoga, Schenectady, Warren, Washington

Region 2 Counties: Fulton, Hamilton, Herkimer, Madison, Montgomery, Oneida

Region 3 Counties: Cayuga, Cortland, Onondaga, Oswego, Seneca, Tompkins

Region 4 Counties: Genesee, Livingston, Monroe, Ontario, Orleans, Wayne, Wyoming

Region 5 Counties: Cattaraugus, Chautauqua, Erie, Niagara

Region 6 Counties: Allegany, Chemung, Schuyler, Steuben, Yates

Region 7 Counties: Clinton, Franklin, Jefferson, Lewis, St. Lawrence

Region 8 Counties: Columbia, Dutchess, Orange, Putnam, Rockland, Ulster, Westchester

Region 9 Counties: Broome, Chenango, Delaware, Otsego, Schoharie, Sullivan, Tioga

Region 10 Counties: Nassau, Suffolk

Region 11 Counties: Bronx, Kings, New York, Queens, Richmond

## ATTACHMENT I

### Memorandum of Understanding between DOT and SOEM, describing the mission assignment protocols for use of the resources of New York Wing, Civil Air Patrol



State of New York  
Department of Transportation  
Albany, N.Y. 12232  
<http://www.dot.state.ny.us>

Stanley Gee  
Acting Commissioner

David Paterson  
Governor

December 15, 2009

Richard French, Chief of Response  
New York State Emergency Management Office  
1220 Washington Avenue, Public Security Building #22  
Albany, New York 12226-2251

Re: NYW CAP MOU

Dear Mr. French:

This will confirm the understanding between our two state agencies in relation to making certain Civil Air Patrol ("CAP") services currently available to the New York State Emergency Management Office ("NYSEMO") also available to the New York State Department of Transportation ("NYSDOT") through a collaborative arrangement between NYSDOT and NYSEMO.

At present, NYSEMO and the New York Wing of CAP ("NYW CAP") have a Memorandum of Understanding ("MOU" or "the MOU") between them providing for, among other things, NYW CAP to provide to NYSEMO aerial missions such as aerial reconnaissance, damage assessments, and environmental surveys utilizing visual, photographic, digital and video techniques. NYSDOT has an occasional programmatic need for aerial reconnaissance, damage assessments, and environmental surveys utilizing visual, photographic, digital and video techniques such as those provided by NYW CAP under the MOU. It is understood that NYW CAP aerial imaging services can normally be supplied within days of request, if not sooner. This satisfies NYSDOT's need for time sensitive situational analysis to protect and preserve Department assets and the public using them. Most mission requests will be important to NYSDOT, but not to a level that would normally necessitate NYSEMO activation.

The MOU sets forth in detail the relationship between NYW CAP and NYSEMO including a mechanism for NYSEMO to request missions by NYW CAP and a mechanism for reimbursement by NYSEMO to NYW CAP for missions. The reimbursements are the subject of and limited to rates established in the schedule set forth in Civil Air Patrol Regulation 173-3, *Payment for Civil Air Patrol Support*. NYSDOT has examined Civil Air Patrol Regulation 173-3 and has determined that the rates charged by NYW CAP under the MOU are significantly less than rates otherwise available and charged by outside commercial vendors.

Given the forgoing, NYSDOT and NYSEMO perceived an opportunity to expand efficiencies and to take advantage of economies of scale by expanding the benefits of NYSEMO's

arrangement with NYW CAP to other state agencies, specifically NYSDOT. NYSDOT has concluded that an alternative procurement method would confer no additional benefit upon NYSDOT nor upon the People of the State of New York; rather, the procurement previously done by NYSEMO serves the people's best interests, led to the most reasonable cost and NYSDOT and NYSEMO would like to share the benefit of the bargain as set forth below.

- NYSEMO will extend NYW CAP services to NYSDOT using the MOU as the framework under which the services are provided. NYSDOT understands that NYSEMO NYW CAP missions have a higher priority and preempt NYSDOT missions.
- NYSEMO will, at the request of NYSDOT, request NYW CAP missions for and on behalf of NYSDOT in a timely manner.
- Once a NYSEMO requested mission is acknowledged by NYW CAP, NYSDOT will brief NYW CAP on the mission objective and participate in the mission plan.
- NYSEMO will direct NYW CAP to provide NYSDOT the completed work product at the completion of each mission. A copy of the work product will be provided to NYSEMO for their records, if requested.
- NYSDOT will inform NYSEMO on the success of the mission (mission could be postponed due to equipment or weather).
- NYSEMO, upon completion of each mission, will submit to NYSDOT a statement for the NYW CAP services [ref. Civil Air Patrol Regulation 173-3, *Payment for Civil Air Patrol Support*].
- NYSDOT will, upon receipt of the above-mentioned work product and statement, arrange for payment to be made to NYSEMO via a journal voucher transfer.
- NYSDOT will budget up to \$4,000.00 (four thousand dollars) per fiscal year for NYW CAP services.
- NYSDOT expenditures in excess of \$4000.00, cumulatively, in any fiscal year are neither anticipated nor authorized under this letter agreement and any request by NYSDOT therefor will require modification of this letter agreement.
- Notwithstanding any of the foregoing, this letter agreement will be effective for a period of 3 (three) years from the date it is acknowledged by NYSEMO.
- NYSEMO and NYSDOT may terminate this letter agreement at any time, with or without cause, on 30 days written notice.

We look forward to this and other collaborative efforts with NYSEMO.

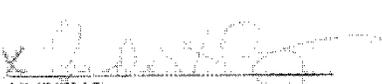
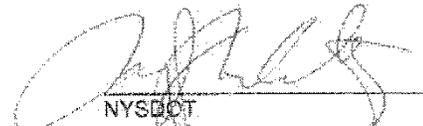
Very truly yours,



Keith D. Martin  
Associate Attorney

Dated: January 15: 2010

Dated: Jan 1: 2010

  
\_\_\_\_\_  
NYSEMO  
Acknowledged By:  
Andrew Feeney, First Deputy Director  
\_\_\_\_\_  
NYSDOT  
Acknowledged By:  
Michael McCarthy, Dir., Adm. Serv. Div.

KDM26735/ 1 20-235

**ATTACHEMENT J State EOC, Branch Activation Check List**

NYS OFFICE Of EMERGENCY MANAGEMENT Functional Branches Activation Checklist	
<b>NOTE:</b> The Functional Branch Reports should not duplicate the individual Agency Reports submitted by the SEOC Agency Liaison. Reports should focus on the mission / problems in process / completed, what the solutions were, and any foreseeable difficulties / shortfalls.	
	<b>General Information</b>
	Do not release information to media. Refer all news media to the NYSOEM Community Affairs Section.
	<b>General Tasks</b>
<input type="checkbox"/>	Sign in as present.
<input type="checkbox"/>	Open and maintain an event log. <b>(ICS-214)*. (See ICS Form Annex)</b>
<input type="checkbox"/>	Report to the EOC Coordinator and obtain a briefing.
<input type="checkbox"/>	Clarify any issues you may have regarding your authority and assignment, and what others in the organization are responsible for.
<input type="checkbox"/>	Sign onto NY Responds, input your profile, check any outstanding requests and update as required any <b>“Calls Routed To Your Role”</b> .
<input type="checkbox"/>	Provide periodic updates and briefings to the EOC Coordinator.
	<b>Specific Tasks</b>
	These areas are to be filled in at a later time TBD in accordance with Specific Functional Branch SOP's / SOG's
	<b>Close-out/Demobilization Tasks</b>
<input type="checkbox"/>	Prepare brief for incoming Safety Officer.
<input type="checkbox"/>	Log off NY Responds.
<input type="checkbox"/>	Sign out at end of shift.

\*ICS 214, Unit Log, records the major activities of the branch during activation