

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

**TRANSPORTATION COORDINATION APPENDIX**



**Disaster Preparedness  
Commission**

**An Appendix to the  
Transportation Infrastructure Branch Annex**

**PREPARED BY THE NEW YORK STATE  
OFFICE OF EMERGENCY MANAGEMENT**

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# NEW YORK STATE TRANSPORTATION COORDINATION APPENDIX

## SECTION I: GENERAL CONSIDERATIONS AND PLANNING GUIDELINES

### I. Introduction

Throughout the Nation, transportation serves as the backbone to our way of life, each day supplying products, services and commodities to our citizens for both public and private purposes. The criticality of the transportation arteries that dissect the State of New York are no different, often driving state and local transportation officials to incorporate a variety of traffic management concepts and vision to ensure that transportation, regardless of modality, continues to move effectively and efficiently throughout the State. In times of emergency, the criticality and importance of transportation routes becomes exponentially multiplied. Often, the ability for local and state government to manage roadways becomes the difference between life and death in delivering critical supplies, resources and materiel to a potentially impacted or at-risk population.

Regardless of the nature or root cause of an impacted transportation network, efficient and effective information management is the cornerstone to executive decision making and managing by objectives. Whether clearing roadways of snow or debris, or implementing intelligent transportation system (ITS) concepts, *shared* situational awareness is the key to effectively resolving any transportation issue that may result from a natural, human-caused or technological disaster.

While the concept of shared situational awareness and coordination appears relatively simple, it is a challenge to manage such information in a non-disparate and encompassing way without overwhelming the users of that information. Further, this challenge is complicated by varying and sometimes competing sources of information that stem from agency-specific networking, public observations and reports, or the media. To address this challenge, this Appendix will describe a framework to bolster traditional transportation system monitoring and multi-agency support mechanisms in an effort to solidify cross-disciplinary and multi-jurisdictional situational awareness and coordination.

### A. Purpose

The State Comprehensive Emergency Management Plan (CEMP) has been structured into three distinct, but interconnected volumes. These are:

- Volume 1: All-Hazard Mitigation Plan
- Volume 2: Response and Short-Term Recovery
- Volume 3: Long-Term Recovery Plan

The purpose of the CEMP is to identify the State's overarching policies, authorities and response organizational structure that will be implemented in an emergency or disaster situation that warrants a State response. In addition, the CEMP identifies the lines of coordination and the centralized coordination of resources that will be utilized in directing the State's resources and capabilities in responding to and recovering from a disaster. Further, the CEMP serves as the

foundational framework for the State's response levels, and serves as the operational basis of which other State functional and hazard-specific annexes will build upon.

The State's seven functional annexes include the Transportation Infrastructure Branch (TIB) Annex. The TIB Annex is a multi-agency transportation response platform designed to support state-level transportation management issues and circumstances impacting the transportation infrastructure. The TIB includes a variety of response support mechanisms typically employed in larger, more catastrophic events.

The purpose of the Transportation Coordination Appendix is to provide for a rapidly implementable platform to support an increased level of situational awareness and coordination for emergency situations that impact transportation infrastructure. This Appendix will include utilizing individual agency-specific operating plans and regional activities as sources of inputs to shared situational awareness and executive decision making.

#### The Transportation Coordination Appendix:

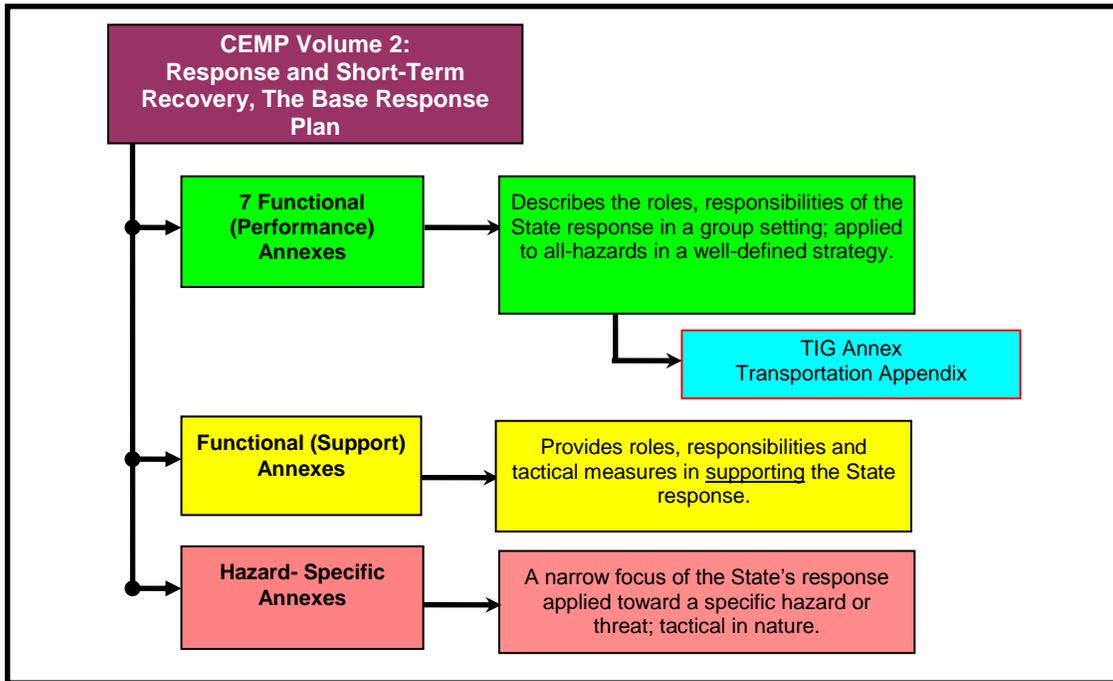
1. Utilizes existing reporting platforms, methodologies and reporting networks;
2. Supports or augments existing networks for improved coordination;
3. Works in support of state agency-specific operating plans and standard operating guides;
4. Building on the platform of the TIB, provide additional capability to augment transportation issues with non-traditional agency support.

## **B. Scope**

Under the TIB Annex, the Transportation Coordination Appendix will serve as an all-hazards functional appendix that:

1. Will apply to transportation incidents that require state multi-agency support in response to an emergency or disaster, as appropriate.
2. Applies to incidents that meet the threshold for a limited or partial activation of the State Emergency Operation Center (SEOC).
3. Applies to all State agencies and authorities that may be directed to respond to such an event that extends beyond normal, day-to-day operations.

Figure 1 below identifies the structural relationship between the State CEMP and all supporting operational plans. It is important to note that several other States plans, either agency-specific or multi-agency, may be activated or utilized to support this Appendix, as conditions warrant. For example, the activation of this Appendix may coincide with the need for the State to activate the Law Enforcement and Security Branch Annex, which can be utilized real-time to support a major transportation event. For the purpose of redundancy and proper planning structure, such plans are not reiterated here, but referenced.



**Figure 1: Structural Relationship of the State Comprehensive Emergency Management Plan and Supporting Functional, Support and Hazard-Specific Annexes.**

### C. Situation

1. A variety of events could occur across the state that has a debilitating impact on the State's transportation infrastructure. These include no-notice events or events that have been preplanned.
2. Many transportation events can occur that require the prompt establishment of local/regional multi-agency operating structures to effectively respond to the incident.
3. Motorists can become stranded on state and local roadways, necessitating the use of emergency response personnel to ensure the health, safety and welfare of stranded commuters.
4. Inclement weather, extreme heat or cold, or exposure to other hazards can exacerbate the issues, putting stranded commuters and emergency responders at an increased level of risk.
5. Statewide risk and vulnerability assessments have been conducted by varying levels of government that identify the impacts on transportation infrastructure.

6. Within their area of responsibility, transportation managers at all levels are intimately aware of the susceptibility of the infrastructure to natural, human-caused and technological disasters.

## **D. Assumptions**

The Transportation Coordination Appendix is based on the following assumptions:

1. There are a variety of hazards that can directly or indirectly negatively impact the transportation infrastructure.
2. Transportation information management is extremely fluid and dynamic and can change on a moment's notice. Such information needs to be vetted, confirmed and verified by all operational agencies and stakeholders involved in the response.
3. While the capability to manage transportation infrastructure in the State is robust, transportation agency capabilities and capacities have suffered as a direct result of the current fiscal crisis.
4. Impassable roadways may be a cascade effect of another hazard or may be the event itself.
5. Adverse weather conditions may put the general public and/or response agencies at an unacceptable level of risk.
6. State assistance is supplemental to local efforts and can be provided upon the exhaustion of local resources.
7. One or more local entities may have declared a local State of Emergency in response to a disaster and the State has been called upon to assist.
8. State emergency transportation operations will utilize existing local and regional statutory authorities and structures, such as A-TIGs (area transportation infrastructure groups).
9. In many cases, state agencies will be operating at county EOCs or other forward point managing and conducting tactical operations. Field command structures will play a pivotal role in providing and sharing information for improved multi-agency coordination.
10. Field-level unified command staff will benefit from executive-level support in implementing their operations. This is especially true if agency executives across the disciplines are in concurrence on policy, scope and do not supplant the field command structure.
11. In cases where motorists are stranded on impassable roadways, state assets can be used to provide essential resources to motorists to ensure their health and welfare needs are met.

## **E. Policies**

Several policies have been identified to ensure that transportation-based situational information is processed as effectively and efficiently as possible in an effort to support informed executive decision making and overall state-level support. These include the following:

1. Transportation infrastructure is continuously monitored through 24/7 agency-specific reporting platforms across multiple disciplines.
2. Agencies that are indentifying potentially problematic or dangerous transportation conditions will begin to provide real-time assessments of such events in an expeditious manner to all stakeholders involved.
3. Real-time agency assessments shall include projections of potential impacts and cascade effects, as appropriate, that will serve as a catalyst or initiating point to multi-agency coordination at both the regional-level and headquarters-level.
4. Anticipated or actual regional multi-agency or A-TIG activations will be communicated quickly both vertically and horizontally across the response organization in an attempt to expedite the information flow to the central offices/monitoring points of state agencies and the State Watch Center.
5. Agencies that have specialized transportation assets (i.e., snowmobiles) may be called upon to support stranded motorists.
6. Local government should be encouraged to seek emergency contracts or procurement of goods and services that can be executed in support of transportation management.
7. The central offices of state agencies may be asked to deploy senior or executive officials to the affected area to support the direction and control of State assets in that area.
8. Agency-specific resource management will continue through day-to-day lines of coordination until such a time that the level or coordination warrants state EOC activation. Once activated, State operations will be coordinated across agency lines via the SEOC in support of the regional unified command structure.
9. State support will be provided as quickly and as efficiently as possible, with concurrence from leadership on issues of cost, risks, indemnity and liability.

## **F. Concept of Operations**

The structure for increasing the level of information and coordination across agency lines can be envisioned as follows:

1. A potential or actual transportation incident occurs in the State. Local resources are exhausted or not involved, and State direction and control is necessary.

2. State transportation agencies provide direct support through day-to-day lines of coordination and existing contracts, obligations and statutory requirements. This support may be realized and coordinated through existing networks or upon activation of a local EOC.
3. State agencies begin to support response activities individually. In some cases, state agencies may determine the need to establish a field command (unified command) element, an A-TIG, or some other multi-agency structure in the region.
4. Upon the receipt of notification of a potential or actual major transportation disruption, 24/7 monitoring centers of state agencies will notify the State Watch Center of such action.
5. Based on information obtained from multiple sources, the Director of State OEM will make the determination to initiate coordination calls to determine the level of severity and support needed. This conference call will be similar in scope to regional-level calls being conducted by the unified command in the field. If warranted, the decision will be made to activate the State EOC. Once active, state response activities and support to the unified command in field will be coordinate through the State EOC.
6. The activation of agency representatives may include only individual agency representatives or, in the case of a full SEOC activation, any or all of the State functional branches.
7. If functional branches are activated, branch leaders will develop real-time solutions to support and resolve ongoing operational issues in the field.
8. If the event warrants Federal assistance, State OEM will formulate such requests to the DHS/FEMA Region II office.

# NEW YORK STATE TRANSPORTATION COORDINATION APPENDIX

## SECTION II: PREPAREDNESS

### A. Plan Development, Implementation and Updating

Many agency-specific and multi-agency plans have been developed that identify potential impacts or concerns as it relates to the transportation infrastructure. These include plans for a variety of events that state agencies have to respond to throughout their normal course of work. In addition, several of the plans that fall under the CEMP also identify potential high risk/high probability events that have cascading consequences on transportation, including the State Hazard Mitigation Plan and several state hazard-specific annexes. These documents, along with locally-developed risk and vulnerability assessments, will be reviewed as state-level plans continue to evolve. As a point of reference, the above referenced plans and assessments are available for transportation agencies to review through State OEM.

Several transportation-based stakeholders have developed standard operating guides (SOG) or field-level concepts of operations for events that warrant this level of involvement. The SOGs are endemic to each individual agency, but also prompt users to initiate dialogue, multi-agency coordination, and support co-location of senior regional leadership to implement efforts in a unified and multi-lateral way.

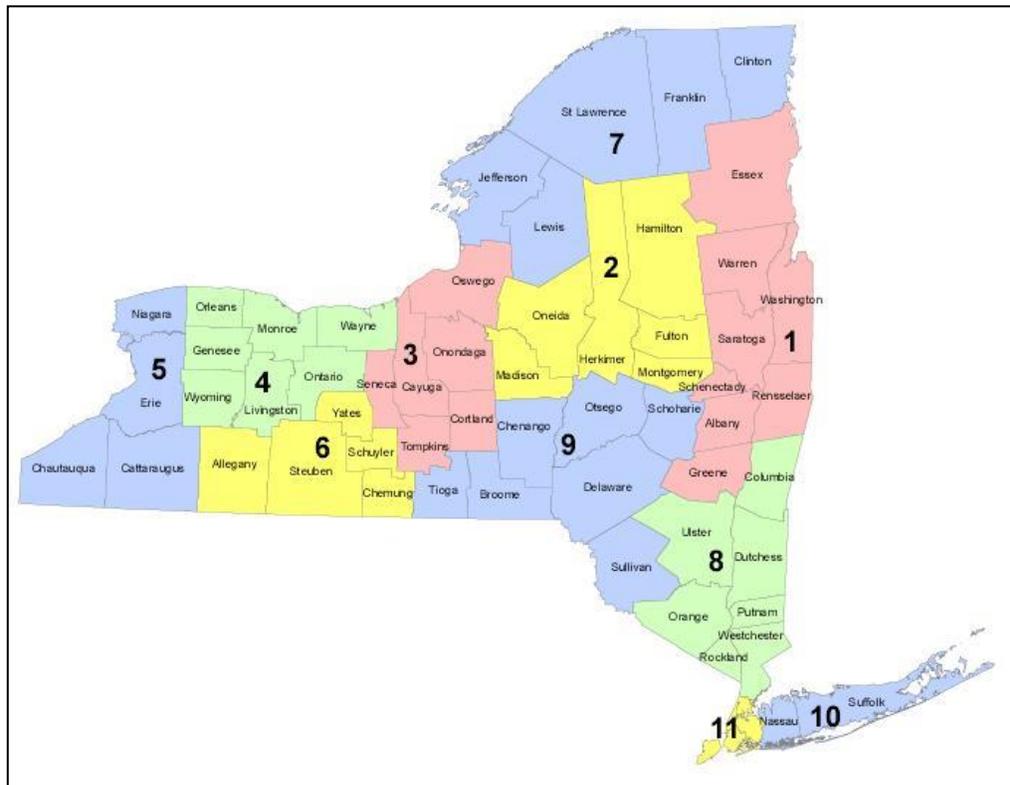
This document has been developed to facilitate a rapid, coordinative, information and support element to existing local, regional and state-level plans. Transportation agencies identified in this plan should recognize that this document significantly accelerates the existing response coordination process, and supports shared situational awareness as a potential or actual event unfolds. This is being done to provide for full situational awareness and a common operating picture across multiple disciplines statewide, and not limited to strictly local or regional reporting networks. Working with its state agency partners, NYSOEM will take a lead role in implementing this plan and facilitating the state response in support of field-level commanders.

The NYSOEM is responsible for the development, maintenance and distribution of this Appendix. Further, NYSOEM will assume the lead in coordinating transportation-based information across non-traditional agency reporting networks to ensure that the State has a *proactive* posture in place to respond to such events. At a minimum, this document will be updated annually or as conditions warrant.

## B. Area Transportation Infrastructure Groups (A-TIG)

An A-TIG is a multi-agency capability, composed of liaisons from regionally-based state agencies working with local agencies to address transportation infrastructure problems. There are 11 A-TIGs in the state, most of which are primarily aligned with DOT Regions as indicated in figure 2 below. 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 a

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 State DOT region. The ATIG is a transportation management resource that may be



**Figure 2: State DOT/A-TIG Regions**

requested by local government, or activated by the state. Agencies supporting the A-TIG provide resource support through standard, day-to-day lines of coordination. Once regional resources have been exhausted, or an overwhelming threat is apparent, the A-TIG becomes a focal point with the field-level unified command for state transportation assets, being support by the State EOC.

## C. The State Transportation Infrastructure Branch (TIB)

The TIB is a headquarters-level, multi-agency organization comprised of multiple state agencies and authorities that provide oversight and coordinative assistance to address impacts on the transportation infrastructure. The TIB provides prioritized, coordinated, temporary, and focused, strategic planning assistance in support of efforts to restore transportation infrastructure. Further, the TIB can provide intelligence on the operational status of transportation infrastructure during emergency situations or planned events, which may include the status of transportation infrastructure elements in adjacent states or provinces. The assistance is provided by primary

agencies (Tier I) that possess the capability to provide direct or tactical resources, staffing or technical assistance to the event. Supporting agencies (Tier II) provide information related to the operation, such as the condition of allied transportation infrastructure, or may serve as a partner in the coordination of transportation-related activities by providing direct resources. A flowchart depicting TIB activation can be found in Attachment 1.

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 or headquarters-level of government. Once activated, in support of the unified command structure in the field, the structure of the ATIG can be used as a tactical management element for state transportation resources in response to the event and can be supported by the TIB. 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 of transportation assets in the commitment of those resources. An organizational chart for depicting this structure can be found in Attachment 2.

#### **D. Training, Exercising and Real-World Events**

1. On a National level, several challenging events have occurred that have provided painful lessons learned to transportation agencies, emergency management organizations and elected officials. Such events include the severe weather events of 2007 that impacted most the Nation, with portions of the northeast receiving blizzard-type conditions, significant snowfall and icing. Special attention was paid to response activities in the State of Pennsylvania which resulted in systemic changes to the way transportation-based information and multi-agency emergency operations are managed. An after action report (AAR) was developed following that event, the details of which provided direct input into this document.
2. The State has significant real-world experience in responding to events that warrant extensive multi-agency coordination as it pertains to transportation. Such cases occur frequently across the state's transportation infrastructure, with impacts experienced from mass gatherings, multi-car accidents, and significant weather-related events.
3. Events in the State have prompted transportation officials to conduct after action reports to identify where lessons learned can improve response. This AAR process is being conducted with the State of Pennsylvania due to the required coordination across state lines.
4. It is anticipated that an AAR process will be implemented to address the issues and challenges of the severe weather event that occurred in December, 2010.
5. Several state agencies include requirements for exercises to assess and improve upon its response capabilities. In most cases, these exercises provide viable input into plan development and help to ensure that the plan is effective in its scope and application.

#### **E. Utilizing and Leveraging New and Existing Planning Efforts.**

A variety of other transportation-based planning efforts are ongoing throughout the State. In large part, those planning efforts are attached or scoped to address a certain asset, grant

deliverable, or program. Regardless of the design parameter, there are several lead efforts that can be leveraged, with caveats, to support better information sharing and coordination. In moving forward with these processes, State agencies participating in such efforts should include oversight and direction from their central office to ensure local/regional gaps, thresholds, needs and capabilities are communicated vertically in the organization.

The Regional Catastrophic Planning Grant Program (RCPGP) includes efforts to support transportation-based events. The RCPG project site includes New York State, New York City, New Jersey, Connecticut, and 30 jurisdictions across multiple State lines in the New York metropolitan area. The overarching goal of the program is to develop robust regional plans that can be used in major, catastrophic events and provide the mechanism for aligning plans both vertically and horizontally across the region. As one of many Investment Justifications (IJs) for this effort, the project site also includes an evacuation plan, with the focus of using key decision making and intelligent transportation technologies to support or effectuate and evacuation. Multiple NYS agencies have supported this effort. Upon completion, this effort should provide for better communication and coordination across local, regional and state lines.

# NEW YORK STATE TRANSPORTATION COORDINATION APPENDIX

## SECTION III: RESPONSE

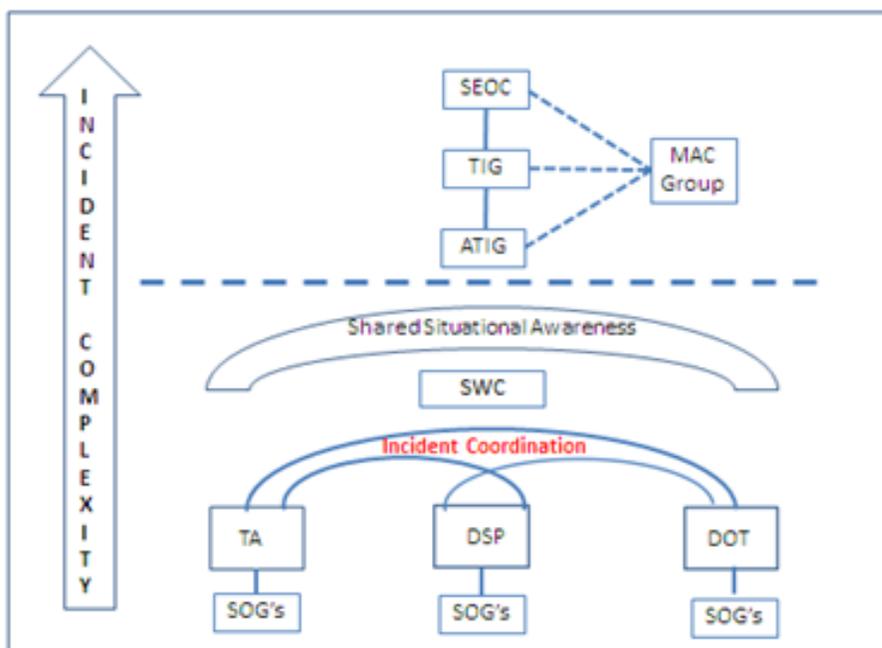
### A. Response Organization

This Appendix endorses the development of one response organizational structure that will include all responding State agencies. State agencies will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as stated in the State Comprehensive Emergency Management Plan (CEMP). ICS will be incorporated at the local and Federal levels as well. The over-arching structure of State command and control will be organized as Stated in the Volume 2 of the State Comprehensive Emergency Management Plan, *Response and Short-Term Recovery*. The State will utilize a Unified Command structure to coordinate the overall State response and will utilize all of the NIMS components deemed necessary, including a State Multi-Agency Coordination (MAC) Group and other coordinative elements at field locations.

The State may utilize and deploy the State's Incident Management Team (IMT) to the area of impact. The IMT will serve to support interagency coordination between responding disciplines, local governments and the State EOC. The IMT possesses the ability to fall back and operate as a field-level operational component if needed, as appropriate.

### B. Alert, Notification and Activation

Shared situational awareness is pivotal to an effective response. As such, it is paramount that the State remains in a position, to the extent practical, to have full visibility of local/regional operations to ensure that local/regional operating structures are *supported* with policy, resources and coordination. The concept of an avid information flow process is not foreign, but is often contingent upon standard reporting lines. For day-to-day events, this information is routinely monitored and addressed by an individual agency, as appropriate. However, for larger, more complex events, additional reporting and information pathways must be implemented to provide for a common operating picture. These vertical and horizontal pathways, along with the messages that they carry, drive the activation of the state's response system. A picture of this concept is in figure 3. Special attention should be paid to noting how the complexity of an event is correlative to the level of awareness that is warranted of behalf of agency executives, necessitating shared situational awareness in making executive-level and field-level multi-agency decisions.



**Figure 3: Model depicting the necessary level of shared situational awareness as it relates to the complexity of an incident.**

## 1. Field/Regional-Level Activation

- A potential or actual event impacting transportation infrastructure occurs in the State.
- As part of their standard reporting and operating protocols, State agencies provide upward reporting to their respective monitoring centers.
- State agencies in the area of impact begin to support the operation individually, with some overlap across response disciplines.
- When a potential or actual event warrants a multi-agency response that has the potential to extend beyond local/regional capabilities, state agencies operating in the area will establish a field-level unified command.
- Field-level command elements will provide oversight and direction to remedy the situation using mutually-agreed upon policies, protocols and structures, such as A-TIGs.

Note: Defined agency-specific or regional thresholds need to be crossed to activate an A-TIG and/or forward command operating points. These thresholds vary from one area of the state to another based on complexity, risk, regional capability and capacity, and the at-risk population. Regardless of the specific cause, State agencies that are facing a potential unified command and/or A-TIG activation will communicate such measures through their operating centers and to the State EOC *concurrent* with the activation of that structure. This notification sets into motion the headquarters-level of each agency and brings the State EOC online to provide for a centralized coordination of resources in support of response operations in the field.

## 2. Headquarters-Level/State EOC Activation

Upon notification of a potential or actual field-level unified command and/or A-TIG activation, the State OEM will initiate a conference call with the agency liaisons/operations level of the Thruway Authority, Department of Transportation, and the Division of State Police and others, as appropriate. The discussion will include event specifics, the cause of the event, potential impacts, and ascertain the objectives/decisions of regional-level coordination calls and command briefings. Transportation-based agencies will provide additional situational reporting to the SEOC that will include:

- Projections: Based on observations, roadway capacities and forecast information, state transportation agencies will provide a synopsis of roadway status and indicate if and when multi-agency support may be required. In events with warning, this list of projections will occur prior to the impact being felt on the transportation system.
- Status of local, county and state transportation assets in the affected area.
- Estimate the number of travelers/commuters on the road in the area of impact.
- Identify local interoperability and coordination efforts, including the status of A-TIG activations, field-level command, etc.
- Identify the thresholds that need to be crossed to determine what may be needed, and when, from the SEOC.

Based on the information obtained in this initial discussion, the Director of State OEM will activate the State EOC to one of three incident response levels. The State's response structure will be based on the State Response Levels as identified in the Response and Short-Term Recovery Section of the State Comprehensive Emergency Management Plan. Transportation coordination issues relative to response level are as follows:

Day to Day Monitoring: Routine monitoring of the statewide situation by New York State agencies. Actions include:

- NYSOEM maintains the SEOC in a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency.
- It is at this point that an initial headquarters-levels conference call will be conducted to resolve any issues, or warrant higher level of activation.
- Level 3 – Situation Room Activation: Activation by State OEM staff to more closely monitor a developing situation or an incident with the potential for limited impact. Actions include:

- This level is considered as indicated, and may include the activation of a limited number of SEOC sections to provide situational reporting, and make preparations to increase the State's response posture, as appropriate.
- At this level, the EOC sections will begin facilitating additional information flow in anticipation of a potential event impacting the transportation infrastructure.
- State OEM will initiate a MAC Group discussion either virtually or in person. The discussion will identify response operating policies, issues, and parameters germane to the event, and the required level of support needed from the agency at both the field-level and in the State EOC. These calls will continue throughout the life cycle of the event.
- Level 2 – Partial Activation: Activation by one or more appropriate agencies to respond to discipline-specific events, or to provide any necessary assistance as allowed by statutory authority. This level is indicated if the initial/follow-on conference calls warrant an immediate level 2 response:
  - If not previously accomplished, State OEM will initiate a virtual or in-person MAC Group discussion to identify response operating policies, issues and operating parameters germane to the event, and the required level of support needed from the agency at both the field-level and in the State EOC.
  - This level is considered as indicated, and may include staffing the SEOC by a limited number of individual agencies or a limited representation of a functional branch or branches to monitor conditions or support activated agencies.
  - The Director of the NYSOEM or designee and the activated functional branch Leaders will jointly identify which agencies of each functional branch are required to support the activation level and the current response.
  - It is at this point where the State IMT may be deployed to support forward operations.
  - It is at this point where public information platforms, such as NY-Alert and EAS, can be initiated in support of the unified command in the field.
  - Transportation-based agencies will continue to provide additional situational reporting to the SEOC that will include:
    - Ongoing projections: a synopsis of roadway status, issues, areas of concern, and progress made to remedy the situation.
    - Estimate the number of travelers/commuters remaining on the road in the area of impact.
    - Identify local interoperability and coordination efforts, challenges, gaps and needs that can be supported from the headquarters/SEOC-level.

- As warranted and identified in pre-existing plans, State OEM will activate other agencies/branches that possess resources to provide support to transportation agencies as warranted by the event.
- Level 1 – Full Activation: Activation of additional agencies and/or functional branches to respond to an emergency or disaster situation that may have a broad and potentially devastating impact on the State. Upon the declaration of a State Disaster Emergency, the Governor may direct any and all agencies of State government to provide assistance under the coordination of the Disaster Preparedness Commission (DPC).
  - This level is considered as indicated, and may include some or all of the functional branches as well as individual agencies. The Director of NYSOEM or designee (i.e., Operations Section Coordinator, EOC Manager) and the activated Functional Branch Leaders will jointly identify which agencies of each Functional Branch are required to support the activation level and the current response.
  - Agencies and functional branch leaders in the SEOC will develop operational plans to support the forward push of state assets to the field, as appropriate.
  - If the event involves a Federal response, Functional Branch Leaders will interface and coordinate with the corresponding Federal emergency support functions (ESFs).
  - State and Federal functional alignments and response operational elements can be found in the State CEMP, *Volume 2- Response and Short-Term Recovery*, Table 1- *State Agency/Functional Branch to Federal ESF Lines of Coordination* on page III-21.

### C. Resource Support and Agency Responsibilities

The following operational functions or elements may be utilized to support transportation-based emergencies. In reviewing, note that the following list is just a snapshot of what exists in other state-level emergency plans. As such, those assets are not reiterated for redundancy purposes. In addition, State OEM maintains agency resource lists that could be requested from State agencies during an event to support emergency operations, as appropriate.

1. **Multi-Agency Coordination (MAC) Group**: Based on the incident, State OEM can convene state-level executives of the State’s Disaster Preparedness Commission (DPC) to provide executive policy and oversight into the statewide response organizational structure.
2. **The State Incident Management Team (IMT)**: Based upon the incident, the State may utilize and deploy a State Incident Management Team (IMT) to the area of impact. The IMT will serve to support on-scene and EOC interagency coordination between responding disciplines, local governments, the MAC and any on-scene Federal presence. Utilization of this capability will be considered regardless of whether or not the event is Federally-supported or declared.
3. **State Transportation Infrastructure Branch (TIB)**: As the State’s multi-agency focal point of transportation-based issues, the TIB can provide coordination, support and operational

planning recommendations to the areas of impact. With the State Department of Transportation as the branch leader, the TIB can perform in-depth analyses of the situation and provide leadership with the tools to make informed, overarching decisions. State TIB assets are categorized in Tier I (primary agencies) and Tier II (secondary or support agencies), any or all of which can be utilized as warranted depending on the area of impact.

4. State Law Enforcement and Security Branch (LE&SB): As the multi-agency arm of the State's collective law enforcement agencies, the LE&SB can provide operational planning and support to areas of impact. The Division of State Police and the Office of Counter Terrorism serve as co-chairs in this branch.
5. State Human Services Branch (HSB): Under the coordinative efforts of the State Office of Temporary and Disability Assistance (OTDA), the HSB serves as the State's coordinative body to support human needs issues and concerns that can bring a wealth of feeding, sheltering and reunification capabilities to an at-risk population.

## NEW YORK STATE TRANSPORTATION COORDINATION APPENDIX

### SECTION IV: RECOVERY AND DEMOBILIZATION

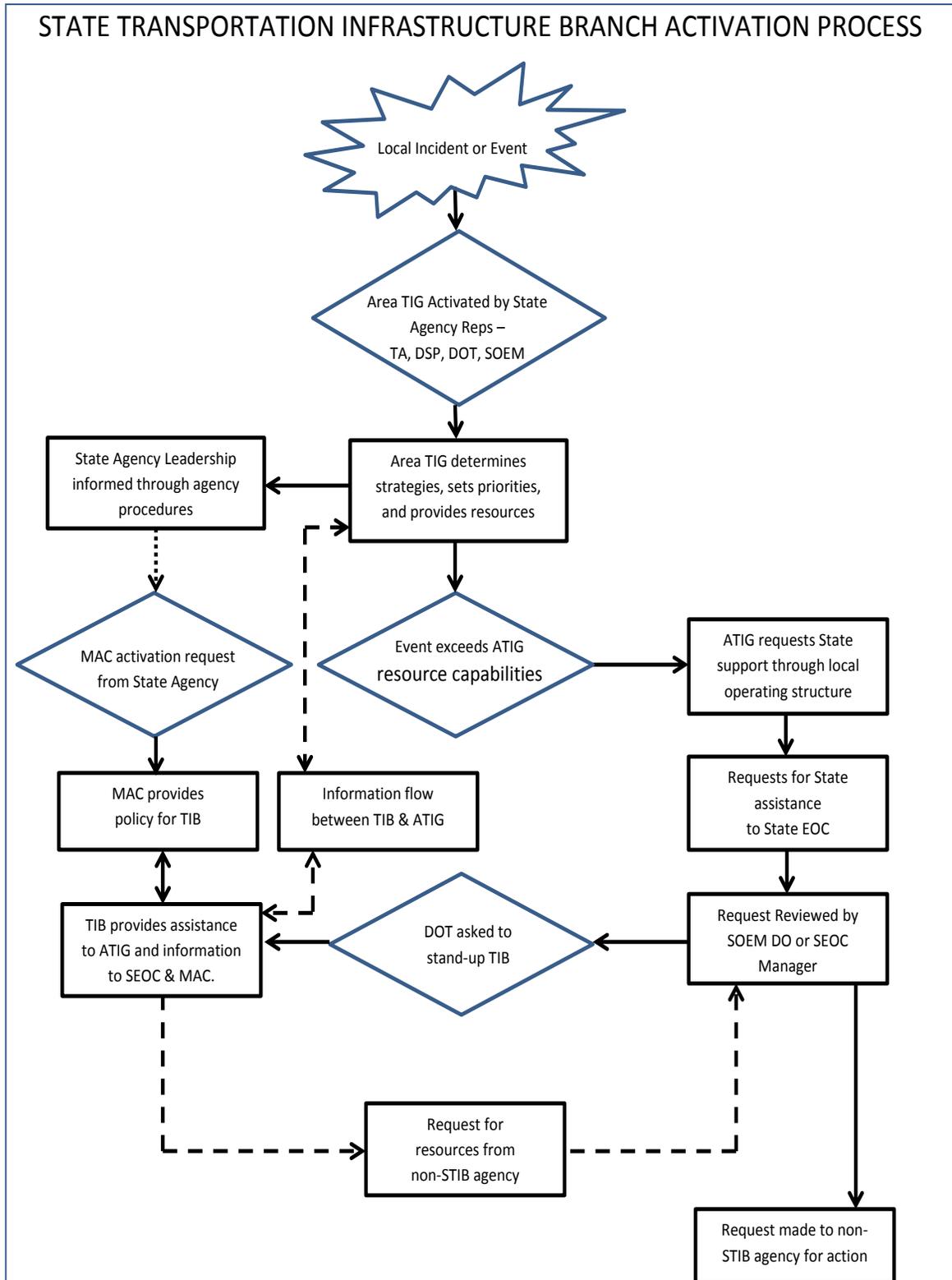
#### A. Recovery/Demobilization Process

Dependent on the nature of the event, the response to an emergency or disaster may be relatively short lived or could extend for some period of time. As the scope of the response begins to shift to a recovery process, the response structure that is in place will change. When this transition occurs, operational components, such as State EOC or the State Incident Management Team, may be demobilized. As a result, the mechanisms of the recovery process will be transferred from the State Emergency Operation Center to individual agencies.

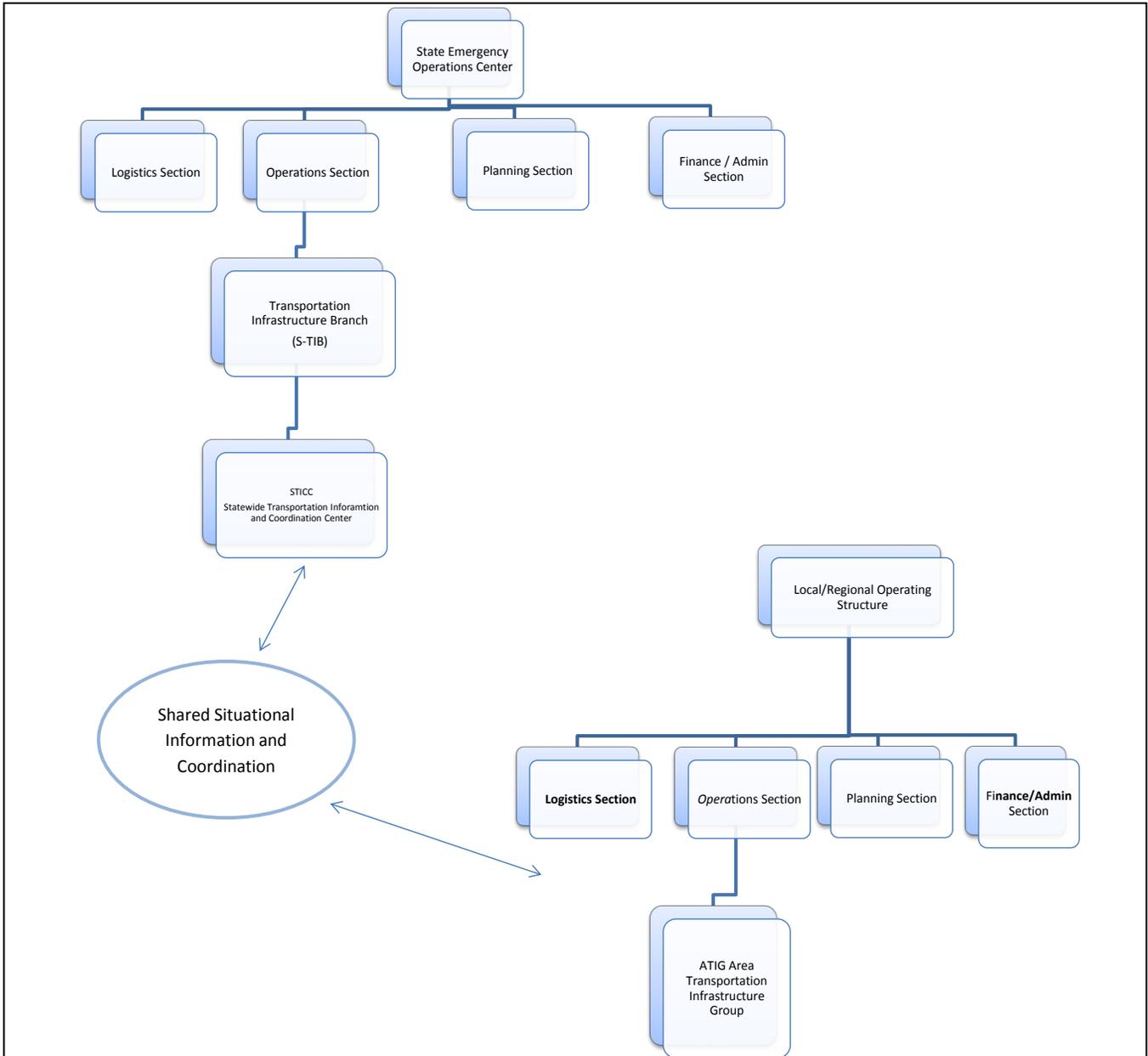
As the recovery process begins, requests for State response resources will begin to diminish. As field-level or regional response structures demobilize, the increased level of situational reporting will transition back to day-to-day as well. Upon demobilizing the operational structure and increased levels of reporting, each agency shall ensure the following actions are taken:

1. Efforts will be undertaken to return mobilized equipment, supplies, materiel and resources to pre-event conditions.
2. Coordinate and conduct activities associated with retrieving (or disposing locally if no longer serviceable), refurbishing and restocking all assets, as appropriate, used during the disaster response.
3. Ensure that all equipment and supplies are accounted for.
4. Maintenance: All property requiring maintenance will be returned to original operational condition. Agency-specific assets will be maintained by that agency thorough each agency representative in the State Emergency Operation Center.
5. Expenditures and Record Keeping: While each agency is responsible for establishing administrative controls necessary to manage the expenditure for their own funds, agencies need to recognize that in some cases those costs can be recovered. Agencies should strive to keep detailed records of any cost (equipment, personnel, or otherwise) in an effort to recoup those costs from the Federal government. Post-event, agencies can obtain assistance and guidance in doing so via the Public Assistance (PA) section at State OEM.

**Attachment 1: Flow Chart for TIB activation**



**Attachment 2: Organizational Chart for A-TIG/TIB interaction**



**Attachment 3: *NYSOEM/DSP/TA Joint State Agency Concept of Operations for  
Emergency Thruway Closures***

*Note: The Joint Closure Concept of Operations is being modeled and incorporated for  
each region of the Thruway, as appropriate.*

# New York State Joint State Agency Memorandum of Understanding For Emergency Thruway Incidents

Made Final on 22 July 2011

## I. Purpose:

The purpose of this document is to outline responsibilities for the New York State Police (NYSP), Thruway Authority (NYSTA), New York State Department of Transportation (NYSDOT) and State Office of Emergency Management (SOEM), in the event an emerging major incident on or emergency closure of the New York State Thruway is deemed to be required. This policy document will also apply to the inclusion and management of any other federal, state, or local agencies who may become involved as an assisting or cooperating agency during a closure.

This document will serve as a Standard Operating Guideline, in support of the Transportation Coordination Appendix to the Transportation Infrastructure Branch (TIB) Annex, which is itself an annex to the State Comprehensive Emergency Management Plan (CEMP).

## II. Planning Assumptions:

- The NYSP, NYSTA, NYSDOT and NYS OEM all maintain situational awareness of conditions that may or are affecting the NYS Thruway. All four entities will strive to ensure shared situational awareness of incidents and conditions by the others.
- The NYS Thruway is only closed in response to an incident that is occurring that may or is posing a risk to the safety of travelers. While all operational options remain available, it is assumed that the Thruway will not be pre-emptively closed prior to an incident occurring.
- Decision-making is decentralized for rapidly emerging events to ensure that locally-based agency operators and managers are able to mitigate circumstances that threaten the safety of travelers.
- In emergency situations and on issues of life safety, the State Police will have the ultimate decision-making authority.
- Executive Management of all three entities will be notified of emerging or occurring incidents as soon as possible.
- Incidents with greater complexity (e.g. affecting broader geographic regions, large numbers of affected travelers) may require activation of the TIB Annex and/or the Multi-Agency Coordinating (MAC) Group (whether in-person or virtual). The decision to activate either will be made jointly by state and local agency managers and Executives. While agencies' Executives hold ultimate decision-making authority, local agencies' leaders are encouraged to convene incident management constructs (e.g. regional MAC conference calls) as they deem necessary to mitigate the incident.

- The State EOC, at the discretion of the Director of OEM, may be activated in order to facilitate incident support and shared situational awareness. NYSTA and NYSP Executives may recommend the activation of the State EOC as well.

### **III. Incident Identification and Notification:**

The NYSP, NYS TA, NYS OEM and NYS DOT each operate monitoring centers which provide 24/7/365 situational awareness of the state's infrastructure, emerging and on-going incidents as well as hazards that may affect the normal operations of the state and its communities. Disruptions to the Thruway transportation infrastructure are reported to Thruway Statewide Operations Center (TSOC) and NYSP Troop T by first responders and infrastructure operators as they occur. Reports of disruptions are then forwarded to the New York State Watch Center (SWC), operated by OEM, and the Statewide Transportation Information and Coordination Center (STICC) and the affected local Transportation Management Center (TMC), both operated by NYS DOT.

Upon notification of a major disruption (actual or possible; to include full closure of the Thruway in a single direction or greater) to the New York State Thruway:

- The Thruway Statewide Operations Center (TSOC) will notify NYSTA Execs, DSP Troop T Command staff, the State Watch Center (SWC), the STICC and the affected local TMC via telephone, as well as following internal communications procedures. All known and relevant incident information will be provided.
- The Thruway Authority's Statewide Operations Center (TSOC) will notify TA Duty Officers as per agency protocol.
- The NYSP Troop T will notify NYSP HQ; and,
- The SWC will notify the OEM Duty Officer. Based upon the dynamics of the disruption the Duty Officer will determine if additional notifications are needed. Examples of additional notifications may include: DHSES Executives; County Emergency Managers in the affected counties; and other state agencies as appropriate.

#### **A. Process for Closure / Notification / Management**

The nearest available Thruway Traffic Supervisor or DSP Troop T Zone level Supervisor (Line Sergeant or above) can declare a closure of any or all lanes of the Thruway based on public/life safety issues using their judgment and the suggested criteria below. Decision-making metrics for closing the Thruway and/or initiating interagency coordination actions will include:

- Situation is not improving, combined with forecast of extended or excessive high rates of snowfall (e.g. Snowplows unable to clear road effectively).
- Any potential for or actual presence of a hazard that is likely to cause property damage, imminent physical injury or death.

## **B. Incident Classification**

Determination of Incident classification and response should be made at the discretion of the First Responding Agency or the Incident Commander (IC) based on on-scene observations. After determination of the classification/response, the IC will notify his/her dispatch, instructing them to make all necessary notifications, including the TSOC.

**Minor Incident:** Impact to the traveled roadway is estimated to be less than 30 minutes with no lane blockage or impact to the traveled roadway is estimated to be less than 30 minutes with minor lane blockage.

Notifications: Via routine normal communications via agencies' monitoring centers.

**Intermediate Incident:** Impact to the traveled roadway is estimated to be more than 30 minutes, but less than 2 hours. There is lane blockage, but not a full closure of the roadway. Though the incident meets the same criteria of a minor incident, the time needed to clear the incident is longer.

Notifications: Via routine normal communications via agencies' monitoring centers.

**Major Incident:** Impact to the traveled roadway is estimated to be more than 2 hours or the roadway is fully closed in any single direction or a fatality has been reported or if significant area-wide congestion is expected (e.g. weather related travel disruptions).

Notifications: Includes above actions as well as TSOC telephonic notification of NYSTA Executive Duty Officer, NYSP Troop T Command staff, STICC and SWC.

## **C. Re-Open:**

This decision to re-open the Thruway will be made by NYSP Troop T Supervisor and the designated Thruway Executive Duty Officer, but only after they have been fully briefed on the situation by the Incident Commander from the scene or based on their knowledge from their personal presence at the scene.

## **IV. Agencies' Responsibilities**

### **NYS Thruway Authority:**

If a decision is made to close parts of the Thruway immediately due to extenuating circumstances by a Thruway Division Traffic Duty Officer, he/she will immediately notify the TSOC who will immediately notify Thruway Authority Duty Officers, Troop T and all other necessary parties. The Thruway Division Traffic Duty Officer will also establish an Incident Command Post and begin managing the incident until the arrival of additional resources.

The closest available Thruway Traffic Supervisor and/or Division Duty Officer will respond to the scene and integrate with the State Police Zone Supervisor in charge and they will jointly manage the incident using concepts of the Incident Command System and Unified Command. The Unified Command team will ensure that all notifications to NYSP, NYSTA, NYSDOT, NYS OEM HQs and affected local jurisdictions have been made in a timely fashion.

Decisions will be made jointly by the unified command on issues of highway maintenance, traffic routing, locations for truck staging of tandem vehicles, detours, public notification, vehicle removal, motorist evacuation, and the like. Detours will be vetted with NYS DOT and affected local municipalities to ensure the best use of the transportation system.

The Thruway Authority will handle all media inquiries, and insure that upon closure of the road, all local news media outlets are advised and periodically updated on the closure situation. The 800 number of the Thruway TSOC will be widely publicized in these notifications, to encourage motorists to use this number for all inquiries or to report problems. The Thruway TSOC will be adequately staffed to manage all emergency calls received from the public regarding the incident.

The Thruway will ensure the use of Highway Advisory Radio (HAR), variable message signs (VMS), and other forms of electronic media to insure the closure information is rapidly released to the motoring public.

### **State Police**

If a decision is made to close part of the Thruway immediately due to extenuating circumstances by a State Police Zone Supervisor, he/she will immediately notify the TSOC and Troop T Commander through channels. The Troop T Commander will be responsible for notifying Division Headquarters as soon as possible.

The closest available Troop T Zone Supervisor will respond and act as the on-scene Incident Commander, establish a command post, and utilize the concepts of the Incident Command System for response of emergency services assets to the incident. Upon arrival of the designated Thruway Authority Traffic Supervisor, the command function will transition to "unified command" and management of the incident will be done jointly. Any/all assisting/cooperating responder agencies can send command level personnel to the Incident Command Post to become part of the Unified Command once it has been established.

In emergency situations and on issues of life safety, the State Police Command Post representative will have the ultimate decision making authority on the scene.

If additional State Police assets are required beyond those available in Troop T, the Troop T Commander may contact any adjoining NYSP Troop or any NYSP Detail Commander(s) to discuss availability of their resources to assist Troop T as necessary. Once availability is confirmed locally between Troop/Detail Commanders, the official requests for additional resources outside of Troop T will then be made to NYSP HQ Field Command by the Troop T Commander and assignments will be made at Division HQ. Additional State Police resources from adjoining troops or details anywhere in the state can be deployed by Division HQ as required. Upon deployment, these resources fall under the chain of command / control of Troop T Officers until dismissed from the incident.

The Incident Commander / Unified Command will have ultimate command / control of all emergency services assets requested, assigned, or working on the incident.

## **State OEM**

During regional and statewide disasters and incident operations, SOEM coordinates the emergency response of all assisting and cooperating State or local agencies to establish a sound incident management platform and ensure that the most appropriate resources are dispatched to impacted areas.

Depending upon the complexity of the incident, including the anticipated duration and anticipated cascading consequences of a Thruway closure, NYS OEM will dispatch personnel to the Command Post and serve as a liaison to Unified Command.

State OEM personnel will coordinate with federal, state, and local agencies, in partnership with the local Emergency Manager as appropriate, to support NYS Troop T and Thruway personnel. This may include the activation of the TIB Functional Branch, in support of state-level operations.

State OEM personnel will provide and maintain situational awareness to the Executive Branch of State Government, in conjunction with the Executive leaders of other involved state agencies.

### **V. Increased Incident Management Structure Decision and Implementation:**

Based upon the complexity of the incident, Unified Command (UC) may recommend/request the activation of State Emergency Operations Center and/or recommend that an Executive Level MAC Group be established. State OEM personnel will facilitate the establishment of the MAC process including agency Executive and partner agencies' notification, conference call establishment, note taking and will assist with implementing the policies established by the MAC. If State OEM personnel are not present at the UC, requests for assistance that are not available locally within the county or region will be made by the UC to the SWC who will then notify the State OEM Duty Officer.

#### Additional considerations include:

- MAC calls may be conducted following Regional MAC or in weather events, NWS conference calls, to provide situation update and receive policy guidance and direction at the regional level.
- Depending on criticality of incident, NYSTA may be asked to maintain a conference bridge at Thruway Headquarters for expedient information exchange at the executive level.

### **VI. Public Alerting and Notification via NYALERT, TRANSalert, 511NY, and EAS:**

Public messaging will be initiated early and continued as deemed appropriate. Messages will be clear, strongly worded and updated as conditions warrant.

The TSOC will issue TRANSalerts for incidents which block or close the highway. These alerts will be updated on a regular basis for longer term incidents.

Incident information will be placed on the NYSDOT 511NY system. When appropriate, a floodgate message and web banner will be utilized to inform users of major incidents.

State OEM may utilize the NYALERT program for emergency messaging in impacted regional jurisdictions as well as notification to travelers via GPS, cellular messaging and satellite radios.

State OEM will coordinate the use of the Emergency Alert System (EAS), when appropriate, with local emergency management personnel.

**VII. Annual Exercise & AAR Process:**

The New York State Police and Thruway Authority in each Troop T zone / Thruway Division will exercise a tabletop Thruway scenario closure for that region / zone at least annually, using the above guidelines to manage the exercise scenario and response. The Troop T EMNCO and the appropriate Thruway representative will be the leads in planning these exercises, and may be assisted by SOEM and/or the Department of Transportation. Other federal, state, and local partners who might be assisting, cooperating, or coordinating agencies in a real incident will also be invited to participate in the exercise, as deemed appropriate by the scenario and the exercise planners from Troop T and the Thruway. The scenario must involve discussion on motorist evacuation and sheltering issues.

An After Action Review will be conducted for each tabletop exercise and a written after action report filed at Troop T HQ and with the Thruway Director of Maintenance and Operations. This plan, and any zone/Division level annexes to this plan, will be revised accordingly based on lessons learned during the exercise. In any calendar year, if a zone/region has experienced an actual event requiring the closure of the Thruway, this annual tabletop exercise requirement will be deemed to have been met, but only if an After Action review of the actual closure was conducted, and a written After Action Report of the closure is on file at Troop T HQ and with the Thruway Director of Maintenance and Operations.