

New York State Comprehensive Emergency Management Plan

Volume 2: Response and Short-Term Recovery



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)
January 2007	Executive Change	Cover
June 2008	Annual Update	Multiple (Response, Levels, MAC)
September 2009	Full Plan Review	All, as warranted
November 2009	Annual Update	Multiple (R/R, Response, RM Charts)
January 2011	Administrative Change	All, as warranted
March 2012	EOC Operating Levels	All, as warranted
March 2013	Annual Review	All, as warranted
March 2015	Annual Review	All, as warranted
February 2016	Annual Review; All including, Intergovernmental Affairs, MAC, NY Responds	All, as warranted
March 2017	Annual Review	All, as warranted
October 2017	Changes warranted to address ESF/RSF construct, State Operating Levels, State EOC Organizational Structure	All pages reviewed/updated, as needed
January 2018	Annual Review	All, as warranted
February 2019	Annual Review	ROC, Mitigation Plan, CEPA, and EMAP update
March 2020	Annual review/update	All, NRF changes, EMAP update, Legal Counsel Review
March 2021	DPC agency and ESF review; COVID update; Legal Counsel Review	All, Exec Law change, PDA and declaration language.

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New York State Comprehensive Emergency Management Plan

Volume 2

Response and Short-Term Recovery Plan

Section I: General Considerations and Planning Guidelines

I. General Considerations and Planning Guidelines

A. Introduction

The State of New York experiences a wide variety of human-caused, natural, or technological disasters. Disasters may disrupt public safety, health and human services, and infrastructure that may have a devastating social, economic, or developmental impact on New York State. The State of New York must be prepared to respond to emergencies and disasters. Large scale emergencies and disasters exhaust resources at the municipal and county levels of government and require leadership from the State to effectively respond to and recover from events.

Dealing with emergencies and disasters is an ongoing and complex endeavor. As a result, in 1979 the State Legislature promulgated State Executive Law Article 2-B. Article 2-B is the statutory basis for the emergency management program within New York State. Article 2-B identifies the State Disaster Preparedness Commission (DPC) and the roles and responsibilities of the DPC. One of the missions of the State of New York through the DPC is to provide leadership, coordination, and support for efforts to prevent, protect against, prepare for, respond to, and recover from disasters. This includes the preparation of State disaster plans, directing State disaster operations and coordinating with federal, local, and private response and recovery operations and efforts. Additionally, Article 2-B identifies the State Office of Emergency Management (OEM) as the operational arm of the DPC.

This document shall serve as Volume 2 of the State Comprehensive Emergency Management Plan (CEMP), *Response and Short-Term Recovery*. In addition, this document is supported by numerous functional, performance, and hazard-specific annexes, each of which identifies the individual and collective actions of selected State agencies.

B. Purpose

The State of New York has structured its planning methodology with the development of the State CEMP 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. The CEMP serves as the foundational framework for the State’s response levels and serves as the operational basis of which other functional and hazard-specific annexes are built upon. These annexes address a broad range of consequences to respond to the State’s highest rated hazards.

The purpose of this document is to serve as Volume 2 of the State CEMP, *Response and Short-Term Recovery*. This document will ensure that the State has detailed plans to provide direction and coordination of the State’s resources and capabilities in responding to and recovering from a disaster.

The objectives of this plan are to:

- Identify the structure of the CEMP;
- Provide a framework for the State’s emergency management program operational plans;
- Establish procedures to reflect operational priorities; and,
- Outline the State’s collective response and short-term recovery to an emergency.

The structure of the plans in New York State are identified in Figure 1 below.

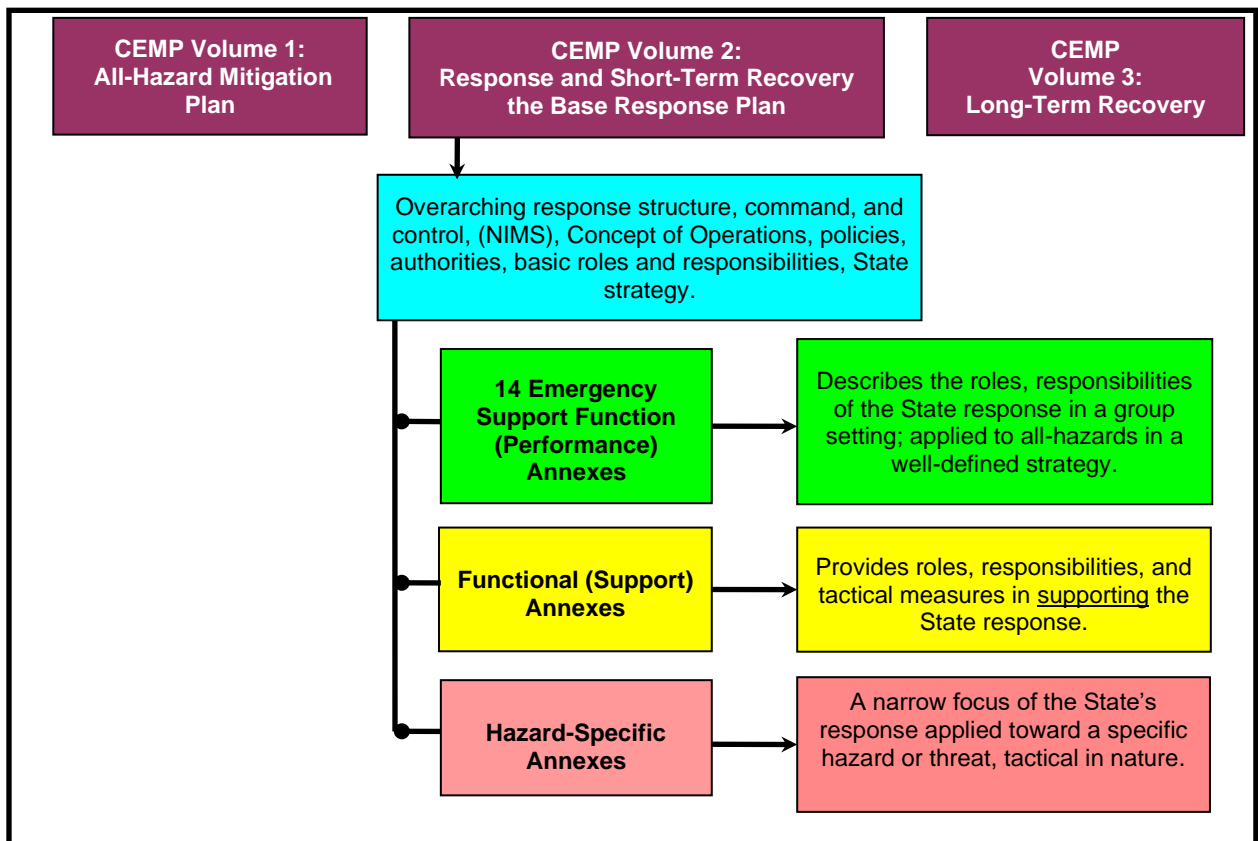


Figure 1: Structure of the State Comprehensive Emergency Management Plan

C. Scope

This plan:

- Applies to all natural, technological, and human-caused emergencies or disasters where local capabilities may be exceeded, necessitating the use of State and/or federal agencies and resources;
- Applies to all incidents that require a limited or full activation of the State Emergency Operations Center (EOC); and
- Applies to all State agencies and authorities that may be directed to respond to an emergency or disaster and identifies the response structure for a State multi-agency response. Nothing herein shall be construed as relieving or redefining any agency's statutory responsibilities unless directed by Executive Order of the Governor during a declared State Disaster Emergency.

The mechanisms in this plan are designed to address short-term recovery from any hazard that could adversely affect the State and provide for a seamless transition into the long-term recovery phase. The elements of this document may also be utilized for an increase in threat, regardless of the hazard, or pre-planned events that warrant the State to assume a more proactive and protective posture. Events that may warrant an increase in activation level include mass gatherings, holiday celebrations, and National Special Security Events (NSSEs).

State agencies will support the implementation of this document pursuant to State and federal statutory obligations. Agency-specific operational plans in support of this document are developed and maintained by individual agencies and are incorporated into the State's response based on the activation level and incident circumstance. These operational plans are executed by the individual agencies under the auspices of this document and as directed by agency executives. These operational plans may be implemented by individual agencies in support of their agency's mission, or as a collective part of one or more of the State Emergency Support Function (ESF) Annexes.

It is beyond the scope of this document to list and include each agency-specific plan, policy, or procedures that may be called upon or be implemented in support of this document. Additionally, this document is not intended to address law enforcement criminal investigative or intelligence information or activities during the response to a disaster or incident.

D. Situation

New York State experiences a variety of disasters and emergencies that may result in the loss of life, or damage or destruction of property. New York State is the fourth largest state in populace. In 2019, the U.S. Census Bureau estimated that 19.4 million people resided across New York State, with an estimated 8.3 million people residing in New York City. New York State spans 54,556 square miles, ranking it the 27th largest state by size. New York State, located in the northeastern United States, is bordered by New Jersey, Pennsylvania, Connecticut, Massachusetts, Vermont, and Canada. New York State shares a maritime border with Rhode Island. Additionally, New York State touches the Atlantic Ocean, Lake Erie, and Lake Ontario.

The Division of Homeland Security and Emergency Services (DHSES) Strategic Plan 2021-2023 noted that there have been 76 major disaster declarations since 1954. Additionally, the State has

responded to 22 domestic terrorist and 35 Jihadist/terrorist attacks/plots since September 11, 2001 (9/11). The State EOC has been activated for a variety of incidents, including natural, technological, or human-caused events such as severe winter storms, flooding, ice jams, mass gatherings, 9/11, Superstorm Sandy, Lake Ontario flooding, and the COVID-19 pandemic.

The State of New York experiences a wide variety of human-caused, natural, or technological disasters. Incidents may occur with warning, such as a severe winter storm, or incidents may occur with little or no warning. The impacts of these incidents could cause mass disruptions of services or local or county governments request additional assistance from the State. One or more local or county governments may declare a local State of Emergency, as multiple incidents may occur simultaneously or sequentially in contiguous and/or noncontiguous areas. Disasters may disrupt public safety, health and human services, and infrastructure that may have a devastating social, economic, or developmental impact on New York State.

The response to the COVID-19 pandemic in 2020-2021 provided a unique and challenging environment for response activities. The effects of the pandemic caused massive social and economic disruptions. Implementation of social distancing, restrictions on building capacities, and enforcement of stay at home orders posed a variety of challenges not seen in other types of disaster or emergency events. The potential exposure and illness of State response personnel due to the pandemic caused staffing shortage concerns, and the physical location of individual roles were evaluated to determine the most effective way to maintain efficiency and safety of workers while maintaining response capabilities. Additional challenges faced in planning and response to the pandemic included cascading effects such as challenges in obtaining logistical support and supplies due to high demand and limited availability of critical resources, such as personal protective equipment (PPE) that were specific to the pandemic event.

Depending on the event and the response discipline, State response actions may occur concurrently or consecutively with the local response. In each case, State response and short-term recovery actions may include a variety of actions that will help in restoring essential services and systems to minimum operating standards. While State agencies possess a wealth of resources and response capabilities that can be applied to the situation in support of local government, some events may overwhelm the capabilities of the State and require federal assistance. Depending on the event, some emergencies may warrant an immediate federal response absent the exhaustion of State and/or local resources.

Regardless of the scenario, the State needs to have a methodology and structure in place to effectively and efficiently interoperate with all levels of government. In doing so, the State will maintain a high degree of commitment to prevent or minimize property damage, protect and save lives, and provide for all citizens who are or may be threatened by an emergency or who become victims of any disaster. These services will be coordinated to the maximum extent with comparable activities of local governments, other states, the federal government, and voluntary/private entities.

E. Planning Assumptions

1. The *Response and Short-term Recovery Plan* is a dynamic living document that will continually evolve as the DPC reviews the State's response and short-term recovery activities following incidents and/or exercises.

2. New York State is subject to a wide variety of hazards that may result in an emergency situation. Natural hazards may include floods, winter storms, windstorms, and drought. Technological hazards may include radiological contamination and hazardous substance releases. Human-caused hazards may include terrorist acts, civil disorder, or cyber incidents. These examples are not exhaustive of hazards in New York State and are constantly being reviewed and updated as part of Volume 1: All Hazard Mitigation Plan.
3. Known events may occur that could impact the state, which may necessitate preparedness efforts to mitigate the effects of the incident.
4. Events with little, if any, warning may occur which could cause mass disruptions of services or where local or county governments require State support in response to an event. These events may warrant an immediate State response or there may be incidents where the State responds on its own initiative rather than waiting for a request for assistance. State assistance is typically supplemental to local efforts.
5. One or more local governments may have declared a local State of Emergency in response to the disaster and the State has been called upon to assist.
6. Multiple incidents may occur simultaneously or sequentially in contiguous and/or noncontiguous areas. This will require prioritization of limited resources.
7. The State and its political subdivisions will continue to experience incidents that may result in death, injury, and damage that may produce substantial consequences. In addition, there could be considerable damage to the infrastructure and/or the environment. Operational priorities will reflect the following:
 - Life, safety, and health;
 - Property protection;
 - Environmental protection;
 - Restoration of essential utilities;
 - Restoration of essential program function; and,
 - Coordination among appropriate stakeholders.
8. The State will continue to experience incidents that may necessitate the evacuation and sheltering of the public at risk.
9. In accordance with Article 2-B, county governments have developed, maintained, and implemented comprehensive emergency management plans that coordinate their response activities within their borders and ensure that all local resources are fully committed before requesting assistance from the State.
10. Although this plan outlines procedures for coordinating the provision of supplemental State and federal assistance, it is essential for all levels of government to be prepared to carry out incident response and short-term recovery actions until additional assistance is available.

11. The need for resources and assistance may include the local, State, and/or federal governments and agencies strategically working together to coordinate preparedness, response, and/or recovery efforts.
12. State activities may vary based on the existence of a Governor's Declaration of a State Disaster Emergency and a request for federal disaster assistance.
13. State agencies may need to respond on short notice to provide effective and timely assistance to local government.
14. State employees, their families, or their personal property may be impacted by the emergency. This may make them unavailable to conduct initial response operations or sustain operations on behalf of the State in the impacted area(s).
15. Based on the response discipline and the respective statutory authorities, some State agencies may be fully engaged in the response at the local level prior to a State EOC activation or State Disaster Emergency declaration.
16. The Incident Command System (ICS) will be implemented in response to the emergency or disaster. ICS allows for flexibility in its application so that its structure can be modified to any particular situation.
17. The severity of problems resulting from an incident may depend on factors such as time of occurrence, severity of impact, existing weather conditions, area demographics, and the nature of building construction. Collateral events, such as infrastructure failure, may also increase the impact on the community, multiply property losses, and hinder the immediate response and short-term recovery efforts.
18. Depending on the size and type of incident, the State may have varying resources and capabilities available. Mutual aid agreements and compacts may need to be utilized to supplement response and short-term recovery capabilities.
19. It is expected that State-owned facilities and resources in an affected area may suffer widespread damage and destruction. This situation may severely limit or eliminate response capabilities of State agencies within the affected area.
20. Federal agency resources and expertise can be requested and will be coordinated to augment local and State efforts in relieving problems that are beyond the capabilities of both State and local governments.
21. Federal agencies may engage in a unilateral response and/or offer assistance under their statutory authority to affected areas in lieu of a presidential declaration. These activities may or may not be coordinated through the activation of the National Response Framework (NRF) or another statutory-based plan, such as the National Contingency Plan.

F. Concept of Operations

An emergency or disaster occurring in the state may originate at the local level and escalate to warrant a State response or, based on the size/complexity of the incident, may warrant an immediate State response. Moreover, while the concept of operations may have similar precursors, the initiation of State involvement may be distinctly different depending on how the event unfolds. Therefore, two potential concepts of operations are envisioned:

1. Incidents originating at the local level that exhaust local resources and lead to a State and/or possibly a federal response.
 - a) An incident occurs in the state. Local governments and emergency service organizations will continue their essential role as the first line of defense. On its own initiative, the State may mobilize and deploy State resources to an affected area to conduct State-led operations and missions through a State Regional Operations Center (ROC).
 - b) When an incident is beyond local capabilities, towns and cities will request help through their respective county government. Village governments will request assistance through their town government and, successively, county government. Counties and the City of New York will request State assistance directly through the State OEM.
 - c) Based on incident specifics and the requests for assistance, the Director of the State OEM will determine the level of State involvement needed. Depending on the nature of the request, some requests for assistance may be orchestrated through preexisting interagency protocols or statutory obligations.
 - d) If the incident or the request warrants an increase in the State response level, the State EOC will be activated. State OEM will assess the potential needs and demands of the incident and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified and agencies are notified to staff the State EOC using the ESF construct.
 - e) The State's response will be organized and coordinated under the confines of the National Incident Management System (NIMS) Incident Command System (ICS). As such, a variety of ICS-based components, capabilities, and structure will be considered and implemented, as appropriate. The coordinative structure put into place will be incident-based and will incorporate the response structure in the field into the overall State response.
 - f) If the incident or the request warrants a federal response, the State will request assistance from the federal government via the Department of Homeland Security/ Federal Emergency Management Agency (DHS/FEMA) through existing federal processes, federal contingency plans, or the President. State response activities will align State agencies and ESFs with the appropriate Federal ESF, Principal Federal Official (PFO), and Federal On-scene Coordinator(s) (FOOSC). The capability for the State to provide this interoperability will occur at the State EOC and any forward location being utilized to coordinate the local, State, and federal response.

- g) The incident command structure put into place for State response operations will be supportive of the transition from response operations into the short-term recovery phase of the incident. The organizational response structure will be demobilized based on the needs of the incident, as appropriate.
 - h) As warranted, the State will activate its Recovery Support Functions (RSFs) to begin coordinating State services and facilitate the transition to recovery.
 - i) The DHSES will coordinate disaster recovery efforts with the appropriate State RSFs, local, and federal officials.
2. An incident occurs in the state requiring an immediate State and/or possibly a federal response.
- a) An incident occurs in the state that immediately overwhelms local government and/or warrants an immediate State response.
 - b) Some State agencies, by nature of their enabling legislation, may become involved in the incident at a local level. State agency representatives will likely assimilate into the local response organization, if any. Resource requests and situational information are communicated through existing agency protocols and chains of command.
 - c) On its own initiative, the State may mobilize and deploy State resources to an affected area to conduct State-led operations and missions through a State ROC.
 - d) Based on incident specifics and the requests for assistance, the Director of the State OEM will determine the level of State involvement needed. Depending on the nature of the request, some requests for assistance may be orchestrated through preexisting interagency protocols or tasked to the obligated agency.
 - e) If the incident or the request warrants an increase in the State response level, the State EOC will be activated. State OEM will assess the potential needs and demands of the incident and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified and agencies are notified to staff the State EOC using the ESF construct.
 - f) The State's response will be organized and coordinated under the confines of the NIMS ICS. As such, a variety of ICS-based components, capabilities and structure will be considered and implemented, as appropriate. The coordinative structure put into place will be incident-based and will incorporate the response structure in the field into the overall State response.
 - j) If the incident or the request warrants a federal response, the State will request assistance from DHS/FEMA through established protocols, federal contingency plans, or the President. State response activities will align State agencies and ESFs with the appropriate Federal ESF, PFO, and FOSC. The capability for the State to provide this interoperability will occur at the State EOC and any forward location being utilized to coordinate the local, State, and federal response.

- g) The incident command structure put into place for State response operations will be supportive of the transition from response operations into the short-term recovery phase of the incident. Structural response components and agencies will be demobilized based on the needs of the incident, as appropriate.
- h) As warranted, the State will activate its RSFs to begin coordinating State services and facilitate the transition to recovery.
- i) DHSES will coordinate disaster recovery efforts with the appropriate State RSFs, local, and federal officials.

G. Authorities and Policies

The authority to develop and implement this plan can be found in New York State Law, regulations, and federal authorities, including:

- New York State Constitution
- New York State Executive Law, Article 2-B (4/1/79), as amended
- NIMS Executive Order # 26 of 1996 and # 26.1 of 2006 as amended (NYS Adoption of the Incident Command System)
- Homeland Security Presidential Directive-5

H. Plan Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, this plan and any plan that falls under the auspices of the CEMP shall undergo an annual review, update, and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

New York State Comprehensive Emergency Management Plan

Volume 2

Response and Short-Term Recovery Plan

Section II: Preparedness

II. Preparedness

A. All-Hazard Planning and Mitigation Planning

Volume 1 of the State CEMP is the *State Multi-Hazard Mitigation Plan*. New York State participates in federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the state. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The *State Multi-Hazard Mitigation Plan* was approved by DHS/FEMA in December 2018.

Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the state. However, mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the state. In addition, the State has developed numerous hazard-specific annexes that take an in-depth look at some of the State's highest rated hazards. A list of State hazard-specific annexes can be found in Attachment 1: *Listing of State Hazard-Specific, Functional and Support Annexes to the State Comprehensive Emergency Management Plan (CEMP)*.

Volume 3 of the State CEMP is the Long-Term Recovery Plan. Volume 3 includes the mechanisms for utilizing long-term recovery components, including mitigation, which is provided for under the Robert T. Stafford Disaster Relief and Emergency Assistance Act. Volume 3 sets the foundation for the State's RSFs designed to effectively interoperate with federal disaster recovery components as identified in the National Disaster Recovery Framework (NDRF). Volume 3 also recognizes the primacy of local governments in the implementation of long-term recovery plans and, depending on the nature and impact of the disaster, new programs that might be available to achieve full recovery.

B. Capability Assessment, Resources Lists, and Typing

A variety of concepts are used to understand the various risks and associated threats and hazards facing the State. Given some of the limitations and challenges associated with the federal doctrine and processes, New York State has developed additional programs and methodologies to better understand risk.

Threat Hazard Identification Risk Assessment (THIRA)

A variety of mechanisms are used to understand the various risks, associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of the ESF Annexes created under the State CEMP. The State Preparedness Report (SPR) is a self-assessment of a jurisdiction's current capability levels against the targets identified in the THIRA.

As part of the THIRA process, the State reviewed the criteria from the Federal Core Capabilities that were promulgated under Presidential Policy Directive (PPD-8). In the assessment, the State recognized that the Federal capabilities were not intuitive and an improper fit for the State's goals, missions, and objectives. Subsequently, through a standing workgroup, the State created its own list of Critical Capabilities which are linked to the Federal Core Capabilities. This modification provided the State with a better understanding and granularity in assessing, managing, and improving its capabilities.

County Emergency Preparedness Assessment (CEPA)

CEPA is a framework and tool to help State and local stakeholders assess risk, capabilities, and the potential need for support and resources during emergencies or disasters. CEPA provides for a standardized and repeatable process to understand capabilities at the county level and identify statewide trends. CEPA provides insight into preparedness and response capabilities applicable to a broad range of risks. All counties update their CEPAs every three years.

The State has assessed the Critical Capabilities using the CEPA program noted above. The assessment involves an examination of planning, organization, equipment, training, and exercises (POETE) for each of the Critical Capabilities across a broad range of credible, worst-case events that could occur in the state. The assessment provides the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. The State has also examined the degree to which the State has both the ability and capacity to support the Critical Capabilities.

Core Critical Capabilities

The State's list of capabilities is linked from the THIRA/SPR to the ESF annexes under this plan. In addition, the functional annexes to this document include a general overview of the State's resources available to apply to a variety of hazards. Additional resource lists are typically housed in agency-specific documents or hazard-specific and functional annexes, both of which are beyond the scope of this plan. In addition, the State has initiated resource typing consistent with the NIMS resource management component. The typing continues to be incorporated into State plans, policies, and procedures as appropriate, as it evolves.

C. Tests, Training, and Exercising

The State of New York sponsors and conducts a variety of training to improve response capability. This includes varying levels of training in the NIMS curriculum. The State also develops and delivers a wide variety of specialized training, including training to meet federal program and grant requirements. Additionally, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline. For example, DHSES has formed a multi-agency NIMS Working Group to expand upon NIMS training and resource typing.

The State utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several State-level plans or annexes. These exercises provide valuable input into plan development and help to ensure that the plan is effective in its scope and application. In addition, while some of these exercises are often linked to a specific grant requirement, other exercises are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises and is a threat-and performance-based exercise program that includes a cycle, mix, and range of exercise activities of varying degrees of complexity and interaction. HSEEP is also a program of financial and direct support designed to assist State and local governments with the development and implementation of a State exercise and evaluation program to assess and enhance domestic preparedness. The State of New York is instituting the HSEEP into a host of activities that involve an emergency activation of the State EOC.

D. After-Action Reports (AARs) and Corrective Action Programs (CAPs)

Following an exercise or an actual event, an After-Action Report (AAR) should be completed by all staff involved in the event. The information gathered in the AAR will provide insight into future refinement of the plans encompassed by the CEMP. AARs will be completed as soon as possible following any relevant exercise and will be facilitated by the State OEM for plan updates, ideally at the end of the exercise. The AAR should be completed as soon as possible following the of deactivation of the State EOC and provided to the State OEM, ideally within one to two weeks. DPC agencies will support all exercises and AARs.

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Section III: Response

III. Response

A. Alert, Notification, and Plan Activation

The response to an incident may be adequate using only local resources or it may be one that necessitates or warrants a State response. As such, State involvement may be initiated in a variety of ways as various mechanisms are in place to serve as conduits to the request, acquisition, and deployment of State assistance and resources.

Several State agencies continuously operate their own warning points, operational centers, dispatch centers, and/or reporting systems that field requests for State assistance in addition to the daily operating needs. Pursuant to Federal, State, Executive, and Agency-specific protocols, these systems are routinely used for notifications of significant or reportable events and/or make emergency notifications to State personnel. These systems can also be used to receive and/or make additional alerts or notifications, the decisions of which are made by State Executives or the State OEM Duty Officer as per State and/or agency protocols. Included among these is the New York State Watch Center (SWC). State assistance is often provided through these reception points which become more centralized under an overall State response upon activation of the State EOC.

State OEM will assess the potential needs and demands of the incident and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating the ESFs. Not all incidents are the same and not all activations of the ESFs will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support ESFs may vary from incident to incident.

Once the determination has been made to activate the State EOC, the appropriate ESF agencies will be identified and requested to send a representative to the State EOC. Depending on the situation, agencies may need to send additional representatives to support multiple ESFs. In spontaneous events, agencies will be notified via the State OEM Notification System, as appropriate. In preplanned events, the agencies would be summoned via electronic or hardcopy correspondence. A Multi-Agency Coordination (MAC) group conference call would be conducted prior to, or in response to, a large-scale event and activation of the State EOC.

B. State Response Activation

The State EOC maintains several activation levels based upon event severity and the overall level or volume of State response operations. These levels are indicative of the response to a specific hazard or threat and include a host of operational functions and mechanisms. Those functions may be broad in scope, or may be narrow, such as providing assistance in logistics management and support.

The State EOC has four levels of activation that are preceded by day-to-day, steady state operations. During steady state operations, State OEM maintains the State EOC in a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency via the SWC.

Level 4 – Enhanced Monitoring: The focus is on State OEM-based actions and reporting. The event warrants extra attention, enhanced monitoring, and/or external communication. State OEM staff may request information or coordination from agencies external (remote) to the State EOC.

- State EOC Command and General Staff, ESF #5 Planning, ESF #7 Logistics, and ESF #15 External Affairs.
- State OEM Regional Staff may be mobilized or deployed.
- The State Incident Management Team (IMT) may be deployed, as needed.
- Agencies may be requested to provide situational status updates remotely.
- Operational coordination may occur with agencies external to the State EOC.
- Depending on the type/scope of incident, DHSES Individual Assistance (IA) and/or DHSES Public Assistance (PA) may have a representative in the State EOC to assist with the transition from Response to Short-Term and Long-Term Recovery.

Level 3 – Partial Activation: A situation that warrants the activation of multiple ESF Coordinators and select member agencies. Additional agencies will be determined at the time of the event, as conditions warrant.

- State EOC Command and General Staff, ESF #5 Planning, ESF #7 Logistics, and ESF #15 External Affairs plus two or more ESFs.
- State OEM Regional Staff may be mobilized or deployed.
- The State IMT may be deployed, as needed.
- Agencies may be requested to provide situational status updates remotely.
- Operational coordination may occur with agencies external to the State EOC.

- Depending on the type/scope of incident, DHSES-IA and/or DHSES-PA may have a representative in the State EOC to assist with the transition from Response to Short-Term and Long-Term Recovery.
- At this point, a MAC group meeting may be convened to discuss the implications of the potential event. The MAC representation will initially include members from agencies as warranted by the hazard.
- If warranted, the Director of State OEM or designee (i.e., Operations Section Chief, EOC Manager) and the activated ESF coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response.

Level 2 – Full Activation: A situation that warrants the activation of ESFs and most/all member agencies.

- This level may include most or all the ESFs and member agencies.
- The Director of State OEM or designee (i.e., Operations Section Chief, EOC Manager) and the activated ESF coordinators will jointly identify which agencies within the ESFs that are required to support the activation level and the current response.
- Agency Department Operations Centers (ADOCs) are likely to activate at this point.
- State OEM Regional Staff will be mobilized or deployed.
- The State IMT may be deployed, as needed.
- At this point, MAC group will be activated to define the executive policies in the State’s response and create overarching strategies that provide general direction for participating agencies and entities.
- The State will consider establishing a Joint Information Center (JIC) under ESF #15 to begin developing and disseminating critical public messaging and advisories based on the situation.

Level 1 – Full State/Federal Response: A situation that warrants the activation of all State ESFs and most/all member agencies, with a Federal Command/General Staff presence and Federal ESFs accounted for in the State EOC.

- The activities of the State ESFs will be integrated with those of their Federal ESF counterparts.
- The Director of State OEM or designee (i.e., Operations Section Chief, EOC Manager) and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response.
- State OEM Regional Staff will remain mobilized or deployed.

- The State IMT may be deployed, as needed.
- State ESF Coordinators will interface and coordinate with the corresponding Federal ESF lead agencies.
- The State will designate a State Coordinating Officer (SCO) to work in unison with the Federal Coordinating Officer (FCO), as identified. The SCO and FCO will be in position at the State EOC until a Joint Field Office (JFO) is established.
- If not activated at the previous response level (Level 2), the State will establish a JIC under ESF #15 to begin developing and disseminating critical public messaging and advisories based on the situation.

The alignment of EOC activation level and the corresponding ICS function and capability can be found in Attachment 2, *State EOC Activation Level Matrix*.

C. Warning and Emergency Information

Article 2-B states that local governments are responsible for providing public warning to their populations. While this capability is realized at the local level, the State can and will support the dissemination of emergency information, as needed, in support of local government. If needed, the State will establish a JIC which will serve as the sole source of official public information regarding all incident activities (federal, State, local). The Joint Information System (JIS) will provide a forum for the coordinated release of all information. JIC operations will be coordinated as stated in the Public Information Annex to the State CEMP.

When implementing a public warning system, the aim is to reach everyone in the whole community. Effective public warnings or alerting may require the use of multiple alerting systems in order to reach the greatest amount of people, including the general population, and at-risk and vulnerable populations. Federal, State, local, territorial, and tribal agencies in NYS have the opportunity to obtain Integrating Public Alert and Warning System (IPAWS) alerting authority. IPAWS is internet based and key to issue an EAS, WEA, or NOAA radio alert.

Local governments in New York also continue to operate locally controlled public warning systems. Local public warning methods may include a mass notification system, a landline telephone notification system, or a mobile app-based notification system. Most of the counties in New York State have adopted NY-Alert and IPAWS as a backup to their general population alert and warning system. The full details of this program, its design, and rules of use are beyond the scope of this plan.

The State has recognized that in some cases, a hazard may impact local government's capability to initiate its alert and warning system. To compensate, State OEM has developed procedures to support the remote activation of NY-Alert and IPAWS at the request of an authorized user when they are unable to do so. State and federal partners may assist local governments if an emergency is widespread, beyond its capabilities, or if backup, coordination, and/or redundancy is needed.

D. Direction and Control of the Response Organization

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the NIMS ICS as required by NIMS Executive Order 26.1 of 2006 and HSPD-5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and federal response organizations.

The following is a description of the major components of the State's response organization. The operational plan for each individual ICS Section can be found in the State EOC operational and ESF checklists, as amended.

Governor's Director of Emergency Management

The Governor's Director of Emergency Management is responsible for agency coordination in the event of emergencies and reports to the Governor and Secretary of the Governor. Any information about serious emergencies or potentially serious emergencies should be communicated directly to the Governor's Director of Emergency Management, from pertinent agency leadership and the DHSES Commissioner or the Director of State OEM.

State Coordinating Officer (SCO)

After a Presidential declaration of an emergency or major disaster, the Governor shall designate the SCO to coordinate State and local disaster assistance efforts with those of the federal government (44 CFR § 206.41). The SCO has the overall responsibility for the coordination of State resources and federal assistance in support of the State and local response to the incident. Typically, the Commissioner of DHSES or the Director of State OEM is designated as the SCO, however, the Governor may designate another individual based on the type of incident.

Command and Multi-Agency Coordination / Executive Policy Group

Unified State response and short-term recovery activities will be coordinated through the State EOC. In smaller incidents, such as those that warrant a Level 4 activation, the State's response will be coordinated by State OEM, on behalf of the Chairman of the DPC or by a State agency in those events where responses are discipline-specific to the agency. This authority may be delegated to others utilizing ICS principles. In larger incidents, the State may utilize a Unified Command structure to manage the State's response. Agency representation in a Unified Command will be based on the hazard and the impact on the state. Further, for incidents warranting a Level 3, Level 2, or Level 1 response, the State will bring together a MAC group to define the executive policies in coordinating the State's response.

The MAC group will be comprised of executive-level agency representatives of the State DPC or individuals who have been delegated the authority to speak on behalf of their agency. The MAC group will serve as a policy-making authority in the State's response and will provide the executive direction in the following:

- Developing incident goals;

- Prioritizing incidents;
- Ensuring agency resource situation status is current;
- Determining specific incident and agency resource requirements;
- Allocating resources to incidents based on priorities;
- Resolving issues of agency overlap;
- Anticipating future agency/regional resource needs;
- Communicating MAC direction back to agencies/incidents; and,
- Providing necessary liaisons with other coordinating facilities and agencies, as appropriate.

The agencies that will be represented in the MAC group will be based on the type of incident and the statutory obligations of the agencies involved. As such, individuals designated to serve on the MAC group should have in-depth agency-specific knowledge, experience in technical and/or content areas, possess the authority to make agency decisions, and have direct access to top department or agency executives. Additional agencies may be added to the MAC group, as needed.

The Executive Policy Group includes the Governor, members of the Executive Chamber, and key State agency executives that may be deployed to the impacted region(s) to communicate with regional State representatives and local elected officials. This group brings together State leadership in a combined effort to better assess local needs, and to expedite State response activities during an incident. Overall, its purpose is to ensure that State agencies respond expeditiously to operational assignments, and to ensure that the State EOC has a complete picture of agency activities and resource deployments.

MAC policies and strategies will be disseminated by State OEM Executive staff and the State EOC manager to the response organization via briefings, action plans, electronic media, or other means as appropriate. Activities and tactics conducted in support of MAC will be coordinated through the activated ESFs, agency representatives, and to forward locations (i.e., ICP - Incident Command Post) where State agencies are operating.

Agency Intergovernmental Affairs Representatives

The Governor's Office has established Regional Representatives in the field that are actively engaged in day-to-day emergency preparedness issues. These representatives work in coordination with DHSES Regional Staff members and elected officials at the county and local level.

During an incident, the Governor's Regional Representatives will work closely with local elected officials in the impacted area(s) to address local needs and concerns in regard to the State response. The Governor's Regional Representatives provide communication and coordination to an Intergovernmental Affairs staff member at the State EOC.

The Intergovernmental Affairs Liaison Function serves as the focal point to address State and local issues and concerns from local elected leaders. The Intergovernmental Affairs Liaison maintains close communication and coordination with the Executive Chamber to address such

issues and coordinates with the State OEM Executive to respond to incident needs, as appropriate.

Command Staff Positions

- Safety

A Safety Officer may be appointed to assess hazardous and unsafe conditions associated with the operation of the State EOC. This position will likely be staffed in the State EOC for Level 2 or Level 1 activations. While this position may be staffed by a small number of individuals, DPC agencies may be called upon to provide technical expertise in a specific subject to support the Safety Officer. The Safety Officer of the State EOC has no responsibility for the field activities. The identification and use of a Safety Officer in the field will be at the discretion of the command structure in place at the ICP.

- Legal

A Legal Officer may be appointed in the command element to address any potential legal issues associated with the response and short-term recovery. This position will be staffed at the Level 2 or Level 1 activation level, or other levels, as warranted. Further, this individual will work in unison with the ICS structure in place, primarily in support of the MAC, if established. The Legal Officer will coordinate and address legal issues that may arise with counsel from other State agencies, as appropriate.

- Public Information / Joint Information Center

A JIC may be established in conjunction with other State agencies through the activities of ESF #15 and in coordination with the Governor's Communications Office (Press Office). The JIC will serve as the sole source of official information regarding all incident activities (federal, State, local). The JIC will provide a forum for the coordinated release of all information. Public Affairs staff from DPC agencies will be utilized to support the JIC, as appropriate. JIC operations will be coordinated as outlined in the Public Information Annex to the State CEMP.

General Staff Operations and Emergency Support Functions

State response operations will be coordinated from the State EOC located in the Public Security Building #22 on the Harriman State Office Campus in Albany. When activated, the State EOC's coordinative functions are managed by the State OEM. Should the State EOC become unusable, operations may relocate to an alternate State EOC located at the Hudson Valley Transportation Management Center in Hawthorne. The State also possesses regional offices and several other identified sites that can be used as alternate EOCs. The decision to activate an alternate EOC will be based on the situation at that time. State operations may be organized using any and all components of ICS to effectively manage the State's response.

- Operations

For Steady State Operations and Level 4 Activations: The State EOC Manager is responsible for the resource requests moving through ESF #7 and the coordination with field activities. The State

OEM Duty Officer may be made aware of these missions through the SWC or reporting by other State agency liaisons.

For Level 3, 2, and Level 1 Activations: Response activities will be coordinated by the State EOC Manager and Operations Section Chief through the State's ESFs. Branch Directors may be activated to provide coordination for mission/resource support.

It is highly likely that during Level 2 or Level 1 activations, the State may utilize field coordinators or ROCs to facilitate on-scene incident management activities. In such cases, the State EOC will serve in a supportive role to activated field components as qualified field coordinators will control State field operations.

- Information and Planning (ESF #5)

At the State level, coordinating and managing the delivery of information and planning during an active emergency falls upon the agencies that comprise the DPC. The main objective for ESF #5 is to minimize the impact on communities by managing and providing timely, reliable, and accurate situational information aimed at informing decision makers and field-level responders.

ESF #5 will be required to maintain continuous data and information collection and analysis to have accurate and up to date situational awareness. ESF #5 gathers information for the specific purpose of planning, decision-making, developing incident reports, and incident action planning. Activities encompassed within the scope of ESF #5 include:

- Serve as a focal point for the receipt and distribution of incident information.
- Coordinate with regional local, tribal, and private sector operations centers and emergency management organizations to facilitate the flow of situational information.
- Collect, process, analyze, and distribute critical information that guides response and short-term recovery activities.
- Through scientific and approved/official sources, provide characterization of storm severity, impacts, forward speed, and cascading effects.
- Make estimates and predictions on chemical, radiological, or toxicological exposures.
- Collect and summarize damage assessment data and track local response activities, emergency declarations, and impacts.
- Coordinate incident planning in the State EOC including development of information products such as briefings, status board, reports, and legacy files and records.

In accomplishing its mission, ESF #5 will work closely with other State ESFs and credible sources to provide situational status updates to guide incident action planning activities by the State EOC Command Staff and the MAC group. In larger events, multiple agencies may be called upon to support the section in varying capacities. As such, additional agencies may be requested to support reporting requirements and/or serve as agency-specific technical specialists (i.e., fire behavior, environmental) to support ESF #5. Lastly, ESF #5 has the primary responsibility to coordinate the production and distribution of the Leader's Intelligence Report (LIR) with the activated ESFs and ADOCs, as appropriate.

- Logistics (ESF #7)

At the State level, logistics is organized under the mission of ESF #7. Responsibilities of ESF #7 may include efforts such as donations management, locating, procuring, and issuing resources (i.e. supplies, office space, office equipment, fuel, contracting services, personnel, heavy equipment, and generators), and providing direct and active support for emergency response and recovery efforts during the initial response and following the disaster. Maintaining records and systems that track the available and committed resources involved in disaster response will be accomplished by ESF #7. It will also monitor costs and vendor research associated with the disaster response including costs of purchasing or contracting goods and services, transportation, and above normal staffing and lodging.

ESF #7 will work in close coordination with the Finance Unit for acquiring resources through emergency purchases or contracts. Large logistical operations, including mobilization center(s) and distribution site operations will be managed as identified in the Logistics Annex to the State CEMP.

- Finance Unit

The Finance Unit will serve as the official source in reviewing and authorizing emergency purchases and contracts with other parties, including the private sector and federal officials. The Finance Unit will serve as the oversight in documenting response-related costs that have been incurred as a direct result of the emergency or disaster.

Area Command/Regional Operations Centers (ROC)

In the event where multiple incidents are occurring, the State may establish an Area Command or ROCs to coordinate State response and short-term recovery activities. In coordination with the goals and objectives established by the MAC group, the State Area Command/ROC will coordinate the development of individual incident objectives and strategies in support of the local response, as well as establish priorities and allocate critical State resources in the region where local response is being supported by that Area Command/ROC.

New York State's risk profile includes the potential for incidents to surpass municipal or county borders, resulting in a larger regional incident. In catastrophic instances, the impact upon one or more local or county governments may be of such magnitude that they choose to delegate incident management to another authority. In such an instance, the State may establish an Area Command which provides coordination and incident management for all resources operating within the affected region.

State Incident Management Team (IMT)

The State IMT is coordinated by the State OEM and is comprised of personnel from various State, county, and local entities that are trained and experienced in Type II All-Hazard Incident Management. The State IMT is a State resource under the DPC that is designed to assist emergency management and incident command personnel in ensuring a prompt, efficient, and organized response to emergencies and disasters by providing a team of personnel who are highly trained in advising on the implementation of ICS or in establishing and implementing ICS.

The capabilities of the State IMT enable it to have the training, background, and experience to be flexible enough to effectively function in many situations, including a field assignment at an ICP or at local, county, or State EOC. Team members have significant experience in both ICPs and EOCs for large incidents and disasters. Given this flexibility, the State IMT is capable of providing assistance to an impacted local and/or county government while providing the coordination and interface with national IMTs and the State EOC, as required. In addition, the State may utilize the capabilities of other state IMTs via the Emergency Management Assistance Compact (EMAC).

Local Emergency Operations Center (EOCs)

As needed, local EOCs will be activated by the county emergency manager and/or the chief elected official of that jurisdiction. State agency staff can be utilized to support an activated EOC via working through their respective regional offices or assigned to that EOC through the command structure in place at the State level. Many State DPC agencies utilize regional offices, and provide support to local EOCs, as appropriate. In most cases, DPC regional staff will serve as a conduit for requests and coordination between the State and local levels during an emergency. In large events, regional staff may fall back and support the IMT, if deployed, or may support an Area Command/ROCs.

Agency Departmental Operations Centers (ADOCs)

State agencies incorporate the use of ADOCs to assist in coordinating resources in support of State response activities. The ADOCs are agency-specific centers that serve as the focal point for a State agency to respond to agency-specific resource requests. They directly control the resources that fall under the purview of that agency. The ADOCs include their own agency-specific ICS structure to manage their supplies, equipment, personnel, and situational information in support of the overall incident management structure.

E. Resource Management

Any request that is submitted into the State EOC will first be entered into the NYS Incident Management Software System New York Responds (NYR). New York State currently uses NYR to submit and share vital disaster-related information with local governments and State agencies. NYR tracks incident reports and resource requests with real-time tracking of assets.

The State EOC Manager, Deputy EOC Manager, or Mission Assignment Specialist must then approve or deny with justification the request that has been submitted. If it is determined that the request will be denied, then the requester will be notified. In some instances, additional information may be needed for the request.

If the request is approved, then the request will be assigned to the Operations Section Chief (OSC) or ESF #7 Logistics. Once the request is assigned to the Operations Section Chief, the request is passed onto the appropriate Branch Director and ESF for completion.

If the resource request is actionable by the ESF, then the ESF will carry out the mission and provide coordination within the area of operation. If some or all elements of the mission are not actionable by the ESF, then the OSC will provide coordination across the Branch Directors and other ESFs, including ESF #7 Logistics. If none of the mission or resource request elements are

actionable by any State ESFs, then ESF #7 will coordinate with FEMA, EMAC, or consider other procurement options as necessary to satisfy the mission.

A chart delineating the State EOC mission flow process can be found in *Attachment 3: NYS EOC Mission Flow Chart*.

Operations Section

The Operations Section is responsible for all tactical incident operations and implementation of operational plans applicable to the incident. The State ESFs are located under the Operations Section in the State EOC.

- Operations Section Chief

The Operations Section Chief (OSC) reports to the State EOC Manager and is responsible for the management of all operations directly applicable to the incident. The OSC directs the preparation of operational plans, requests, and releases resources from ESFs, monitors the operational progress of each ESF, and makes actionable changes, as warranted. The OSC will coordinate requests for assistance with ESFs for resource assignment and asset deployment.

The OSC will evaluate and monitor operations and adjust, as needed. The OSC is responsible for communicating and maintaining tactical and ESF situational awareness of both the State EOC and field operations. The OSC coordinates and consults with the Planning Section Chief, Safety Officer, Logistics Section Chief, ESF Coordinating Agencies, and technical specialists on implementation of appropriate strategies and selection of tactics to accomplish incident objectives.

- Operational Branches and Branch Directors

The Branch Director, when activated, is under the direction of the OSC and is responsible for the functional branch they are assigned. The Branch Directors will supervise branch operations and are responsible for coordinating the ESFs within one of the three operational branches they are assigned to. The Branch Director is responsible for resolving any issues or logistical problems reported by the ESFs, report to the OSC on branch operations, and provide the OSC with alternate tactics/operations identified by the ESFs to accomplish incident objectives.

- Infrastructure Branch:
 - ESF #1 Transportation;
 - ESF #2 Communications;
 - ESF #3 Public Works and Engineering; and,
 - ESF #12 Energy.
- Public Safety Branch:
 - ESF #4 Firefighting;
 - ESF #9 Search and Rescue;
 - ESF #10 Oil and Hazardous Materials Response; and,
 - ESF #13 Public Safety and Security.

- Health and Human Services Branch:
 - ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services;
 - ESF #8 Public Health and Medical Services; and,
 - ESF #11 Agricultural and Natural Resources.

If conditions in the State EOC warrant the implementation of a Branch Director to maintain a manageable span of control, each ESF will be required to coordinate its operations under the direction of the appropriate Branch Director.

- ESF Coordinating Agency and Member Agencies

The ESF Coordinating Agency reports to the OSC or the appropriate Branch Director, when activated. The ESF Coordinating Agency is responsible for the overall coordination and management of the ESF. The ESF Coordinating Agency reports work progress, resource status, and other important information to the OSC or Branch Director, when activated.

The ESF Member Agencies report to the ESF Coordinating Agency. The ESF Member Agencies are responsible for working collaboratively with the Coordinating Agency and provide support in all tasks, missions, and assignments to accomplishment of incident objectives. Member Agencies report work progress, resource status, and other important information to the ESF Coordinating Agency.

F. Roles and Responsibilities

The Role of the Governor’s Director of Emergency Management

The Governor’s Director of Emergency Management is responsible for agency coordination in the event of emergencies and reports to the Governor and Secretary to the Governor. Any information about serious emergencies or potentially serious emergencies should be communicated directly to the Governor’s Director of Emergency Management from pertinent agency leadership and the DHSES Commissioner or the Director of State OEM. The Governor’s Director of Emergency Management is responsible for making major decisions immediately prior to, during, and in the immediate aftermath of a serious emergency.

The Role of the Disaster Preparedness Commission

- Incidents for Which the Governor Declares a State Disaster Emergency

The DPC directs and coordinates the State's response and short-term recovery from incidents in New York State following the declaration of the State Disaster Emergency by the Governor. If a Presidential emergency or disaster declaration has been made, the SCO coordinates all State response and short-term recovery activities for the DPC.

- Incident Coordination in the Absence of a State Disaster Emergency Declaration

In the absence of a State Disaster Emergency Declaration, the Director of State OEM will ensure the establishment of a MAC group to facilitate the coordination of the State’s response and/or mobilization efforts using the organizational framework outlined in this Plan. The Director of State

OEM will direct the coordination of non-disaster incidents and/or pre- and early incident mobilizations for all incidents due to their complexity and/or involvement of multiple agencies or levels of government.

DPC agency representatives will participate in the State's response by coordinating the deployment of the resources of their agency. Under DPC agency representative direction, agencies will respond under the overall State response structure. This will include responsibilities during an activation in which individual agencies are represented or with the activation of the State ESFs.

State Emergency Support Functions (ESFs)

The State has created 14 ESFs to support preparedness, response, and recovery efforts within the state. The ESFs that are activated in support of the State response will collectively utilize the resources available to them pertinent to the operation in three key areas: Situational Awareness, Resource Management, and Strategic Planning.

ESF Coordinating Agencies will manage such actions within the group to effectively respond to the demands of the incident. ESF Coordinating Agencies will manage ESF actions based on overarching policies and authorities, statutory or otherwise, as outlined in each ESF Annex, any hazard-specific annex to the State CEMP, and those objectives established by the MAC group.

Activation of the ESFs is not automatic. As an incident expands in scope and/or magnitude and significant State resources are needed or anticipated, the State ESFs can be activated at the State EOC as part of the Operations Section, as needed. Each ESF is comprised of representatives from multiple State agencies, depending upon the scope of the ESF's responsibilities. Each ESF has protocols to guide their actions during an incident. The ESFs are:

- ESF #1 – Transportation

The mission of ESF #1 is to coordinate resource support and assistance for the State's transportation systems and infrastructure during an event of incident response, which includes all modes of transportation that may be impacted. Overall, ESF #1 is responsible for transportation response, information and planning, debris clearance, damage assessments, restoration of transportation infrastructure, and management of the Area Transportation Infrastructure Groups (ATIGs). The mission of ESF #1 also includes air operations support, which is managed by the Air Operations Group. The ESF #1 Coordinating Agency is the Department of Transportation (DOT).

- ESF #2 – Communications

The mission of ESF #2 is to coordinate the reestablishment of the critical communications infrastructure, facilitate the stabilization of systems and applications, and coordinate communications support to response efforts. Its role includes establishing emergency communications between public safety agencies at all levels of government. The ESF #2 Coordinating Agency is the DHSES Office of Interoperable and Emergency Communication (OIEC).

- ESF #3 – Public Works and Engineering

The mission of ESF #3 is to quickly and efficiently provide coordination, technical assistance, engineering expertise and debris and construction management to protect public works and critical infrastructure. The ESF #3 Coordinating Agency is the Department of Environmental Conservation (DEC).

- ESF #4 – Firefighting

The mission of ESF #4 is to coordinate effective response efforts in support of detection and suppression of wildland, urban fires, and wildland/urban interface fires. ESF #4 will support fire-based assets in response to Chemical, Biological, Chemical, Biological, Radiological, Nuclear, and high yield Explosives (CBRNE) events with ESF #10. The ESF #4 Coordinating Agency is the DHSES Office of Fire Prevention and Control (OFPC).

- ESF #5 – Information and Planning

The mission of ESF #5 is to facilitate and support multi-agency planning and coordination for incidents requiring activation of the State EOC. ESF #5 gathers information for the specific purpose of planning, decision-making, developing incident reports, and incident action planning. The ESF #5 Coordinating Agency is DHSES OEM.

- ESF #6 – Mass Care, Emergency Assistance, Housing and Human Services

The mission of ESF #6 is to support and facilitate coordination of Mass Care, Emergency Assistance, Housing, and Human Services throughout the state during response and short-term recovery of an incident. ESF #6 will coordinate these vital services to minimize impacts on affected populations. The ESF #6 Coordinating Agency is the DHSES-IA and DHSES OEM.

- ESF #7 – Logistics

The mission of ESF #7 is to direct and coordinate logistics for comprehensive incident management. Responsibilities of ESF #7 may include efforts such as donations management and locating, procuring, and issuing resources. ESF #7 will provide direct and active support for emergency response and recovery efforts during the initial response and following the disaster. The ESF #7 Coordinating Agency is DHSES OEM.

- ESF #8 – Public Health and Medical Services

The mission of ESF #8 is to coordinate response activities during a public health or medical emergency requiring activation of State EOC. ESF #8 will direct and oversee response to public health emergencies, emergency medical services operations, fatality management, and disease surveillance. The ESF #8 Coordinating Agency is the Department of Health (DOH).

- ESF #9 – Search and Rescue

The mission of ESF #9 is to manage and coordinate the activities associated with the deployment of search and rescue resources to provide specialized lifesaving assistance. The ESF #9 Coordinating Agency is the DHSES OFPC.

- ESF #10 – Oil and Hazardous Materials Response

The mission of ESF #10 is to coordinate support in response to an actual or potential discharge of oil and/or hazardous materials. ESF #10 will support CBRNE response and decontamination and coordination of storage, treatments, and disposal of hazardous materials, including contaminated debris. The ESF #10 Coordinating Agency is the DEC.

- ESF #11 – Agriculture and Natural Resources

The mission of ESF #11 is to coordinate functions designed to protect the State's food supply, plan for and respond to plant and animal pest and disease outbreaks, ensure the safety and well-being of agricultural animals, and support the protection of natural, historical, and cultural resources and properties. The ESF #11 Coordinating Agency is the Department of Agriculture and Markets (DAM).

- ESF #12 – Energy

The mission of ESF #12 is to facilitate the restoration of damaged energy systems and components. ESF #12 will be used to support the State's response during a disaster when there is a negative impact to any of New York State's energy supply including petroleum products, coal, electricity, and natural gas. The ESF #12 Coordinating Agency is the Department of Public Service (DPS).

- ESF #13 – Public Safety and Security

The mission of ESF #13 is the coordination of security services to protect citizens throughout New York State. ESF #13 will provide law enforcement augmentation, support traffic and access control points, and provide evacuation assistance. The ESF #13 Coordinating Agency is the Division of State Police (DSP).

- ESF #14 – Reserved for future use.

- ESF #15 – Externals Affairs

The mission of ESF #15 is to coordinate and distribute all State-level public information for an emergency or disaster situation, including the establishment and management of a JIC. The ESF #15 Coordinating Agency is the DHSES Public Information Office (PIO).

State Incident Management Team (IMT)

The State IMT is generally available to deploy throughout New York State within several hours of a request. The team, experienced in all ICS Command and General Staff functions, will arrive ready to provide support and assistance to the requesting jurisdiction. The requesting jurisdiction will retain ultimate authority through the duration of the incident while the IMT provides management assistance on its behalf. The requesting jurisdiction may choose to delegate responsibility for the management of the incident to the State IMT through a formal delegation of authority.

G. State/Federal Coordination

The State incident management system, as defined in this plan, will be utilized to identify and prioritize response objectives that are of concern to the State. The SCO will utilize the NIMS structure to identify, support, and/or integrate State on-scene and/or DPC Coordinators with the local incident management system Unified Command. This will assist with the coordination necessary to accomplish State objectives with local, area, or regional Incident Management Systems.

The use of the NIMS response structure will assist with necessary strategic planning, incident specific organizational structure(s), and logistical, technical, financial, and operational support to accomplish identified objectives with local, area, and/or regional incident command systems. When necessary, prioritization and/or identification of State response objectives or resource allocations will be strategically coordinated by the SCO, MAC group(s), and/or supporting structures utilizing the NIMS framework as indicated in this plan.

Generally, federal resource support and assistance is not instantaneous. ESFs are the primary means through which the federal government provides assistance to the State and serve as the coordination mechanism to provide assistance to State, local, and tribal governments, or to federal departments and agencies conducting missions of primary federal responsibility. ESFs were first established in the Federal Response Plan and carried forward to the NRF as the mechanism to group federal capabilities and resources into the functions that are most likely needed during actual or potential incidents where a federal response is required (e.g., Transportation, Firefighting, Public Health, etc.).

Community Lifelines

Community lifelines emerged in the NRF (2019 version). Response efforts are ultimately aimed at stabilizing an impacted community, and the lifelines that support the affected population. Figure 2 below identifies the seven community lifelines: Safety and Security; Food, Water, Shelter; Health and Medical; Energy (Power & Fuel); Communications; Transportation; and Hazardous Material.



Figure 2: Community Lifelines - National Response Framework (2019)

The seven community lifelines represent only the most basic services a community relies on and which, when stable, enable all other activity within a community. The ongoing assessment of these lifelines help to reframe incident information to provide decision makers with root cause and impact analysis.

Emergency Support Function Construct

Response efforts from the State ESFs are linked to the State’s Critical (Core) Capabilities. The delivery of the Critical Capabilities helps to stabilize a community and support an effective response. When operating in New York State, Federal ESFs possess the same attribute and help to support the implementation of Core Capabilities. Together, this construct maximizes the effectiveness of federally supported, State managed, and locally executed response activities.

Each ESF is composed of primary and support agencies. The NRF identifies primary agencies based on authorities, resources, and capabilities. Support agencies are assigned based on resources and capabilities in each functional area. Additional discussion on roles and responsibilities of ESF coordinators, primary agencies, and support agencies can be found in the introduction to each of the ESF Annexes to the NRF.

Not all Incidents of National Significance result in the activation of ESFs. It is possible that an Incident of National Significance can be adequately addressed by DHS and other federal agencies through activation of certain NRF elements (i.e., Principal Federal Official) without the activation of ESFs. Similarly, operational security considerations may dictate that activation of NRF elements be kept to a minimum, particularly in the context of certain terrorism prevention activities. The federal response to actual or potential Incidents of National Significance will likely be provided through the partial or full activation of the ESF structure as necessary. The ESFs provide staffing for the National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), JFO, and ICP, as warranted.

Under the current State EOC response construct, the State ESFs will interoperate and coordinate directly with their Federal ESF partners. This allows for more efficient communication, managing resource requests, and reporting between New York State and the federal government during major events and disaster emergencies. The lines of coordination between the State ESFs and Federal ESFs will occur mostly during State EOC Level 1 activations.

Unified Coordination

To help deliver federal support or response capability at the incident level, coordinating structures are aligned to incident-level structures. In incidents warranting or necessitating a federal response, DHS/FEMA will establish a Unified Coordination Group (UCG) composed of

senior leaders representing State, tribal, territorial, insular area, and federal interests and, in certain circumstances, local jurisdictions, the private sector, and NGOs. Unified coordination is typically directed from a JFO and may be established at the State EOC prior to JFO activation. The composition of the UCG varies from incident to incident, depending on the scope and nature of the disaster. The UCG does not manage on-scene operations but supports on-scene response efforts and conducts broader support operations that may extend beyond the incident site.

Figure 3 shows an example of a unified coordination organization that might be employed in response to a major incident, such as a terrorist attack. It includes federal agencies that conduct on-scene, tactical-level activities based on statutory authority, that would work in conjunction with their counterpart local, State, tribal, territorial, and/or insular area government agencies, to manage the incident.

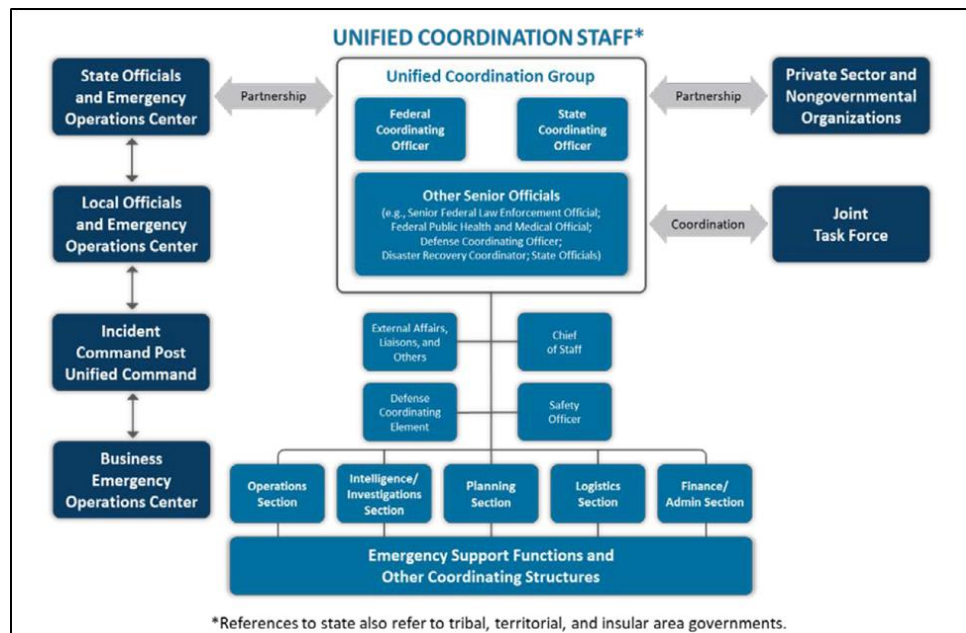


Figure 3: Example of State/Federal Unified Coordination Group - National Response Framework

ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents where federal departments or agencies request DHS assistance or under other circumstances as defined in HSPD-5. ESFs may also be activated by the ESF Coordinators. The ESF structure provides a modular structure to identify the precise components that can best address the requirements of the incident.

Federal Support Without a Stafford Act Declaration

Most incidents will not result in a federally declared disaster under the Stafford Act. Some incidents may occur that require a coordinated national response absent a declaration, including pre-landfall operations for hurricanes, or responses to oil/hazardous materials spills. In such cases, the President may designate, or the federal agencies involved may agree to recognize an agency to serve as the Lead Federal Agency (LFA) for the response. The LFA typically activates the response structures appropriate to its authorities and employs NIMS and the NRF to coordinate the federal response. Details regarding federal operations for non-Stafford incidents

are contained within the relevant statutes, policies, and plans. Federal ESFs may be activated and deployed to help manage any response in support of the LFA.

Federal Response with a Stafford Act Declaration

The Governor can request federal assistance under the Stafford Act, which authorizes the President to provide financial and other assistance to the State. While federal assistance under the Stafford Act may only be delivered after a declaration, FEMA may pre-deploy federal assets when a declaration is likely and imminent. The Stafford Act provides for two types of declarations:

- An emergency declaration is more limited in scope than a major disaster declaration, involves fewer federal programs, and is not normally associated with recovery programs. However, the President may issue an emergency declaration prior to an actual incident to lessen or avert the threat of a catastrophe. Generally, federal assistance and funding are provided to meet specific emergency needs or to help prevent a catastrophe from occurring.
- A major disaster declaration provides more federal programs for response and recovery than an emergency declaration. Unlike an emergency declaration, a major disaster declaration may only be issued after an incident.

New York State Comprehensive Emergency Management Plan

Volume 2

Response and Short-Term Recovery Plan

Section IV: Short-Term Recovery

IV. Short-Term Recovery

A. Overview

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

The scope of the State's involvement with disaster recovery activities will expand with the level of severity of the disaster. It is understood that a disaster that did not warrant a State or Federal Disaster Declaration could most likely be handled at the local level, using existing local and State programs and resources. As the scope of the disaster increases, and as the financial impact grows beyond the ability of local government to absorb within existing resources, the level of active participation by State and federal programs and personnel will increase.

A variety of forces may influence the direction of the recovery process. The State of New York will endeavor to assist local governments, businesses, and citizens in recovering from the impacts of any emergency, where possible. Hazard mitigation measures may be incorporated into recovery activities to lessen the impact of reoccurrence, or to eliminate the likelihood of a reoccurrence. Mitigation speeds recovery and is key to decreasing the time it takes to rebuild and recover after a disaster. Long-term hazard mitigation planning and projects enable communities and individuals to break the cycle of disaster damage, reconstruction, and repeated loss.

Emergency response operations include a variety of measures that are taken to protect public health and safety. As the incident begins to transition from the response phase to the recovery phase, the focus begins to shift to rebuilding a community and demobilizing State response activities and resources. The recovery process typically includes both short-term and long-term actions that can be taken to restore a community to pre-disaster state, or better. Short-term recovery activities include those actions that can be taken to restore essential services and sectors that are vital to a community. Long-term recovery actions include rebuilding and capital programming efforts while incorporating mitigation measures into the recovery process. The

following identifies the actions the State will take in managing short-term recovery efforts. Long-term recovery efforts can be found in Volume 3 of the State CEMP, *Long-Term Recovery Plan*.

B. Utilizing the Response Structure

Situational Information

The State's response organization will be instrumental in initiating the short-term recovery process. Situational assessment will assist emergency managers and decision makers with incident management decision-making utilized in the transition of response to short-term recovery phases. In addition to the reporting structures that will exist, a variety of data collection points can be utilized to begin collecting data for the recovery process. These collection points include information obtained via:

- The Situation Unit;
- The MAC group, if established;
- ESFs;
- Area Commands/ROCs or the IMT, if deployed;
- State OEM Regional Offices and other State agencies;
- DHS/FEMA Watch Center or fusion center;
- NYR; and,
- Media sources and outlets.

The information obtained from all the reporting mechanisms will be captured by the Situation Unit in the State EOC. A Disaster Recovery Specialist may be assigned to the Documentation Unit to begin collating the information for State programs and a potential Federal Disaster Declaration.

Agencies and Emergency Support Functions Activities

Executive Law §21(3)(g) requires the DPC to assist in the coordination of federal recovery efforts and to coordinate recovery assistance by State agencies and private entities. To assist in the recovery efforts, the DPC may assign responsibilities to State agencies that are above and beyond an agency's normal, day-to-day obligation. The delineation of these activities will be coordinated through the MAC group to the activated ESFs, agency liaisons, and departmental operations centers, as appropriate.

The Annexes developed by each of the ESFs identify short-term recovery measures that would be taken by their respective group. These include the following Operational Branches and their activities:

- Infrastructure Branch:
 - Conduct damage assessments to determine facility and infrastructure damages and status;
 - Provide technical advice and evaluation, engineering services, and contracting for construction management and inspection;
 - Contract for emergency repairs and provides real estate support to assist State agencies in meeting goals related to lifesaving and life-sustaining actions; and,

- Provide local governments with support and assistance with short-term recovery efforts.
- Public Safety Branch:
 - Provide resource support to local emergency services in establishing and maintaining a state of readiness consistent with generally accepted standards; and,
 - Support post-incident assessments, evaluations, and legal actions resulting from a hazardous chemicals release.
- Health and Human Services Branch:
 - Support a variety of public health-related functions including follow-up epidemiological surveillance, support for health and hospital network capabilities, and issuance of public health advisories on health issues that stem from the disaster;
 - Provide continuing support for mass care, emergency assistance, housing, and human services, as well as disaster mental health services and the collection of information for reporting victim status and assisting in family reunification; and,
 - Provide support for the operation of disaster assistance services centers and disaster recovery centers.

Key State agencies, which are represented in each ESF, have a variety of other capabilities and programs that can be administered to support both short-term and long-term recovery. These programs, as well as the appropriate State/Federal funding mechanisms, can be found in Volume 3 of the State CEMP, *Long-Term Recovery Plan*.

C. State Disaster Emergency

Whenever the Governor, on his/her own initiative or pursuant to a request from one or more chief executives, finds that a disaster has occurred or may be imminent for which local governments are unable to respond adequately, he/she shall declare a State Disaster Emergency by executive order.

Whenever the Governor shall find that a disaster is of such severity and magnitude that effective response is beyond the capabilities of the State and the affected jurisdictions, he/she shall make an appropriate request for federal assistance available under Federal law, and may make available out of any funds provided under the governmental emergency fund or such other funds as may be available, sufficient funds to provide the required State share of grants made under any federal program for meeting disaster related expenses including those available to individuals and families (NYS Executive Law § 28).

D. Federal Disaster Assistance

As part of the request for the declaration process, it is necessary to conduct a Preliminary Damage Assessment (PDA). A PDA typically consists of a combined team of local, State, and federal engineers inspecting the damaged facilities and infrastructure and developing an estimate of the cost required to restore the facilities to their pre-disaster condition. The

summation of all the individual projects' costs is then used by the State to demonstrate to DHS/FEMA that federal assistance is warranted. If it is determined during the PDA that some applicants have urgent funding needs regarding emergency work, then Immediate Needs Funding (INF) may be provided. Thus, when a major disaster is declared, DHS/FEMA may provide an applicant with up to 50% of the Federal share of the cost of such emergency work and pay those funds within 60 days after the disaster declaration. A PDA is a necessary part of the federal Presidential Major Disaster Declaration request. Many State agencies have the resources and capabilities to support the PDA process. The request and utilization of those resources will be coordinated through the State EOC and ESF #6, with DHSES-IA.

If a disaster escalates to the point of a Federal Disaster Declaration, there are a wide range of federal assistance programs which are made available to help affected municipalities, public and private organizations, and individuals recover from a disaster. The three main assistance programs, Individual Assistance (IA), Public Assistance (PA), and the Hazard Mitigation Grant Program (HMGP), are administered by the State, working with FEMA. The IA program is administered by the FEMA. IA Disaster Unemployment Assistance is administered by the State's Department of Labor. IA Disaster Case Management is administered by DHSES. Other key federal programs, which originate from various other federal agencies, are administered directly by the federal agencies or by their counterparts at the State level. There are also numerous federal regulations that support short-term recovery efforts regarding IA and PA. It is beyond the scope of this document to reference each program and each implementing regulation.

The primary federal mechanisms for PA are identified in Federal ESF #3 Public Works and Engineering. ESF #3 is structured to provide public works and engineering-related support for domestic incident management to include preparedness, prevention, response, recovery, and mitigation actions. Activities within the scope of this function include pre and post-incident assessments of public works and infrastructure, executing emergency contract support for life saving and life-sustaining services, providing technical assistance to include engineering expertise, construction management, contracting and real estate services, providing emergency repair of damaged infrastructure and critical facilities, and the implementation and management of the DHS/FEMA Public Assistance program and other recovery programs. Implementation and management of the DHS/FEMA Public Assistance program and other recovery programs between and among federal, State, and tribal officials, to include efforts to permanently repair, replace, or relocate damaged or destroyed public facilities and infrastructure, are coordinated as part of the long-term community recovery under the NDRF, which has superseded Federal ESF #14.

E. Governor's Authorized Representative

Following a Presidential Disaster Declaration, federal assistance will be provided in accordance with applicable laws, regulations, and the FEMA/State agreement. In this agreement, the Governor will designate a Governor's Authorized Representative (GAR) who shall administer federal disaster assistance programs on behalf of the State and local governments or other grant or loan recipient (44 CFR §206.41(d)). The GAR must be designated by the Governor; however, this role is typically filled by the DHSES Commissioner and/or Deputy Commissioner of Disaster Recovery Services.

F. Emergency Work and Protective Measures

Certain types of response and short-term recovery activities can be considered as emergency work and eligible for federal reimbursement. Emergency work can be either Category A, which is debris removal, or Category B, which involves emergency protective measures, such as sandbagging, erecting warning devices, and search and rescue. Emergency work should be completed within 6 months from the date of the disaster declaration.

Under Category A, for emergency debris removal to be eligible for reimbursement, it must eliminate an immediate threat to life, health, and safety, and/or eliminate an immediate threat to improved property and avert or lessen the threat of a major disaster.

Under Category B, the State can utilize a variety of emergency protective measures in responding to an emergency. To be eligible for reimbursement, emergency protective measures must eliminate or reduce an immediate threat to life, public health, or safety. It may also eliminate or reduce an immediate hazard that threatens significant damage to improved public or private property.

G. Demobilization of Response Operations

In most cases, the level of State response activities will have a correlative effect on the level of recovery-related activities. Often, the level of response activity serves as a barometer in determining where the State is in its response to the emergency. During the height of the response and the “emergency phase,” the State ESFs can expect to support a variety of resource requests and agencies will conduct tactical operations in support of the response organization. As response operations and requests for assistance begin to diminish, recovery efforts begin to be incorporated into operational periods, operational planning cycles, and tactical evolutions conducted in the field.

The collection of information on the status of State response activities will be captured by the Situation Unit. This information will be presented in the reporting process as part of the operational briefings to the agency liaisons, functional branches, the State EOC Manager, and the MAC group, if activated. These reporting processes will assist the Command Staff in deciding the State EOC activation level and agency participation needed to support the State’s response.

If the decision is made to begin demobilizing, the EOC Planning Section will incorporate the use of a Demobilization Unit, as needed, to develop a list of options in demobilizing the State EOC and forward positions that are staffed. The Demobilization Unit would be activated within ESF #5 to coordinate the release of incident resources to their home base or next assignment. Demobilization will be based on incident priorities, objectives, and the tactical needs of the incident. The Demobilization Unit is responsible for the development of the Demobilization Plan and assisting sections/units in ensuring that an orderly, safe, and cost-effective movement of personnel and equipment is accomplished. The Demobilization Unit will coordinate activities with the Command and General Staff, Section Coordinators, and the State ESFs. Once approved, the Demobilization Plan will be distributed to all State agency representatives, ESFs, and to ADOCs for implementation.

H. Activation of Recovery Support Functions

During a large-scale disaster, the State ESFs will activate and support the needs of the incident. As the State EOC activation ceases, and the JFO activates, the federal government will transition from ESFs to implement the RSFs. Although the RSF structure builds upon the ESF structure, RSFs are different from ESFs in that they have a different set of mission objectives, time spans, and skill sets.

As the State's response demobilizes, agencies will reposition to support the RSF structure. As outlined in each ESF Annex, the State has aligned the agencies that comprise each of the ESFs into a corresponding role within a State RSF. This alignment is consistent with the Federal RSF construct as warranted in the NDRF. NYS CEMP Volume 3 *Long-Term Recovery* sets the foundation for the State's RSFs to effectively interoperate with federal disaster recovery components as identified in the NDRF.

Attachment 1: Listing of State Hazard-Specific, Functional and Support Annexes to the State Comprehensive Emergency Management Plan (CEMP)

Hazard-Specific Annexes

- Coastal Storm Annex
- Drought Management Coordination Annex
- Emerging Infectious Diseases in Non-Human Populations Appendix
- Hazardous Materials Annex
- Pandemic Annex
- Radiological Emergency Preparedness Plan
- State Energy Emergency Annex (Maintained by NYSERDA)

Emergency Support Function (ESF) Annexes

- ESF #1 Transportation Annex
- ESF #2 Communications Annex
- ESF #3 Public Works and Engineering Annex
- ESF #4 Firefighting Annex
- ESF #5 Information and Planning Annex
- ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services Annex
- ESF #7 Logistics Annex
- ESF #8 Public Health and Medical Services Annex
- ESF #9 Search and Rescue Annex
- ESF #10 Oil and Hazardous Materials Response Annex
- ESF #11 Agriculture and Natural Resources Annex
- ESF #12 Energy Annex
- ESF #13 Public Safety and Security Annex
- ESF #15 External Affairs Annex

Functional (Support) Annexes

- Distribution and Inventory Management Annex
- Emergency Public Information Annex
- Logistics Annex
- Mass Care Appendix
- Fatality Management Annex
- Temporary Emergency Animal Sheltering Appendix
- Volunteer and Donations Management Appendix

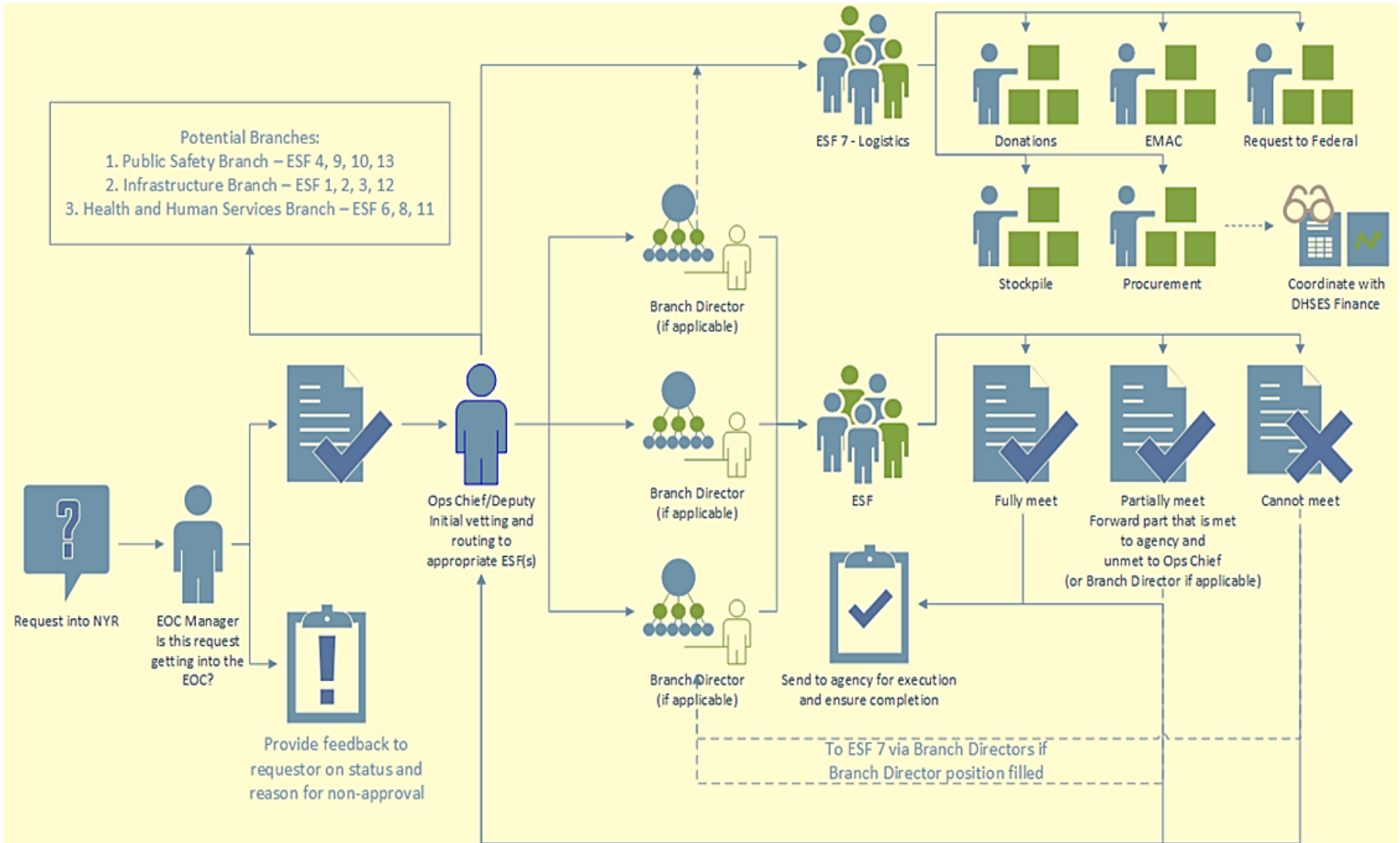
Attachment 2: State EOC Activation Level Matrix

State EOC Activation Level	Level of Response Activity	EOC Posture and Function	ICS Components / Coordination
<u>Steady-State – Continuous Monitoring</u>	<ul style="list-style-type: none"> Routine monitoring of the statewide situation by State agencies. 	<ul style="list-style-type: none"> State OEM maintains the State EOC in a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency. 	<ul style="list-style-type: none"> Day-to-day organizational structures within agencies.
<u>Level 4 – Enhanced Monitoring</u>	<ul style="list-style-type: none"> Focus is State OEM-based actions and reporting. State OEM staff may request information or coordination from agencies external (remote) to the State EOC. Specific agencies may be operating as part of their normal role and function. 	<ul style="list-style-type: none"> State OEM Staff only for enhanced monitoring. Agencies may be asked individually to support any remote operations or reporting from their home agency. 	<ul style="list-style-type: none"> Resource management through Logistics and agencies remotely. Situational Reporting will be done from the State EOC and other agencies may be requested to provide situational awareness remotely.
<u>Level 3 – Partial Activation</u>	<ul style="list-style-type: none"> A situation that warrants the activation of ESF Coordinators and select member agencies. Additional agencies determined at the time of the event as conditions warrant. This level may include the activation of ICS-based sections to provide situational reporting and prepare to increase the State’s response posture. 	<ul style="list-style-type: none"> This level may include the activation by one or more ESFs to respond to discipline-specific events; or to more closely monitor a developing situation or an incident with limited impact; or to prepare to or provide any necessary assistance as allowed by statutory authority. State OEM Regional Staff may mobilize or deploy. 	<ul style="list-style-type: none"> At this point, an <u>initial</u> Multi-Agency Coordination (MAC) group meeting may be convened to discuss the implications of the potential event. The MAC representation will initially include members from agencies as warranted by the hazard. Event-specific MAC representation can be found in each hazard-specific annex to this plan. If warranted, the Director of State OEM or designee (i.e., Operations Section Coordinator, EOC Manager) and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response.

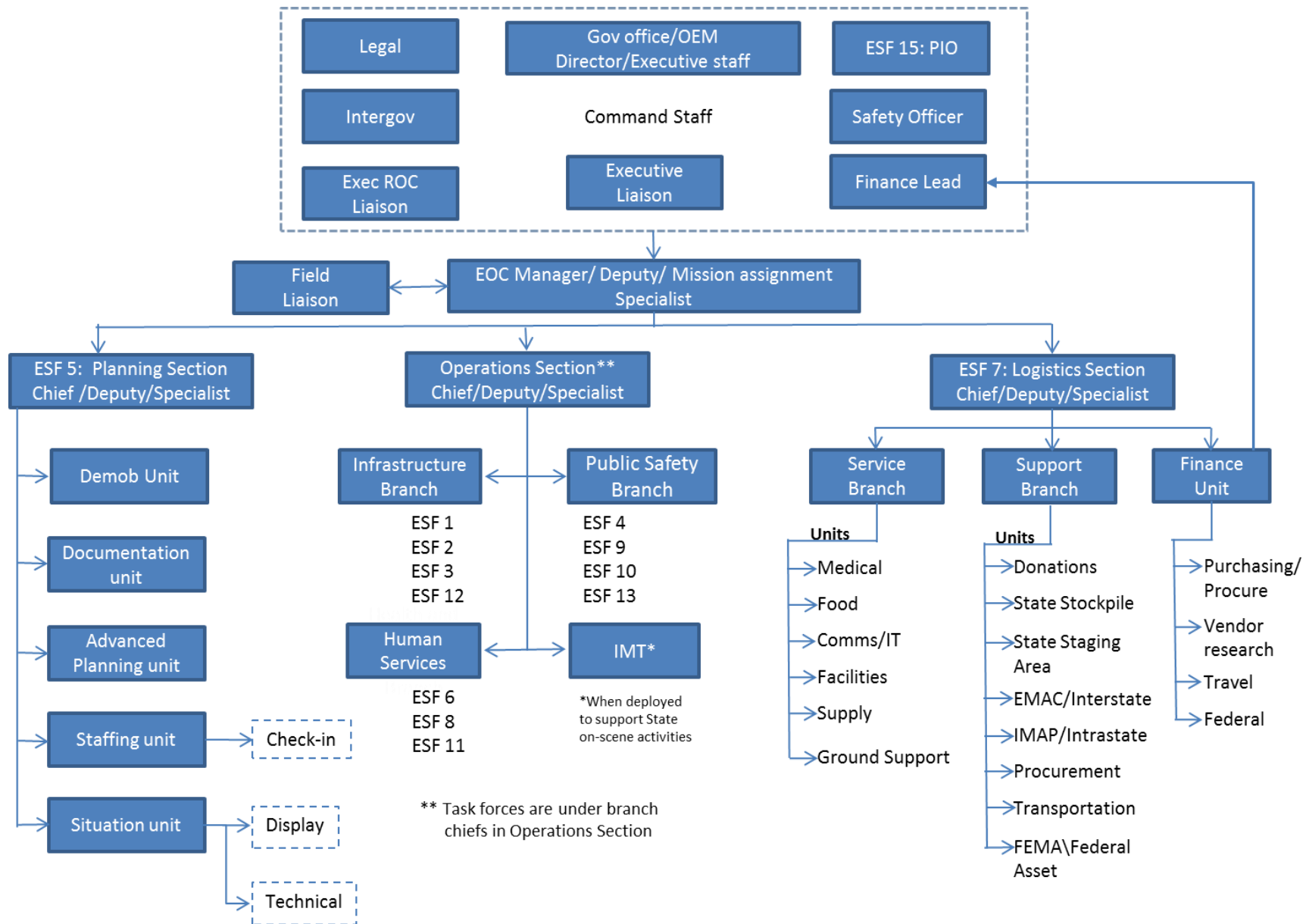
Attachment 2: State EOC Activation Level Matrix

State EOC Activation Level	Level of Response Activity	EOC Posture and Function	ICS Components / Coordination
<p><u>Level 2 – Full Activation</u></p>	<ul style="list-style-type: none"> • A situation that warrants the activation of ESFs and most/all member agencies. • This level may include most or all ESFs and member agencies. 	<ul style="list-style-type: none"> • The Director of State OEM or designee and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level and the current response. • Agency Departmental Operations Centers (ADOCs) likely to activate at this point. • State OEM Regional Staff will be mobilized or deployed. • IMTs will be deployed as needed. 	<ul style="list-style-type: none"> • At this point, a MAC group (virtual) <u>may</u> be activated to define the executive policies in the State’s response. • State OEM regional staff support tactical operations, coordinate activities through the local command structure. • IMT support to local government or may serve as the State-counterpart to federal response (i.e., PFO, FOSC); may establish Area Command, if appropriate.
<p><u>Level 1 – Full State/ Federal Response</u></p>	<ul style="list-style-type: none"> • A situation that warrants the activation of all State ESFs and most/all member agencies, with a Federal Command/General Staff presence and Federal ESFs accounted for in the State EOC. 	<ul style="list-style-type: none"> • The activities of the State ESFs will be integrated with those of their Federal ESF counterparts. • The Director of State OEM or designee and the activated ESF Coordinators will jointly identify which agencies of each ESF are required to support the activation level. • ADOCs Centers will be activated. • State OEM Regional Staff will remain mobilized or deployed. • IMTs will be deployed at this point. 	<ul style="list-style-type: none"> • At this point, a MAC group (virtual) <u>will</u> be activated to define the executive policies in the State’s response. • State OEM regional staff will support tactical operations, coordinate activities through the local command structure. • IMT will support local government or may serve as the State-counterpart to federal response (i.e., PFO, FOSC); may establish Area Command, if appropriate.

Attachment 3: State EOC Mission Flow Chart



Attachment 4: State EOC Organizational Chart





ESF #1 Transportation

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Department of Transportation (DOT)

DPC Support Members:

Division of Military and Naval Affairs (DMNA)
Division of State Police (DSP)
Metropolitan Transportation Authority (MTA)
Thruway Authority (TA)
Port Authority of New York & New Jersey (PA NY/NJ)
Department of Environmental Conservation (DEC)
Department of Corrections and Community
Supervision (DOCCS)
Office of Parks, Recreation and Historic Preservation
(OPRHP)

Non-DPC Members:

Bridge Authority (BA)
Canal Corporation (Canals)
New York Power Authority (NYPA)

EXECUTIVE SUMMARY

In the history of New York State, there have been many natural and human-caused disasters, along with planned events, that have negatively impacted the State's transportation systems and infrastructure, and as a result hindered the movement of goods and services, emergency response capabilities and the general public. Emergency Support Function #1 Transportation (ESF #1) coordinates the support and management of transportation systems and infrastructure, the regulation of transportation, and ensures the safety and security of the State's transportation systems during emergency and non-emergency events. ESF #1 also provides the framework for coordinating the State's transportation response efforts for disasters, events and emergencies that exceed the capacity of local governments by supporting them in their response efforts.

**Critical
Capability**

ESF #1 would support the following Critical Capabilities in New York State: Planning, Transportation, Damage Assessment, and Restoration of Infrastructure and Critical Services.

SECTION I: General Considerations and Planning Guidelines

Introduction

The coordinating agency for ESF #1 is the New York State Department of Transportation (NYS DOT). As the coordinating agency, NYS DOT will manage the activities of ESF #1 in conjunction with other member agencies when activated. ESF #1 will typically activate in situations where transportation systems have or may become largely impassable due to debris, storm damage, vehicle congestion or other type of disruption, and where response and recovery capabilities are restricted.

During a State Emergency Operations Center (EOC) activation, ESF #1 will also manage and oversee the Area Transportation Infrastructure Groups (ATIGs). An ATIG is comprised of several regionally based State agency liaisons working with local government(s) to address and resolve complex transportation infrastructure issues at the local and/or regional level, including reallocation of personnel and equipment assets from other local or county governments, NYS DOT and other State agencies. The ATIGs will operate and report under ESF #1 when activated. By having the ATIGs work under ESF #1 during activations, the State EOC can better manage and resolve statewide transportation issues and prioritize mission assignments.

History has shown that an early or advanced coordinated transportation response at the State level is crucial to providing support and assistance for emergency or pre-planned events. This may include early ESF #1 activation and communication with local governments and other State agencies to determine what level of resources will or may be needed to increase the State's overall preparedness for an event or incident. These efforts will be trained and tested prior to an event or incident.

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. The CEMP serves as the foundational framework for the State's response levels, and also provides the operational basis from which other ESFs, functional, and hazard-specific annexes are built upon. These ESFs and annexes address a broad range of capabilities in response to the State's highest rated hazards.

The purpose of the ESF #1 Annex is to coordinate the management of transportation systems, assets, and infrastructure during planned or unplanned events and emergencies. ESF #1 also participates in prevention, preparedness, response, recovery, and mitigation activities. ESF #1 resources will be provided through the State EOC when activated.

Under ESF #1, the term "transportation infrastructure" includes the following: roads, bridges, tunnels, airports, canals, ports and waterways, railroads, subways, sidewalks, bicycle lanes, and shared use paths. These are assets owned by the State of New York, New York State authorities, other States, Federal authorities, international authorities, as well as counties and local municipalities in New York State.

The primary mission for ESF #1 includes the following activities:

- Coordinate and report on damage assessments related to transportation infrastructure.
- Develop routing recommendations for response actions and access to affected areas.
- Restore transportation systems – Coordinate the restoration of affected transportation infrastructure to allow first responders to provide search and rescue missions and to enable aid to reach disaster survivors.
 - Coordinate and perform debris clearance with member agency resources and/or contractors.

Linkage to other State Plans

ESF #1 will be used to support the New York State Comprehensive Emergency Management Plan (CEMP), Volume 2, Response and Short-Term Recovery, as well as the following: ESF #3, NYS Coastal Storm Annex, and the Radiological Emergency Preparedness (REP) Plan.

- Make emergency repairs to infrastructure to restore system availability.
- Coordinate with Federal, State, and local partners to ensure all necessary environmental regulations and permits are in place to support ESF #1 operations.
- Interpret and apply Federal Emergency Management Agency (FEMA) and Federal Highway Administration (FHWA) regulations and rules related to reimbursable expenses for debris clearance and emergency repairs, working in coordination with ESF #3.
- Monitor, control, and coordinate vehicular traffic flow.
- Provide infrastructure status reports for all modes of transportation.
- Coordinate the issuance of regulatory waivers and exemptions.
- Coordinate and support prevention, preparedness, response, recovery, and mitigation activities among transportation stakeholders within the authorities and resource limitations of ESF #1 members.
- ESF #1 supports the activities of all other ESFs and works very closely with ESF #3 Public Works and Engineering, and ESF #7 Logistics. However, ESF #1 is not responsible for the movement of goods, equipment, animals, or people, except for equipment as needed for ESF #1 operations.

Another function of ESF #1 is to provide updates on the operating status of the State's transportation infrastructure in emergency situations and planned events, which may also include the transportation infrastructure status of contiguous states and international provinces. ESF #1 also provides technical support in the planning process for emergency situations and planned events that may have a substantial impact on transportation systems and infrastructure.

Scope

The ESF #1 Annex is applicable to any incident that negatively impacts the State's transportation infrastructure or requires State involvement at the local level and warrants a State response and support. ESF #1 response efforts may include the following: assistance for evacuation, sharing of transportation information with other agencies, damage assessments and debris clearance. For the purposes of ESF #1, debris clearance would be considered the removal of debris from within the transportation infrastructure to restore transportation systems and routes. ESF #3 will be responsible for properly managing, monitoring, collecting, separating, and transporting debris to an appropriate staging or disposal site. ESF #1 will coordinate response efforts with ESF #3, as appropriate.

It should be noted that evacuation planning is primarily a local government role that would call for regional coordination, given the likely impact on regional transportation infrastructure. Therefore, the ESF #1 Annex could provide support for evacuation response by managing roadway access, transportation infrastructure and detour planning in conjunction with local response efforts.

The Air Operations Group (AOG) will be managed and coordinated under the scope of the NYS Airspace Control Plan in support of ESF #1.

Situation

In the past, infrastructure has most commonly been disrupted by natural disasters such as leftover debris from flooding, windstorm events, record snowstorms, soil failure, and weakening infrastructure from recurring storms that produce flash flooding. Moreover, it is important to point out that the overall New York State transportation infrastructure is multi-modal and covers all transportation systems. Natural, human-caused, and technological events may impact these modes of transportation just as highway transportation may be affected.

Some examples of weather events that have impacted New York State are as follows: Hurricane Sandy caused severe storm surge, flooding and destruction primarily in New York City, Long Island and the Lower Hudson Valley regions; Hurricane Irene and Tropical Storm Lee caused severe flooding in the Catskill and the Southern Tier regions; various Lake-Effect snow events that have impacted the Western New York region east of Lake Erie, and the Central New York region east of Lake Ontario. The most significant human caused event was the NYS ESF #1 Annex

9/11 attack on the World Trade Center in New York City, which halted subway services in lower Manhattan, and stopped Port Authority Trans-Hudson (PATH) train service between New Jersey and Manhattan. In addition, the debris removal and recovery operations closed multiple streets in and around the World Trade Center site for many months later and delayed travel across bridges and through tunnels because of increased security measures.

During an emergency situation or pre-planned event, the resulting conditions may cause the State's transportation systems and infrastructure to become largely inoperative or widely congested. As a result, all levels of government will be called upon to restore and maintain the transportation system(s) under their authority. These events are not limited to situations where physical damage occurs but may also occur with large pre-planned events and possibly even evacuation planning for various weather or human caused events.

Along with operational concerns for response and short-term recovery, there will be a need for ongoing information updates during an event regarding transportation systems and infrastructure status. The criteria for providing required information will likely be established at the outset of the event and may be subject to change depending on the situation. This will apply to all levels of response from local government to State and Federal government.

Planning Assumptions

ESF #1 assistance is meant to provide relief for State, county, and local governments to maintain, restore and reestablish transportation infrastructure during an emergency event, and support and assistance for a planned event. The assumptions include the following:

1. Planned and emergency events begin and end at the local government level.
2. For planned events or emergency situations, transportation infrastructure may be largely inoperative and may alter ingress and egress to and from the impacted area.
3. When local resources have been exhausted, the ATIG and ESF #1 will be needed.
4. Working challenges include road closures, partial closures, limited service, and/or unavailable support capabilities in the transportation infrastructure that may hinder emergency response and short-term recovery efforts.
5. It is anticipated that local governments will be fully engaged in their response efforts.
6. An individual ATIG may exhaust its ability to respond and as a result may request support through ESF #1 for assets outside of the impacted area; this action may prompt the activation of other ATIGs to support response efforts.
7. At their discretion, a county emergency manager may request activation of the ATIG on behalf of local government for overall planning and additional resource support from the regional level; this request would be reviewed by ESF #1 during an activation and approved if appropriate.
8. State agency transportation entities may have existing local/state contracts or memorandums of understanding (MOUs) with local governments either for road maintenance or travel purposes. Measures taken by ESF #1 or the ATIG will not interfere with these contracts or agreements.
9. ESF #1 members have prepared agency plans unique to them for applying standard operating guidelines and/or procedures for putting into action restoration activities.
10. During an event, transportation infrastructure agencies will do their best to provide information on the current status of infrastructure under their authority, as accessible for the purposes of response and recovery efforts.

11. ESF #1 will primarily draw on the resources and capabilities of member agencies. ESF #1 may include non-member agency support for the purposes of response and recovery efforts as needed.

Concept of Operations

1. An incident or event occurs in New York State that requires a State response.
2. NYS Office of Emergency Management (OEM) will determine the appropriate level of activation for the State depending on the incident or event situation.
3. State assistance will support local government response efforts.
4. NYS OEM and NYS DOT will both determine the level of participation required for ESF #1 in responding to an incident and when to initiate State response efforts.
5. For a State EOC Level 1 Full Activation, State ESF #1 will integrate and coordinate response efforts with Federal ESF #1 and other Federal ESFs as needed.
6. The activation of one or more ATIGs may coincide with the activation of ESF #1.
7. For debris clearance, NYS DEC, NYS DOCCS, NYS OPRHP and other member agencies may be included to support ESF #1 response efforts.
8. If conditions warrant an Air Operations function, the Air Operations Group (AOG) will be established.
 - Air Operations Group (AOG) capabilities will be managed and coordinated under the scope of the NYS Airspace Control Plan in support of ESF #1.
 - The New York National Guard and New York State Police Aviation will be the lead agencies for the Air Operations Group.
 - The Air Operations Group will determine the operational parameters for the other ESFs using aviation resources.
 - Other ESFs in need of air operations support will coordinate their missions through the Air Operations Group.
9. As the State EOC activation begins to scale back, ESF #1 will start demobilizing and preparing for possible transition to a Recovery Support Function (RSF) in coordination with other ESFs.

Policy or Authorities

- Federal: Department of Homeland Security /Federal Emergency Management Agency (DHS/FEMA) National Response Framework (NRF).
- New York State (NYS): Once ESF #1 has been activated for the purpose of transportation infrastructure emergency repair work or debris clearance, the following State policies apply:
 - State Agency assets may be utilized to conduct temporary repairs and/or debris clearance from the impacted transportation infrastructure and other public right of way after local resources have been exhausted.
 - Clearance refers to transportation infrastructure as passable for emergency vehicles only, and debris may remain near the infrastructure right-of-way on a temporary basis. Any environmental concerns fall under the authority of the State Department of Environmental Conservation, and debris clearance operations would need to be coordinated across all levels of government including local, State and Federal agencies.
 - State Agency mission objectives will be allocated based on level of importance and in accordance with the following list of priorities:

- **First:** To reopen the impacted transportation infrastructure and allow for safe passage of emergency vehicles and life sustaining service.
 - **Second:** To reestablish and reopen transportation infrastructure and other public right-of-way areas to enable repair crews the ability to expedite repairs to infrastructure or to restore utility services.
- While it is expected that State ESF #1 and the ATIGs would be activated for major emergencies that necessitate a Declaration of a State Disaster Emergency, an activation of ESF #1 and the ATIG is not restricted to a gubernatorial declaration; in either case, an ATIG would report to ESF #1. The following response and short-term recovery activities may be carried out in the absence of a gubernatorial declaration: 1) under the most pressing emergency situations, and at the direction of the Governor, and; 2) following a declaration of a state of emergency by a local government, and; 3) after a request for State assistance pursuant to Section 24(7) of NYS Executive Law.
- 6 NYCRR Part 360, Solid Waste Regulations.
 - 6 NYCRR Part 364, Waste Transporter Permits.
 - 6 NYCRR Part 621, Uniform Procedures; in particular, Part 621.12, Emergency Authorizations.
 - NYS Environmental Conservation Law (Article 15 – Water Resources, Title 5: Protection of Waters; Article 24 – Freshwater Wetlands, Title 7: Freshwater Wetlands Regulations; Article 25 – Tidal Wetlands, Title 4: Regulated Activities; Article 70: Uniform Procedures, § 70-0116 Emergency Authorization.
 - NYS Environmental Conservation Law Articles 17, 27, 33 and 70.
 - NYS Executive Order #26.1 of 2006.
 - NYS Executive Law, Article 2-B.

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement

mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by the DHS/FEMA in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment, or THIRA. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Planning

All member agencies shall attend and participate in ESF #1 meetings, training sessions, conferences, and exercises, as required.

ESF #1 shall develop, test, and maintain any manual or automated listings as follows:

- Agency emergency points of contact that need or may need to be contacted by agency representative(s) assigned to ESF #1; the State Watch Center (SWC) under NYS OEM will be responsible for agency notifications and contact updates to activate member agencies.
- Agency available transportation resources (from within the agency) such as types of equipment and equipment operators.
- Points of contact for agency available transportation resources (from agency contractors, vendors, etc.) such as equipment and equipment operators.

Review as necessary each support agency's automated or manual listings of emergency contacts.

Training, Exercising and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

(DEC) Post Flood Emergency Stream Intervention Training: The purpose of the manual is to ensure that aquatic natural resources, including all watercourses and their adjacent riparian, wetland and flood plains habitats, are not impacted by the emergency response actions. This training material will provide information on how to assess the situation, decide where to work and what the right approach would be under an emergency response condition.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the County Emergency Preparedness Assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

- NYS DOT may provide dump trucks, loaders, excavators, chippers, bulldozers, graders, portable variable message signs, and other equipment as available. For snow and ice operations, dump trucks will be equipped with plows, pickup trucks with plows, and snow blowers may also be utilized.
- NYS DMNA engineers have dump trucks, front loaders, bulldozers, and skid steers to perform debris clearance for restoring emergency access routes.
- NYS DSP vehicles with personnel assigned may be available for traffic control and detour management in support of road closures and openings.
- MTA maintains numerous pieces of specialized equipment including vehicles such as wreckers, bucket trucks, payloaders, and various types of storm response equipment, including generators, light towers, sandbags, and variable message signs.
- NYSTA may provide dump trucks, loaders, excavators, chippers, bulldozers, graders, portable variable message signs, and other equipment as available. For snow and ice operations, dump trucks will be equipped with plows, pickup trucks with plows, and snow blowers may also be utilized.
- PA NY/NJ may provide vehicles and equipment for emergency response efforts in support of ESF #1 as available.
- NYS DEC may provide vehicles and equipment in support of emergency debris clearance operations for ESF #1 as available.
- NYS DOCCS may provide vehicles and equipment in support of emergency debris clearance operations for ESF #1 as available.
- NYS OPRHP may provide vehicles and equipment in support of debris clearance efforts with light and medium duty plow trucks for snow and ice operations, as available.
- NYSBA may provide vehicles and equipment for emergency response efforts in support of ESF #1 as available.
- NYS Canals may provide vehicles and equipment for emergency response efforts in support of ESF #1 as available.

In all instances where agencies have provided stockpile items, supplies or specialized equipment resources in support of ESF #1, it is understood that those resources would be operated and/or utilized by the agency that provided them, unless otherwise indicated.

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident.

The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the NYS DOT serving as the ESF coordinator. These are:

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM Staff Only
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with ESF coordinating agency activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- The ESF coordinating agency will be activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

NYS EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) - 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State's ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the Planning Section in the State EOC; ESF #7 is assumed by the Logistics Section in the State EOC; ESF #15 is situated in the Command Element.

ESF #1 will provide incident management support and organization under the coordinating ESF agency, NYS DOT. The coordinating ESF agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF. Resources assigned within the Region will be directly coordinated by the ATIG under ESF #1. If additional resources are needed, then those resources will be coordinated by ESF #1.

This ESF is assigned under Operations. The ESF coordinator will be the primary interface with the OSC, and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF lead for availability of resources/missions. The ESF leadership will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Confirmation or concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignment of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency - NYS Department of Transportation (DOT)

- Coordinate all ESF #1 administrative, management, planning, preparedness, response, recovery, and mitigation activities.
- Assign Department of Transportation personnel to the ESF #1 duty schedule in the State Emergency Operations Center.
- Provide all available and obtainable transportation resource support for the ESF #1 mission to include:
 - a) Appoint a NYS DOT Incident Commander who will take the lead in actively pursuing the NYS DOT goal of opening the roadways as quickly and safely as possible. The NYS DOT Incident Commander has the authority, responsibility, and commensurate accountability to be in charge of all NYS DOT activities associated with the incident.
 - b) Maintain the state highway system, to include debris clearance from highways, roads, bridges, and state-owned property.
 - c) Restore highways, roads, and bridges which are a responsibility of the NYS DOT, as well as NYS Thruway; and assist cities and counties in the restoration of highways, roads, and bridges, upon request.

- d) Facilitate, in coordination with the Division of State Police and affected local governments, traffic movement during a large-scale evacuation and re-entry.
- e) Provide an Initial Damage Assessment report damages to State highways, roads, and bridges to the State EOC. Provide for damage assessment and hazard mitigation inspection for highways, roads, and bridges in the state system and critical local routes.
- f) Coordinate requests for Federal assistance for debris or wreckage clearance from state property in conjunction with ESF #3.
- g) Provide for the transport of equipment and other resources as needed in support of ESF #1.
- h) Coordinate emergency engineering services for highway operations.
- i) Coordinate waivers and/or clearances for the emergency movement of oversized and overweight vehicles.

2. Support Agencies

NYS Division of Military and Naval Affairs (DMNA)

- Per the National Response Framework and FEMA, military forces are not first responders, but the National Guard is the first level of military response. National Guard response is generally able to deploy from armories at notification +24 hours.
- Engineers have the ability to perform debris clearance for restoring emergency access routes for responders.
- Engineers are not equipped with stockpiles of materials and the equipment to assist with reconstruction of damaged infrastructure.
- Engineers have limited assets to perform snow removal.
- DMNA can provide aviation and airspace management for supporting aviation assets within the incident area.

NYS Division of State Police (DSP)

- Provide assistance with traffic control, including access and egress to affected areas.
- Assist with detour management, and coordination of road closures and openings with NYS DOT and NYSTA.
- Assist with monitoring of roadway conditions and notify NYS DOT and NYSTA of changes during an event.
- Coordinate and provide aviation support as needed.

Metropolitan Transportation Authority (MTA)

- Monitor and maintain all transportation systems under MTA management.
- Submit reports on transportation system status when needed.
- Coordinate detour information, service status information and traffic control management to include all modes of transportation under MTA, as necessary.

NYS Thruway Authority (TA)

- Monitor and maintain all transportation systems under NYSTA management.
- Submit reports on transportation system status when needed.
- Provide personnel, equipment, engineering, and technical expertise in support of transportation response efforts.

Port Authority of NY/NJ (PA NY/NJ)

- Monitor and maintain all transportation systems under PA NY/NJ management.
- Submit reports on transportation system status when needed.

- Coordinate detour information, service status information and traffic control management to include all modes of transportation under PA NY/NJ, as necessary.

NYS Department of Environmental Conservation (DEC)

- Coordinate initial debris clearance and management with ATIGs and ESF #3.
- Provide information and guidance on emergency permitting when needed.
- Provide information and advice on emergency staging areas for debris clearance.
- Ensure that protected natural resources such as rivers, streams and waterbodies, freshwater and tidal wetlands are protected during emergency response and recovery activities utilizing the emergency authorization and general permitting procedures.

NYS Department of Corrections and Community Supervision (DOCCS)

- Provide support for debris clearance from transportation infrastructure right-of-way.

NYS Office of Parks, Recreation and Historic Preservation (OPRHP)

- Provide support for debris clearance from transportation infrastructure right-of-way.

NYS Bridge Authority (BA)

- Monitor and maintain all transportation systems under NYSBA management.
- Submit reports on transportation system status when needed.

NYS Canal Corporation (Canals)/New York Power Authority (NYPA)

- Monitor and maintain waterways (reservoirs and canals) under NYS Canals' jurisdiction for navigation and submit reports on status of canal system as needed.
- Canals has limited capacity to provide personnel, engineering, and technical expertise in support of transportation response efforts.
- Resources needed to meet Canals' and NYPA's infrastructure, engineering and operations needs would be prioritized.
- Emergencies impacting the canal system will limit the resources available from Canals if this ESF is activated.
- NYPA and Canals have the combined capability to support missions within ESF #1.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State's ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State's Critical Capabilities. Integration and coordination is key to leveraging the resources of each Federal ESF. As such, New York State ESF #1 will serve at the primary integration point for Federal ESF #1. The table on the next page summarizes Federal ESF #1 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

<p>ESF #1 - Transportation ESF Coordinator: Department of Transportation</p>
<p>Key Response Core Capability: Critical Transportation</p>
<p>Coordinates the support of management of transportation systems and infrastructure, the regulation of transportation, management of the Nation’s airspace, and ensuring the safety and security of the national transportation system. Functions include but are not limited to:</p> <ul style="list-style-type: none"> • Transportation modes management and control • Transportation safety • Stabilization and reestablishment of transportation infrastructure • Movement restrictions • Damage and impact assessment.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State’s focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all federally declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF on the table below:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
DOT	X			X		
DMNA				X		
DSP	No RSF Assignment					
MTA	X		X	X		
TA	X			X		
PA NY/NJ	X			X		
DEC	X	X	X	X	X	
DOCCS			X	X		
OPRHP	X			X	X	
BA				X		
Canals				X		
NYPA				X		

Attachments

- Standard Operating Guidelines (SOG) for ESF #1: Transportation.



Rev. Final

Date: March 2021

ESF #2 Communications

ESF Coordinating Agency:

Division of Homeland Security and Emergency
Services/Office of Interoperable and Emergency
Communications (DHSES/OIEC)

DPC Support Members:

Division of Military and Naval Affairs (DMNA)
Division of State Police (DSP)
Office of Information Technology Services (ITS)
Department of Public Service (DPS)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, coordinating the delivery of emergency assistance, agency roles and planning directives are determined by the Disaster Preparedness Commission (DPC). The objective of the Communications ESF is to coordinate the reestablishment of the critical communications infrastructure, facilitates the stabilization of systems and applications, and coordinates communications support to response efforts.

SECTION I: General Considerations and Planning Guidelines

Introduction

New York State will continue to experience a variety of disasters from a number of causes: humans, nature, and technology. This Annex outlines ESF #2's approach to providing a coordinated response effort to the support and reestablishment of emergency communications for responding agencies and local municipalities in New York State during the response and short-term recovery phases of a disaster as outlined in the State Comprehensive Emergency Management Plan (CEMP).

Purpose

The State 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. The CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other ESF's functional and hazard-specific annexes are built upon. These ESF's and annexes address a broad range of capabilities in response to the State's highest rated hazards.

Critical Capability

ESF #2 would support the following Critical Capabilities in New York State: Planning, Interoperable Emergency Communications.

The purpose ESF #2 is to ensure that the strategic and broad-based nature of the State CEMP is more defined to allow the State to adequately prepare for, respond to, and recover from events impacting communications infrastructure. This ESF will also describe the emergency response organizations/agencies and assign responsibilities for various functions relating to communications infrastructure.

Scope

ESF #2 is an operational-level management plan that outlines the basic concepts required to manage and coordinate State agencies providing response and short-term recovery assistance to anywhere in New York State. ESF #2 will be used to support the State's response during a disaster when communications infrastructure/equipment is negatively impacted. Response activities may include:

- Provide disaster emergency communications in an incident area.
- Support the temporary reestablishment of the basic public safety communications infrastructure.
- Facilitate the delivery of information to maintain situational awareness.
- Coordinate restoration activities among industry partners.

Linkage to other State Plans

ESF #2 will be used to support the NYS CEMP, Volume 2, Response and Short-Term Recovery.

Disaster response begins and ends at the local level. State agency-level support begins and ends based on statutory requirements and/or the needs of the requesting municipality.

This ESF will be in effect from the time it is activated by the New York State Office of Emergency Management (State OEM) until it is demobilized. The ESF will be activated via direction from the State Emergency Operations Center (State EOC) after a determination the ESF is required. It should also be noted that ESF #2 could have a direct effect on the ability of other ESF's to function due to the loss of communications infrastructure.

Depending on the nature and impact of the disruption to the communications infrastructure, ESF #2 may be used to support different incidents. The Division of State Police, Office of Information and Technology Services, Department of Public Service, and Division of Military Naval Affairs are all identified as possible response agencies. The ESF construct may be used to enhance and strengthen the response and coordination of the support members.

Situation

Local emergency response agencies may be fully involved with operational issues that are critical for responding to incidents that fall under the purview of this ESF. Further, the parameters and complexity of the incident may, in many cases, exceed the response capabilities of local government. The local government is responsible for carrying out the initial response and short-term recovery activities and services and will use all available local resources in doing so.

Most county and local governments have developed CEMPs in accordance with NYS Executive Law, Article 2-B. Such plans coordinate the collective response of that local government, within its borders, and provide for a mechanism to use all of the existing resources. In addition, many counties have built robust and redundant emergency communications systems. Also, across the state there are Regional Interoperable Communications Consortia that allow counties to communicate within a consortium and to other consortia as well.

Any adverse impact to the communications infrastructure will greatly inhibit the abilities of the State of New York during a response. The consequences of a communications infrastructure failure can prevent a coordinated emergency response among state and local resources. It can also inhibit the ability to access real time

information and situational awareness. The need for a coordinated and concise response is vital during an emergency. Without the ability to do so, much time, effort, and resources will be squandered. ESF #2 will provide a coordinated effort to restore and supplement public emergency communications. They may also work closely with the private sector in their efforts to share information and coordination in the restoration of private networks.

Planning Assumptions

1. An incident requiring the activation of ESF #2 may begin locally and escalate to the State level or may require State involvement from the incipient stage of the incident.
2. Communications incidents may be ordinary, day-to-day type scenarios, while other incidents may evolve into an event of greater scope and magnitude.
3. Communications sector incidents may produce major consequences that will quickly overwhelm the capabilities of local government almost immediately.
4. Some communications incidents may require the activation of ESF #2 solely, while other incidents may require the activation of one or more of the other State ESF's.
5. Communications incidents may occur in one location or may occur coincidentally with other incidents throughout the State.
6. The level of training and response capability to a communications incident of local and county response agencies will vary from jurisdiction to jurisdiction and may impact the subsequent response from State agencies.
7. The Office of Interoperable Emergency Communications (Coordinating Agency) will coordinate ESF #2 activities and monitor the Support Members activities within ESF #2 to ensure that established goals and objectives are met, and necessary intragroup coordination is maintained.
8. Coordination between State agencies and ESF #2 must be managed from both a physical proximity and technology standpoint.
9. The Private sector owns, operates, and maintains much of the commercial communications infrastructure in New York State. However, State and local governments own most parts of the public safety land mobile radio communications infrastructure and maintain it either by government employees or through private contractors.

Concept of Operations

1. An incident occurs in New York State that necessitates a State response.
2. As conditions warrant, State OEM will make a determination as to the level of activation necessary for the State.
3. State OEM and the ESF Coordinating Agency will jointly determine the level of ESF representation needed for the incident.
4. The Coordinating Agency and Supporting Members will follow the established Standard Operating Guidelines (SOGs) while operative in the State EOC.

5. The Coordinating Agency and any necessary Supporting Members will assist in the development of incident priorities, goals, and objectives.
6. In the event of a Full Activation (Level 1), ESF #2 will coordinate and integrate with any necessary Federal ESFs, primarily Federal ESF #2.
7. At the end of the State EOC activation, ESF #2 will begin demobilization and transition to a necessary Recovery Support Function (RSF) if needed.

Policies or Authorities

1. State Authorities/Polices
 - a. NYS Executive Law, Article 2-B
 - b. NIMS Executive Order 26.1 of 2006
 - d. NYS Executive Law 717
 - e. New York State Radio Amateur Civil Emergency Service (RACES) S.O.P.
2. Federal Authorities
 - a. Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) National Response Framework, ESF #2

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by the DHS/FEMA in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. The CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

The Office of Interoperable and Emergency Communications (OIEC) administers training and exercises specifically to address the management aspect and technical operations of emergency and interoperable communications services. The training courses include Communications Unit Leader (COML), Communications Technician (COMT), Incident Communications Center Manager (INCM), Incident Tactical Dispatcher (INTD), Radio Operator (RADO), Auxiliary Communications (AUXCOMM), and IT Service Unit Leader (ITSL), positions that are formally identified within the National Incident Management System (NIMS) Incident Command System (ICS) structure.

OIEC also administers two communications-specific Full-Scale Exercises: The Communication Unit Leader Exercise (COMLEX) and the Communication Unit Exercise (COMMEX). These exercises provide an opportunity for COMU trainees to demonstrate their proficiency and to complete the requirements of the respective Position Task Books (PTB), as they attempt to obtain formal position-specific credentialing as defined in the NYS Communications Unit Credentialing Policy.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the CEPA

program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

OIEC, DMNA, DSP, and ITS have limited quantities of stockpiles, supplies, and specialized equipment located throughout the state to provide regional response capabilities.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

- Mutualink MOA
- Frequency Sharing Agreements

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the coordinating agency serving as the ESF lead. These are:

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- NYS OEM Staff Only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.

- The ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

State EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

- The ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in coordination with the lead agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in coordination with the lead agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by NIMS Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) – 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State’s resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State’s ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the Planning Section in the State EOC, ESF #7 is assumed by the Logistics Section in the State EOC, and ESF #15 is situated in the Command Element.

ESF #2 will provide incident management support and coordination under the Coordinating ESF agency. The Coordinating ESF agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

This ESF is assigned under Operations. The ESF leader will be the primary interface with the OSC, and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF lead for availability of resources/missions. The ESF leadership will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Confirmation or concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignments of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency – NYS Office of Interoperable and Emergency Communications (OIEC)

The Office of Interoperable and Emergency Communications (OIEC) is the principal state agency for all interoperable and emergency communications issues and oversees and directs the development, coordination and implementation of policies, plans, standards, programs, and services related to interoperable and emergency communications, including those related to land mobile radio communications. OIEC supports emergency operations and planned events with assets and staff providing operational communication support

as needed throughout the state. OIEC also maintains fixed land mobile radio sites around the state that support the mission of the DHSES. OIEC has the ability to coordinate with private carriers for the access of temporary cell sites on wheels (COWs), cells on light trucks (COLTs), and other communications equipment. OIEC also has the ability to access the Communications Assets Survey and Mapping (CASM) tool, which provides New York Public Safety Officials with a means to gather and analyze communications systems data to identify gaps in interoperability and to improve emergency response communications.

2. Support Agencies

NYS Division of Military and Naval Affairs (DMNA)

Per the National Response Framework and FEMA, military forces are not first responders, but the National Guard is the first level of military response. A majority of DMNA communications equipment is intended for support of military responses and interoperability is limited with civilian agencies. Historically DMNA communications assets with interoperability have been utilized by county OEM's within a Joint Operations Area where DMNA has forces operating. DMNA personnel might require advanced training if needed for non-DMNA communications platforms.

NYS Division of State Police (DSP)

The Division of State Police (DSP) maintains mobile communications vehicles that can be deployed to an impacted area. Each of the Regional Trucks will have additional radio equipment capable of operating on the county and local radio systems within their region. In addition, the trucks have satellite and cellular capabilities for voice and data transmission and the capability to connect to landline telephone, cable, or data networks, when available on site.

NYS Department of Public Service (DPS)

The Department of Public Service's (DPS) regulatory authority over certain communications providers and close working relationship with non-regulated providers allows us to provide status monitoring of outages, estimated restoration times, and act as a liaison between DHSES and the providers for localized inquiries. During emergencies, DPS can assist providers in coordinating restoration activities with utilities in their respective service territories. Although DPS is primarily associated with restoration of infrastructure, DPS does have an active role with the 911 emergency calling system and could provide support as needed to help resolve issues between the service providers and public safety answering points (PSAPs). DPS also ensures that the telecommunications industry have emergency response plans.

NYS Office of Information Technology Services (ITS)

The Office of Information Technology Services (ITS) provides IT support for activated State agencies, local districts, and voluntary agencies as well as IT support for the State EOC. Site Survey Teams assist in determining network and staff relocation technical needs and the potential deployment of required equipment such as laptops, thin clients, and printers. ITS also manages telecommunications services: Wireless Priority Services (WPS) for cell phones, Government Emergency Telecommunications Services (GETS) for landlines, and Telecommunications Service Priority (TSP) for network circuits.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State's ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal

response core capabilities in support of the State’s Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #2 will serve at the primary integration point for Federal ESF #2. The table below summarizes Federal ESF #2 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

<p>ESF # 2 – Communications ESF Coordinator: DHS/Cybersecurity and Communications</p>
<p>Key Response Core Capability: Operational Communications, Infrastructure Systems</p>
<p>Coordinates government and industry efforts for the reestablishment and provision of critical communications infrastructure, facilitates the stabilization of systems and applications from malicious cyber activity, and coordinates communications support to response efforts. Functions include but are not limited to</p> <ul style="list-style-type: none"> • Coordination with telecommunications and information technology industries • Coordination of the reestablishment and provision of critical communications infrastructure • Protection, reestablishment, and sustainment of national cyber and information technology resources • Oversight of communications within the Federal response structures • Facilitation of the stabilization of systems and applications from cyber events

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for reactivation of the ESF if needed based upon operational needs. In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or interdependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long-Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State’s focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State’s ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all federally declared disasters will require full RSF activation, and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency’s role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF below:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural and Cultural Resources	Housing
OIEC				X		
DMNA				X		
DPS				X		
ITS				X		
DSP	No RSF Assignment					

Attachments

- Standard Operating Guidelines (SOG) for ESF #2: Communications.



ESF #3 Public Works and Engineering

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Department of Environmental Conservation (DEC)

DPC Support Members:

Division of Homeland Security and Emergency
Services-Public Assistance (DHSES-PA)

Department of Health (DOH)

Department of State (DOS)

Department of Transportation (DOT)

Office of General Services (OGS)

Thruway Authority (TA)

Non-DPC Members:

Canal Corporation (Canals)

New York Power Authority (NYPA)

State University of New York (SUNY)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, coordinating the capabilities and resources to facilitate the delivery of services, technical assistance, engineering expertise, construction management, and other Public Works support and efforts. The objective of ESF #3 is to quickly and efficiently minimize the impact of a disaster or emergency, as well as to identify, and protect, and restore public works. ESF #3 will also coordinate response activities to a disaster during which there is a disruption of essential services or infrastructure, including water systems, sewer systems, public roadways, and public structures.

SECTION I: General Considerations and Planning Guidelines

Introduction

The State of New York experiences a wide variety of disasters and emergencies that may result in loss of life, damage, and destruction of property, and impact or negatively affect whole communities.

A disaster of significant magnitude, with substantial damage and destruction to critical infrastructure can cause great human suffering. A large-scale disaster is likely to exhaust resources at the local level and warrant support from the State to effectively respond to the event. The State will activate the ESFs that are essential to efficiently respond to the incident. ESF #3 will activate to provide coordination, technical assistance, engineering expertise, construction management and support to an incident.

**Critical
Capability**

ESF #3 would support the following Critical Capabilities in New York State: Planning, Restoration of Infrastructure and Critical Services, and Debris Management.

ESF #3 consists of nine Disaster Preparedness Commission Agencies (DPC) as well as one non-DPC agency which will function under incident management structure. In times of disaster, New York State agencies will be used to augment local resources to provide and administer programs with the focus of responding quickly and efficiently to restore damaged infrastructure. New York State Department of Environmental Conservation (DEC) is the coordinating agency for this ESF.

Significant State involvement beyond the State's resources could necessitate a Federal Disaster Declaration. This ESF Annex will be used a guide to support local jurisdictions with State and Federal resources.

Purpose

The State Comprehensive Emergency Management Plan (CEMP) was developed in three distinct, but interconnected volumes. They 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. The CEMP serves as the foundational framework for the State's response levels, and also provides the operational basis from which other ESFs, functional, and hazard-specific annexes are built upon. These ESFs and annexes address a broad range of capabilities in response to the State's highest rated hazards.

This document outlines the State's coordination and delivery of response activities related to organizing the capabilities and resources needed for a disaster area to prepare for, respond to and recover from impaired or lost critical facilities and/or infrastructure that may impact public health or create life-threatening and unsafe conditions.

In addition, this document will identify the concept of operations and the centralized coordination of resources that will be utilized in directing the State's resources and capabilities in responding to a disaster. This annex will define responsibilities, and procedures needed to restore public works critical services in impacted areas in support of local jurisdictions.

Scope

This annex applies to all natural, technological, and human caused disasters or emergencies necessitating resources to restore public works, vital infrastructure and critical services and engineering expertise.

This annex does not apply to agency-specific operational plans, nor does it address transportation related infrastructure, which is addressed in ESF #1.

ESF #3 applies to pre-incident and post-incident assessments of public works and infrastructure, executing emergency contracts for life saving services, provide emergency repair and restoration of public works, infrastructure, and critical facilities. ESF #3 supports flood control, and other water infrastructure systems, including drinking water and wastewater utilities. ESF #3 also provides assessment and emergency response support for water, wastewater treatment facilities, levees, dams, buildings, and bridges. This ESF can construct temporary critical facilities and provide demolition of immediate hazards to public health and safety. ESF #3

Linkage to other State Plans

ESF #3 will be used to support the NYS Comprehensive Emergency Management Plan (CEMP), Volume 2, Response and Short-Term Recovery, as well as the following: ESF #1, NYS Coastal Storm Annex.

responsibilities also include establishment of private sector contracts and agreements, and coordination with volunteer organizations and other nongovernmental partners.

ESF #3 will be responsible for managing, monitoring, collecting, segregating, and transporting debris to an appropriate staging or disposal site.

Initial response activities for ESF #3 may include critical facilities and infrastructure such as:

- Government Offices and Buildings
- Water Supply and Wastewater Treatment Facilities
- Dams
- Levees, Flood Walls, and Retaining Walls
- State University of New York (SUNY) System
- Non-Transportation Infrastructure
- Beaches and beach erosion

ESF #3 will identify the specific types of technical services needed, administer the emergency service contracts, and assist in the deployment of such services during an incident.

Situation

Infrastructure, public works, and critical services are the foundation that connects businesses, communities, and people, driving our economy and improving our daily life. The systems and networks that make up the infrastructure that supports our society are often taken for granted, yet a disruption to just one of these can have dire consequences. Disrupting or disabling the infrastructure may reduce the State's ability to function, erode public confidence in critical services, and reduce economic strength. Damage to and disruption of public works and services often represents a major portion of the costs in a disaster.

Presidential Policy Directive (PPD) 21 describes the United States as having some critical infrastructure that is "...so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety." The State's public works, infrastructure and critical services consist of many life sustaining and life safety facilities and utilities which include: water supply, sanitation, and sewer facilities. A disruption could cause sewage backup and ground water pollution resulting in disease and infection. A disruption in any of these vital infrastructures could impact Government's ability to support its essential functions.

The elements of the infrastructure themselves are also considered possible targets of terrorism. Infrastructure is also increasingly vulnerable to a dangerous mix of traditional and nontraditional types of threats and hazards, such as: equipment failures, human error, weather and natural causes, physical attacks, and cyber-attacks. For each of these threats, the cascading effect caused by single points of failure has the potential to pose disastrous and far-reaching consequences on the State.

It may be essential to manage emergency clearance, removal, and disposal of debris to re-establish ground and water routes. The removal of contaminated debris could trigger environmental concerns.

Planning Assumptions

1. During an emergency situation, critical State facilities and infrastructures may sustain damage affecting government operations, communications, and the provision of government services.
2. Additional personnel having engineering and construction skills and construction equipment may be required from outside the disaster area.

3. Required restoration, response and short-term recovery operations of public works, infrastructure and critical services may exceed State and local capabilities or accessible assets.
4. The State may need to provide technical advice and evaluation of damaged infrastructure.
5. Local governments may need assistance with engineering, environmental and planning services.
6. Private sector contracting assistance for construction management and inspection may be necessary, as well as contracting for emergency repair of public works infrastructures.
7. Emergency restoration of critical public facilities, including the restoration of water supplies and wastewater treatment facilities, will be imperative.
8. Demolition, stabilization or emergency repair of damaged infrastructures and facilities that have been designated by the State or local governments as immediate hazards to public health and safety, may be required.
9. Management of solid waste/storm debris may be required either on-site or hauled off-site to existing or temporarily authorized facilities. This will depend on the type and nature of the waste/debris as well as the available capacity and willingness to accept at existing facilities.
10. Managing, monitoring, and providing technical advice regarding contaminated and possibly hazardous debris removal and identification of debris sites may be necessary.
11. Emergency Authorizations and waivers may be needed.
12. Technical assistance, evaluation and assessment of dams, and other water delivery control systems will be essential.
13. Managing, monitoring, and providing technical advice regarding transportation rules and regulations of hazardous chemical, and /or medical waste.
14. Initial damage estimates may be done very quickly.
15. Any actions necessary to facilitate lifesaving operations may be on-going.

Concept of Operations

1. An incident or event occurs requiring a State response.
2. State Office of Emergency Management (OEM) determines the State Emergency Operations Center (State EOC) activation level based on the severity of the incident.
3. State OEM and ESF #3 Coordinator will jointly determine the level of ESF representation needed for the incident.
4. If Federal assistance is requested, ESF #3 will integrate with Federal ESF #3 as outlined under the National Response Framework (NRF).
5. When the incident no longer requires State EOC-level support, State OEM will start the demobilization process and transfer roles and responsibilities to the appropriate Recovery Support Function (RSF) as appropriate.

Policy or Authorities

- NYS Executive Law – Article 2-B
- NYS Executive Law – Article 18
- Environmental Conservation Law (Articles 17, 27 and 33)
- Environmental Conservation Law (Article 15 – Title 5)
- Environmental Conservation Law (Article 24 – Title 7)
- Environmental Conservation Law (Article 25 – Title 4)

- Environmental Conservation Law (Article 70 – Uniform Procedures)
- 70-0116 Emergency Authorization
- 6 NYCRR Part 360, Solid Waste Regulations
- 6 NYCRR Part 621, specifically 621.12, Emergency Authorizations
- NYCRR Title 19 Part 1201 through Part 1204
- New York State Constitution
- New York State Electronic Recycling and Reuse Act (ECL Article 27, Title 26)
- Executive Order # 26.1 of 2006 as amended (NYS Adoption of the Incident Command System)
- Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288
- Code of Federal Regulations, 44 CFR
- Homeland Security Presidential Directive 5
- Presidential Policy Directive 21
- National Disaster Recovery Framework (NDRF)
- National Response Framework (NRF)

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

(DEC) Post Flood Emergency Stream Intervention Training: which ensures that aquatic natural resources, including all watercourses and their adjacent riparian, wetland and flood plains habitats, are not impacted by the emergency response actions. This training includes information on how to assess and decide where to work, and what the right approach would be under an emergency response condition.

Division of Homeland Security & Emergency Services – Public Assistance (DHSES-PA) Applicant Public Assistance Training: periodically provides potential applicants with an overview of the Public Assistance Program and Applicants' Briefings provide potential applicants with event-specific guidance for post-Stafford Act declaration activities.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the State assessed its Critical Capabilities using the construct outlined in the County Emergency Preparedness Assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

- OGS may provide a full range of architectural, engineering and construction management services, as well as leasing, space planning and design services. OGS may also provide procurement support for design and construction technical services through its Design & Construction Group’s Emergency Contracting Program.
- DEC may provide limited resources and personnel for damage assessment. DEC may provide hydrological, electrical, design and environmental analyses. DEC may provide hauling, moving, excavating, lifting, pumping, draining, loading, chipping and provide assistance with wastewater and water treatment facilities. DEC will issue emergency permits and waivers in regard to debris clearance, removal, and disposal.
- DHSES-PA can provide technical assistance and coordination for the conduct of damage estimates and formal joint preliminary damage assessments. PA can also provide guidance regarding actions considered eligible for FEMA reimbursement and requirements for receiving infrastructure support during Stafford Act declarations.
- DOH has regulatory responsibility for drinking water supplies. DOH Center for Environmental Health has experts available to assist with water supply and sanitation issues.
- SUNY may provide engineering, architectural, planning and design support.
- DOT may provide construction inspections and bridge inspections.

Stockpiles, Supplies, and Specialized Equipment

- SUNY may provide barricades, compressors, generators, trucks, and related maintenance equipment.
- DOT may provide dump trucks, loaders, excavators, bulldozers, graders, chippers, and related maintenance equipment.

Memorandums of Understanding (MOUs)/Letter of Agreement (LOAs)

There are no MOUs or LOAs which support this document.

SECTION III: Response

Alert and Notification

State OEM, through consultation with the Governor’s Office, will direct and implement State response activities as identified in the New York State Comprehensive Emergency Management Plan. Depending on the nature and scope of the incident or event, participation from state agencies may vary.

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

**NYS EOC
Activation Levels**

- Steady State
- Level 4 – Enhanced Monitoring
- Level 3 – Partial Activation
- Level 2 – Full Activation
- Level 1 – Full State/Federal Response

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the primary agency serving as the ESF coordinator. These are:

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM Staff Only
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with ESF coordinating agency activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- ESF coordinating agency will be activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) – 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State’s resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State’s ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the Planning Section in the State EOC; ESF #7 is assumed by the Logistics Section in the State EOC; ESF #15 is part of the command element.

ESF #3 will provide incident management support and coordination under the coordinating ESF agency. The coordinating ESF agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

This ESF is assigned under Operations. The ESF coordinator will be the primary interface with the OSC, and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF coordinator for availability of resources/missions. The ESF coordinator will be given latitude to facilitate the best

resource or solution set in response to the request that the State has received. Confirmation or concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignment of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency - NYS Department of Environmental Conservation (DEC)

- Maintain and update guidelines that focus on disaster/storm debris management and waste segregation via DEC website.
- Under 621.12 issue Emergency Authorization.
- Provide technical assistance and guidance on whether an Emergency Authorization is required.
- Proactively work with local municipalities to identify various types of storm debris and provide outreach and education on proper management.
 - Determine how various materials must be transported or managed on-site.
 - If managed off-site, determine facilities able to accept and manage the waste and their willingness to accept.
 - Types of waste/debris may include: asbestos, wood containing invasive insects, dead animals, e-waste, spoiled food, household hazardous waste (HHW), land clearing debris, oil-contaminated debris, utility poles, white goods, automobiles, and sand.
- Review and authorize various emergency registrations/authorizations and general permits for materials management facilities.
 - Temporary emergency storage facilities for tree and vegetative debris, and construction and demolition (C&D) debris that is not generated on-site.
 - Temporary emergency waste transporter permits authorized for the transport of regulated wastes such as raw sewage, septage, and sludge from a publicly owned treatment works (POTW), waste tires, waste oil, or industrial-commercial waste including hazardous and medical waste.
 - Registrations for small (<3 acre) landfills that accept only land clearing debris (outside of Long Island).
 - Other emergency authorizations and general permits handled through Regional staff, including activities such as the processing and burning of wood debris.
- Ensure that protected natural resources such as Rivers, Streams and Water bodies, Freshwater and Tidal wetland are protected during emergency response and recovery activities utilizing the emergency authorization and general permitting procedures.
- Monitor/activate Flood Protection Projects:
 - Monitor river stages and rates of water rise.
 - Initiate patrols of Flood Protection Projects and DEC-administered dams.
 - Deploy equipment and staff to areas of predicted need.
 - Install flood closures and initiate pumping as needed.
 - Inspect functionality throughout deployment.
- Limitations:
 - Depending on the quantity/scale of the waste generated, there may be a lack of materials management facilities with the capacity to handle certain wastes.

2. Support Agencies

NYS Canal Corporation (Canals)/New York Power Authority (NYPA)

- Canals may provide information related to waterways under Canals jurisdiction in times of flooding and drought.
- Management of canal water resources and collaboration with stakeholders such as state and local government agencies, municipalities, hydro operators, water managers, etc. to maintain canal navigation.
- Canals has limited capacity to provide personnel, engineering, and technical expertise in support of public works response efforts.
- Resources needed to meet Canals' and NYPA's infrastructure, engineering and operations needs would be prioritized.
- Emergencies impacting the canal system will limit the resources available from Canals if this ESF is activated.
- NYPA owns, operates, and maintains the only State-owned bulk power generation and transmission assets in NYS.
- NYPA's workforce includes engineers in the following areas; civil/structural, mechanical, and electrical.
- NYPA may provide support to NYS during an emergency as the event dictates.

NYS Department of Health (DOH)

DOH is responsible for public health within NYS and derives public health authority through State Public Health Law. In the event of a State declared disaster emergency, the Department is responsible for the management, coordination, and prioritization of health services and resources to support the health and medical needs of impacted areas and critical infrastructure personnel (e.g. State government, response agencies). The Department:

- Coordinates with local responders and authorities to provide guidance and support for public health response, triage, treatment, and emergency medical transportation of victims of a Regional/County emergency or catastrophic event.
- Provides coordination, guidance and support to local health and healthcare partners (including providers, hospitals, long term care facilities, and adult care facilities).
- Works with State response partners to coordinate and support the implementation of local evacuation operations of patients/residents of a healthcare facility in an impacted area before, during, and after a disaster emergency event.
- Provides subject matter expertise and departmental support for roles and responsibilities pre-designated in NYS CEMP.

NYSDOH Core Capabilities include the following:

- Support for public health safety after a natural disaster or other such event that impacts the ability to maintain and provide healthcare services.
- Health Risk Messaging to public and providers
- Support for water contamination issues and potable water sourcing
- Laboratory testing

NYS Department of State (DOS)

DOS has rapid damage assessment capabilities for buildings and structures. The agency can provide technical assistance during the design, permitting and reconstruction of damaged structures. The DOS may be able to provide contact information for local government officials.

NYS Division of Homeland Security and Emergency Services – Public Assistance (DHSES-PA)

DHSES-PA coordinates FEMA reimbursement after a Stafford Act declaration for debris removal and disposal, emergency protective measures, and the repair, replacement, or restoration of damage by a disaster. Once a Stafford Act declaration is granted, the majority of DHSES-PA staff will be involved directly in recovery efforts.

- Drafts the Governor’s request for a Stafford Act declaration.
- Provides technical support and advice on the eligibility of FEMA reimbursement for actions conducted under ESF #3.
- Aids ESF #3 in requesting FEMA Mission Assignments (primarily for debris removal).

State University of New York (SUNY)

SUNY and the Construction Fund stand ready to assist the State and the ESF #3 efforts during emergencies. However, resources to meet SUNY infrastructure and engineering needs would be prioritized and the availability of resources to other efforts may be reduced. Campuses and the Construction Fund have staff with credentials in construction related fields as well as code enforcement credentials.

NYS Department of Transportation (DOT)

DOT may provide public works and engineering technical and specially support and coordination. This includes civil engineering; engineers, technicians, specialist, managers, and supervisors. DOT may provide aid in the movement/transfer of woody debris.

NYS Thruway Authority (TA)

TA may assist with engineering and technical staff as requested. Authority staff available consists of Engineers, technical support staff, Managers and Supervisors that are capable of designing and implementing recovery efforts related to transportation. TA may provide aid in the movement/transfer of woody debris.

NYS Office of General Services (OGS)

OGS may provide procurement support for design and construction technical services through its Design & Construction Group’s Emergency Contracting Program.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination is key to leveraging the resources of each Federal ESF. As such, New York State ESF #3 will serve as the primary integration point for Federal ESF #3. The table on the following page summarizes Federal ESF #3 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF # 3 – Public Works and Engineering
ESF Coordinator: DOD/U.S. Army Corps of Engineers

Key Response Core Capability: Infrastructure Systems, Critical Transportation, Logistics and Supply Chain Management, Environmental Response/Health and Safety, Fatality Management, Mass Care Services, Mass Search and Rescue Operations

Coordinates the capabilities and resources to facilitate the delivery of services, technical assistance, engineering expertise, construction management, and other support to prepare for, respond to, and/or recover from a disaster or an incident. Functions include but are not limited to:

- Infrastructure protection and emergency repair
- Critical infrastructure reestablishment
- Engineering services and construction management
- Emergency contracting support for lifesaving and life-sustaining services

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and ESF coordinator. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are completed in New York Responds (NYR) prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support long-term recovery operations. DHSES-PA will coordinate with FEMA-PA to create a joint structure to effectively manage the declared event.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the ESF construct and implement the RSFs. RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate RSF, as warranted. It is important to note that not all federally declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF on the table below:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Housing	Infrastructure Systems	Natural & Cultural Resources
DEC	X	X	X		X	X
Canals					X	
DHSES	X	X	X	X	X	X
DOH	X	X	X	X	X	X
DOS	X	X		X	X	
DOT	X				X	
OGS		X		X	X	
NYPA					X	
TA	X				X	

Implementation and management of the Public Assistance Program to permanently repair, replace, or relocate damaged or destroyed public facilities and infrastructures will be the responsibility of the DHSES Recovery Section.

Specific demobilization actions will be conducted in accordance with the attached Standard Operating Guide.

Attachments

- Standard Operating Guidelines (SOG) for ESF #3: Public Works and Engineering.

ESF #4 Firefighting

Rev. Final
Date: March 2021

ESF Coordinating Agency:

NYS Division of Homeland Security and Emergency Services/Office of Fire Prevention and Control (DHSES/OFPC)

DPC Agency Members:

Department of Corrections and Community Supervision (DOCCS)
Department of Environmental Conservation (DEC)
Division of Military and Naval Affairs (DMNA)
Division of State Police (DSP)
Office of Parks, Recreation and Historic Preservation (OPRHP)
Department of State (DOS)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. The objective of ESF #4 is to coordinate State and local support for firefighting operations, including the detection and suppression of wildland, urban and wildland/urban interface fires.

SECTION I: General Considerations and Planning Guidelines

Introduction

New York State experiences a wide variety of natural and man-made disasters that may result in loss of life and the destruction of property. Fire damages hundreds of acres of natural resources every year. A large-scale disaster, like a wildland fire or conflagration, is likely to exhaust local resources and warrant support from the State. In addition, fire resources are typically used in response to hazardous materials, technical rescue and flooding incidents and may also support response efforts in other incidents. The State Comprehensive Emergency Management Plan (CEMP) encompasses response activities to all hazards, including fire. ESF #4 will be activated when essential firefighting services are needed to efficiently respond to a fire, or when fire resources are needed for emergency incidents. The New York State Office of Fire Prevention and Control (OFPC) is the coordinating agency for ESF #4.

Critical Capability

ESF #4 would support the following Critical Capabilities in New York State: Planning, Firefighting Support and Operations; Hazardous Materials Response

Purpose

The State CEMP has been structured into three distinct, but interconnecting volumes. These are:

- Volume 1: State Multi-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 State support or response. The CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other ESF's, functional, and hazard-specific annexes are built upon. ESF #4 Firefighting is a Functional Annex under Volume 2.

This Annex outlines ESF #4's coordination and delivery of firefighting response activities and resources. ESF #4 supports fire response activities through the activation and administration of the NYS Fire Mobilization and Mutual Aid Plan, as well as other sources. This Annex also includes the identification of resources that may be called upon to support structural inspections of buildings.

Scope

This Annex applies to all-natural and man-made wildland, urban and wildland/urban interface fire emergencies requiring State and local firefighting response, resources and coordination. This Annex will serve as the framework for providing State support for firefighting services that are beyond local resources capability, coincident with activation of the State Emergency Operations Center (State EOC). It will identify the structure used to assist firefighting operations, which may include the activation of the Fire Mobilization and Mutual Aid Plan (FMMAP). This Annex fully recognizes the statutory requirements of the involved agencies, and at no time will it circumvent such authorities.

Situation

Local and regional fire entities (departments, districts, fire protection districts) are the first line of defense for all fires and are often used to support and sustain other emergency response activities in urban, rural, and wildland settings. As a result, mutual aid is often required to sustain structural as well as wildland firefighting activities, and can also include supporting flood response, search and rescue activities as coordinated by ESF #9, hazardous materials incidents as coordinated by ESF #10, and other types of emergency responses. The use of aircraft for firefighting activities will require strict coordination with the Air Operations Branch identified in ESF #1. ESF #4 will coordinate with ESF #13 for responses with suspected criminal activities, and search and rescue, evacuation, and scene security as appropriate.

New York State is 30.9 million acres in size, with 18.9 million acres of forested lands. These forested lands possess the potential if favorable conditions exist for a fire to spread. Fuel, weather, and topography are the three primary factors that determine the spread of wildfires. There is also an undetermined amount of open-space non-forested lands that have significant wildfire potential. Wildland fires have the potential to threaten nearby communities in a wildland/urban interface setting and pose a different strategic firefighting method and additional challenge to responders.

Evacuation, sheltering, and family reunification actions may also need to be considered as each season, community, region and disaster offers its unique firefighting circumstances. During the summer and fall months, transient populations are higher in campgrounds and tourist areas, while winter conditions that warrant evacuation pose shelter and other challenges. As a result, ESF #4 may need to coordinate with the appropriate ESFs, such as ESF #6 (Mass Care, Emergency Assistance, Housing, and Human Services), to ensure that proper evacuation, sheltering and family reunification needs are met. ESF #4 could also be involved in the stabilization of hazardous materials operations.

Linkage to other State Plans

--NYS Comprehensive Emergency Management Plan (CEMP), Volume 2, Response and Short-Term Recovery

--NYS Fire Mobilization and Mutual Aid Plan (FMMAP)

--NYS Hazardous Materials Annex

Planning Assumptions

1. All planned, and emergency events begin and end at the local level.
2. Fires can occur naturally, however, people play a large role in starting fires accidentally (i.e. debris burning, campfires and in residences) and intentionally.
3. A fire could be the incident itself, or as a consequence of another incident.
4. Fire resources are typically used across a broad range of response activities. As a result, some of those resources may be unavailable.
5. It is anticipated that local fire departments would be fully engaged in their response efforts and would have maximized their local mutual aid plans.
6. Incidents may occur in one location or may occur coincidentally with other incidents throughout the State.
7. ESF #4 is not in a position to provide support to a local fire department's response for the initial attack.
8. The State Fire Administrator, as directed by the Governor or as requested by local government may order the implementation of the FMMAP.
9. Agencies under this ESF have their own authority and responsibility for fires based on the location of the fire, and the type of fire (e.g., wildland, urban). Those authorities will not be altered by activation of this ESF.
10. Other fire-based resources may be used to support operational areas of an emergency incident, such as snowmobiles, all-terrain vehicles and storm emergency fire units (SEFUs).
11. The NYS Hazardous Materials Annex and ESF #10 will be activated if hazardous materials are involved in the incident.

Concept of Operations

1. Local government and emergency services are the first line of defense for emergency response. In the case of fire responses, the local fire entity has the primary responsibility for the prevention, control extinguishment and cause determination of fires in their jurisdiction. Fire operations and mutual aid will be managed in accordance with the National Incident Management System (NIMS) Incident Command System (ICS). If the need for fire resources is beyond the capacity of the local/county resources, the local/county government may request State assistance.
2. The State may activate this ESF in response to requests for assistance, or as deemed appropriate based on circumstances. As conditions warrant, the FMMAP may be implemented to support the response. During State EOC activations, resources being coordinated under the FMMAP will be managed by OFPC in the Fire Operations Center (FOC). The FOC is co-located in the State EOC and serves as the coordination point for OFPC to manage its own organic assets or that of local responders.
3. If activated, the ESF will coordinate all fire-based resources in support of the incident. If warranted, Federal assistance may be required from Federal ESF #4 to supplement State and local activities. The Federal resource support that the State can leverage will be applicable to the type of fire (wildland, urban) or resource needs the State has in response to that incident.

4. As conditions warrant, the ESF will demobilize as requests for assistance of fire-based resources diminish, or as the State EOC demobilizes as a whole.

Policies or Authorities

- NYS Executive Law, Article 2-B and 6-C
- NYS Executive Law Article 18
- General Municipal Law 209(e) and 209(g)
- State Finance Law 54-e
- 9 NYCRR Parts 205, 370-378, Chapter 1, Subtitle 1; Part 621.12
- NYS Environmental Conservation Law Article 9, Title 11; Article 70
- Parks, Recreation and Historic Preservation Law, subdivision 8 of section 3.09, as amended
- NYS Executive Order # 26.1 of 2006

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SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and man-made hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the

State must complete an annual Threat Hazard Identification Risk Assessment, or THIRA. The State's THIRA is completed annually. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local-level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope, and cross several State-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

OFPC provides a wide variety of basic firefighter training to career and volunteer firefighters focused on fire prevention, suppression, and investigation. OFPC also provides specialized training in areas of hazardous materials and technical rescue response, all of which supports the FMMAP to assure a greater response capability.

DEC Forest Rangers provide wildfire and incident command system training to local fire service firefighters as well as special dedicated wildland firefighters as part of DEC's mission and US Forest Service grant awards.

OPRHP's forest rangers are provided basic wildfire training.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the State assessed its Critical Capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

OFPC maintains a response capability with full-time and part-time staff, including that of New York Task Force-2 (NY TF-2) to support hazardous materials, swift water rescue and other technical rescue response disciplines. Additionally, OFPC supports local responders through resource tracking, technical assistance at the scene and as requested for investigations.

Additionally, OFPC's Damage Assessment Response Team (DART) provides State, county and local emergency managers and code enforcement officials' assistance in conducting post-event rapid visual screening of buildings for the purpose of damage assessment and immediate safety evaluation. The evaluations are used to determine if damaged or potentially damaged buildings are safe for use, or if entry should be restricted or prohibited and to support the preparation of requests for presidential disaster declarations.

DEC Forest Rangers utilize local firefighters, NYS DOCCS, DEC employees, volunteers trained and qualified as wildland firefighters, Northeastern Forest Fire Protection Commission (Compact) firefighters and national resources through our NYS Operating Plan. Incident management team (IMT) support can be provided by NYS DHSES, FDNY, NE Forest Fire Compact, other US and Canadian forest fire compacts and/or several federal agencies.

Stockpiles, Supplies, and Specialized Equipment

OFPC has the appropriate technical equipment to support special operations personnel including but not limited to, personal watercraft, all-terrain vehicles, unmanned aerial vehicles (UAVs) and hand tools. OFPC also has resources, including foam trailers that they may deploy to coordinate and implement fire suppression operations. Through the activation of the FMMAP, OFPC has the responsibility to coordinate any locally owned fire service asset in response to an emergency including Storm Emergency Fire Units (SEFUs).

DEC Forest Rangers maintain sufficient tools and equipment to address historical wildland firefighting operations in New York. In addition, they may access national tool caches in the event more tools and equipment are required. DEC can provide ATVs/UTVs and vessels for the transportation of firefighting personnel and equipment. DEC can also provide a limited number of pieces of heavy equipment and operators, as well as chainsaw crews and UAVs to assist in firefighting operations. DEC can provide personnel with significant training and experience in ICS during emergency responses.

New York State Police (DSP) Aviation Unit routinely provides helicopter and fixed-wing services on problematic fires across the State under the direct command of forest rangers. State police helicopters locate and size up fires, transport fire crews to remote locations, transport cargo loads to off-road fire scenes and use "bambi-buckets" to drop water on fires. When conditions are "right"(increased potential for wildfire starts), Rangers will request Fixed-wing assets be used for aerial detection flights.

The Division of Military and Naval Affairs (DMNA) may provide aerial firefighting assets for wildfires. DMNA has three flight facility locations in the State situated at Ronkonkoma, Latham, and Rochester. The helicopter platforms have logistical requirements that differ from ground-based firefighting equipment.

OPRHPs firefighting resources are, but also not limited to, hand tools, personnel, 4-6 Forest Rangers, and a limited supply of large equipment (etc. bulldozers).

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

- State Fire Mobilization and Mutual Aid Plan. OFPC maintains copies of the county mutual aid plans.
- MOU for use of DOCCS inmate crews. DOCCS can provide a self-sustaining firefighting work crew typically consisting of a Supervising Sergeant, a corrections officer, and 10 inmates. Work crews are provided transportation by DOCCS, and are provided all meals and personal protective gear (i.e. safety glasses, hard hats, and reflective vests). The firefighting work crew brings a fire truck with a fire wagon, fire retardant coveralls, rakes, shovels, and Indian tanks. Crews may deploy as early as daybreak, and must return before dark. DOCCS vans may also transport emergency personnel at the scene.

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant. These are:

**NYS EOC
Activation Levels**

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- NYS OEM Staff only.
- Agencies may be asked individually to support any remote operations or to report from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.

- ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- Member Agencies will work in coordination with the ESF Coordinating Agency to operate and report under the ESF structure.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, member agencies will be activated.
- Member Agencies will work in coordination with the ESF Coordinating Agency to operate and report under the ESF structure.
- The activities of the State ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) - 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State's ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs, if established. ESF #5 is assumed by the Planning Section in the State EOC; ESF #7 is assumed by the Logistics Section in the State EOC, ESF #15 is situated in the Command Element.

Assignments of Responsibilities

It is the policy of the State that local government and emergency services are the first line of defense for emergency response. In the case of wildfire, the local fire department has the primary responsibility (incident command) for the control and containment of wildfires in their jurisdiction.

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality, and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency - NYS Office of Fire Prevention and Control (OFPC)

OFPC will serve as the ESF Coordinating Agency for ESF #4. Through the activation of the FMMAP, OFPC has the responsibility to coordinate any locally owned fire service asset in response to an emergency including Storm Emergency Fire Units (SEFUs). Additionally, OFPC supports local responders through resource tracking, technical assistance at the scene and as requested for investigations.

OFPC also supports the Damage Assessment Response Team (DART) program that provides State, county and local emergency managers and code enforcement official's assistance in conducting post-event rapid visual screening of buildings for the purpose of damage assessment and immediate safety evaluation.

2. Support Agencies

NYS Department of Environmental Conservation (DEC)

The Department of Environmental Conservation's Division of Forest Protection ("DEC Forest Ranger") is designated New York's lead agency for wildfire mitigation in the State's Comprehensive Emergency Management Plan. The Division of Forest Protection has a statutory requirement to provide a forest fire protection system for 657 of the 932 townships throughout New York. This area excludes cities and villages and covers 23.5 million acres of land including State-owned lands outside the 657 towns. The Lake Ontario Plains and New York City-Long Island areas are the general areas not included in the statutory protection. Regardless of the jurisdiction or location of a wildfire, fire departments and forest rangers have a long history of working together to control the most serious wildfires that occur anywhere in the State.

NYS Office of Parks, Recreation and Historic Preservation (OPRHP)

OPRHP has jurisdiction for Parks' land only, unless otherwise directed to assist in a fire event. If a fire occurs on Parks' land, the OPRHP personnel are responsible to extinguish the fire. The Palisades Interstate Parks

Commissions (PIPC) has sole jurisdiction of fires on PIPC land, under law. OPRHP has no responsibilities related to urban fires.

NYS Division of Military and Naval Affairs (DMNA)

Military forces are not first responders, but, the National Guard is the first level of military response. National Guard response generally is able to deploy from armories at notification +24 hours. DMNA can provide aerial firefighting assets for wildfires.

NYS Division of New York State Police (DSP)

DSP will lead investigative assistance to agencies with jurisdiction or take a lead role in areas where they have jurisdiction for incidents handled under ESF #4 when determined or suspicion of criminal liability is present.

NYS Department of State (DOS)

DOS has rapid damage assessment capabilities for buildings and structures. The agency can provide technical assistance during the design, permitting and reconstruction of damaged structures. The DOS has contact information for local government officials. Assessments are limited to day time operations.

NYS Department of Corrections and Community Supervision (DOCCS)

DOCCS can provide inmate work crews to assist in wildland firefighting as outlined within the MOU.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination is key to leveraging the resources of each Federal ESF. As such, New York State ESF #4 will serve at the primary integration point for Federal ESF #4. The table below summarizes Federal ESF #4 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF # 4 - Firefighting
ESF Coordinator: USDA/U.S. Forest Service and DHS/FEMA/U.S. Fire Administration
Key Response Core Capability: Operational Communications, Logistics and Supply Chain Management, Infrastructure Systems On-Scene Security, Protection, and Law Enforcement Public Health, Healthcare, and Emergency Medical Services, Fire Management and Suppression, Situational Assessment.
Coordinates the support for the detection and suppression of fires. Functions include but are not limited to: <ul style="list-style-type: none">• Support to wildland, rural, urban and wildland/urban interface fires.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term

recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs, and will be jointly determined by OEM and the ESF coordinator. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF, if needed, based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary. In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a Federally-established Joint Field Office (JFO). JFOs are established, operated and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments, and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all federally-declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to the RSF in the table on the following page:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
OFPC	No RSF Assignment					
DOCCS			X	X		
DEC	X	X	X	X	X	
DMNA				X		
DSP	No RSF Assignment					
OPRHP	X			X	X	
DOS	X	X		X		X

Attachments

- Standard Operating Guidelines (SOG) for ESF #4.



ESF #5 Information and Planning

ESF Coordinating Agency:

NYS Division of Homeland Security and Emergency Services/Office of Emergency Management (DHSES/OEM)

DPC Support Members:

Activated DPC Agencies – as warranted

Non-DPC Members:

National Weather Service – Albany (Federal)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the framework for coordinating response activities for disasters or emergencies that go beyond the capabilities of local resources. The ESFs are mechanisms used to group activities most often needed for responding to incidents. At the State level, coordinating and managing the delivery of information and planning during an active emergency falls upon the agencies that comprise the Disaster Preparedness Commission (DPC). The main objective for ESF #5 is to minimize the impact on communities by managing and providing timely, reliable, and accurate situational information aimed at informing decision makers and field-level responders.

SECTION I: General Considerations and Planning Guidelines

Introduction

The State of New York experiences a wide variety of disasters and emergencies that may result in loss of life, damage and destruction of property, and negatively impacts whole communities.

A disaster of significant magnitude, with substantial damage and destruction to communities, can cause immense human suffering. Disasters have the potential to exhaust resources at the local level, which warrants support from the State to effectively respond to the event. The State provides that support through the activation of the State Emergency Operations Center (EOC). The State EOC is the focal point for the State's response, which provides the direction and control of State ESFs through an incident command structure. The State will activate the ESFs that are essential in efficiently responding to the incident.

ESF #5 provides support to all agencies and Non-Governmental Organizations (NGOs) through the management, collection, evaluation, and dissemination of tactical information regarding the incident. In times of disaster, New York State agencies will be used to augment local resources to provide and administer programs with the focus of responding quickly and effectively to meet the needs of disaster survivors. The implementation of those activities is facilitated in part by the information captured by agencies in ESF #5.

Purpose

The purpose of the annex is to identify the State's policies, authorities, and response structure that will be implemented to support planning and information activities to help communities severely impacted by an

**Critical
Capability**

ESF #5 would support the following Critical Capabilities in New York State: Planning and Information-Sharing and Intelligence Analysis.

emergency or disaster. This document builds upon the structure of the State Comprehensive Emergency Management Plan (CEMP).

The State CEMP is comprised of three distinct, but interconnected volumes. They are:

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

This document identifies the concept of operations, lines of coordination, and describes how New York State will compile, analyze, and coordinate overall information and planning activities in the State EOC.

This document outlines the structure for collecting, receiving, verifying accuracy, and reporting information about the incident, including internally from ESFs to ESF #5 and from ESF #5 to leadership.

Linkage to other State Plans

ESF #5 will be used to support the State Comprehensive Emergency Management Plan, Volume 2; as well as the following: State Radiological Emergency Preparedness Plan and State EOC procedures.

Scope

This annex applies to all natural, technological, and human-caused disasters or emergencies that necessitate activation of the State EOC and a Planning Section. ESF #5 gathers information for the specific purpose of planning, decision-making, developing incident reports, and incident action planning. Activities encompassed within the scope of ESF #5 include:

- Serve as a focal point for the receipt and distribution of incident information.
- Coordinate with regional local, tribal, and private sector operations centers and emergency management organizations to facilitate the flow of situational information.
- Collect, process, analyze, and distribute critical information that guides response and short-term recovery activities.
- Through scientific sources, provide characterization of storm severity, impacts, forward speed, and cascading effects.
- Make estimates and predictions on chemical, radiological, or toxicological exposures.
- Collect and summarize damage assessment data, track local response activities, emergency declarations, and impacts.
- Coordinate incident planning in the State EOC including development of information products such as: briefings, status board, reports, and legacy files and records.

In accomplishing its mission, ESF #5 will work closely with other State ESFs and credible sources to provide situation status updates to guide incident action planning activities.

Situation

New York State experiences a variety of disasters and emergencies that may result in the loss of life, or damage or destruction of property. New York State is the third largest state in populace. In 2019, the U.S. Census Bureau estimated that 19.4 million people resided across New York State, with an estimated 8.3 million people residing in New York City. New York State spans 54,556 square miles, ranking it the 27th largest state by size. New York State is bordered by six U.S. states and shares a border with Canada. Additionally, New York State touches the Atlantic Ocean, Lake Erie, and Lake Ontario.

Under the authority designated by State Executive Law Article 2-B, the Director of the State Office of Emergency Management will determine when the State EOC is activated and to what level of activation. In most cases, ESF

#5 Information and Planning will be an essential activity every time the State EOC is activated. Information will be disseminated through established protocols in the State EOC.

The DHSES Strategic Plan 2021-2023 noted that there have been 76 major disaster declarations since 1954. Additionally, the State has responded to 29 terrorist plots since September 11, 2001 (9/11). The State EOC has been activated for a variety of incidents, including natural, technological, or human-caused events such as severe winter storms, flooding, ice jams, mass gatherings, 9/11, Superstorm Sandy, and Lake Ontario flooding. Information is essential during notice or no notice events, especially the need for quick, reliable, and accurate information. However, due to the nature and/or type of incident, information may take longer to receive, especially if there is damage to critical infrastructure or a verifiable boots-on-the-ground source is not in the immediate area.

The information and intelligence sharing that ESF #5 performs during EOC activations allows the State and its stakeholders the ability to take proactive measures to lessen the likelihood and impact of emergencies, disasters, and hazards that threaten New York State. Additionally, ESF #5 assists with the management and maintenance of situational awareness which assists the State in responding to and recovering from disasters, emergencies, and incidents that occur in New York State.

ESF #5 will coordinate with other ESF's and/or supporting agencies to provide briefs, reports, or necessary information to EOC and/or State leadership. ESF #5 may coordinate with ESF #15 but it is outside the role of ESF #5 to release information directly to the public.

Planning Assumptions

1. ESF #5 will activate when the State EOC activates, regardless of activation level, in order to provide information and planning functions.
2. There will be an immediate and continuing need to collect, verify, process, and disseminate situational awareness information and identify urgent response requirements before, during, and immediately following a disaster or emergency.
3. In the early stages of a disaster, limited information may be available and/or the reporting of information may be inaccurate, interrupted, or delayed. The information that is available will need to be vetted and verified.
4. State agencies and field personnel will be the most vital sources of information regarding initial response needs.
5. Reporting of information may be delayed due to damaged infrastructure and the interruption of standard methods of communication.
6. ESF #5 will request information from other State ESFs operating in the State EOC and from field sources.
7. ESF #5 will coordinate, as needed, with ESF #13 and the Division of State Police to obtain intelligence information that supports the operation. The release and/or sharing of such information will follow established protocols regarding the handling of law enforcement sensitive information.
8. ESF #5 may request plume modeling capabilities from other State agencies or ESFs operating in the State EOC. This request may be done in coordination with ESF #10.
9. In a radiological emergency, ESF #5 will be augmented by a dose assessment and evaluation function, led by the NYS Department of Health.
10. ESF #5 does not release information directly to the public. The ESF may provide information to ESF #15 for dissemination, as appropriate.
11. The State will endeavor to integrate ESF #5 with Federal ESF #5 when deployed to the State EOC.

Concept of Operations

1. An event occurs with or without warning that warrants consideration to activate the State EOC. New York State Office of Emergency Management (OEM) will determine the level of activation and which ESFs will

be activated, including if ESF #5 is activated. State OEM will also determine the level of representation required by ESF #5 to support the incident.

2. Initial emphasis will be focused on characterizing the incident to inform leadership of the situation. ESF #5 will make use of all available information sources and will be responsible to support briefings, produce reports, update information on an as needed or ad-hoc basis, and display key information.
3. ESF #5 will be required to attend operational planning meetings necessary to coordinate incident action planning.
4. A determination will be made by State OEM leadership as to what type(s) of reports will be needed, the frequency of such reports, and identify any ad-hoc reporting requirements.
5. In the event of a Federal declaration, State ESF #5 will integrate with Federal ESF #5, as required. In such cases, Planning Section efforts will integrate regarding incident action planning/plans, situational reporting, advanced planning, and demobilization planning.

Policy or Authorities

- NYS Executive Law, Article 2-B
- NIMS Executive Order 26.1 of 2006
- Multiple State EOC policies/procedures

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

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All levels of government are responsible for implementing a dynamic community outreach (e.g. media and public information coordination release) campaign prior to and during emergency situations. Materials may include

information such as (but not limited to): personal/home and pet preparedness, safety kits, safety tips, emergency communications, maps, emergency telephone contacts, and pre-identified potential shelter locations and their ability to handle persons with disabilities and functional or cognitive impairments.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment, or THIRA.

The State's THIRA is completed annually. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

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As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

The Planning Section in the State EOC possesses supplies and equipment that are necessary to perform the mission of ESF #5, such as computers, monitors, internet access, phones, maps, notebooks, and writing utensils. Additional supplies and technology assistance can be acquired through ESF #7 (Logistics), if needed.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

There are currently no MOUs or LOAs for ESF #5.

SECTION III: Response

Alert and Notification

The State Office of Emergency Management, through consultation with the Governor's Office, will direct and implement State response activities as identified in the New York State CEMP. Depending on the nature and scope of the incident or event, participation from state agencies may vary.

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the State OEM serving as the ESF coordinator. These are:

NYS EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

Level 4 Enhanced Monitoring: A small, isolated, or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- OEM staff assumes the position of ESF Coordinator.
- Basic incident reporting may occur.
 - Leaders Intelligence Reports (LIRs) or ad-hoc reporting may be required for situational awareness.
 - State agencies may be asked to provide remote reporting if needed.

Level 3 Partial Activation: An incident or event requiring a partial activation of State EOC with partial ESF activation.

- State OEM is activated.
- OEM staff assumes the position of ESF Coordinator.
 - Additional agencies may be requested to support reporting requirements and/or serve as technical specialists.
 - Not all member agencies may be required.
- Incident Reporting.
 - State OEM will compile the report of activities of all ESFs.

- ESF #5 will provide and coordinate all relevant weather-related situational information.
- Leaders Intelligence Reports (LIRs) or ad-hoc reporting may be required for situational awareness.
- Resource Management.
 - If solely activated, State OEM will provide the needed capability as appropriate.
 - Any member agencies activated will coordinate their capability through the State OEM.

Level 2 Full Activation: An incident requiring full State EOC activation with ESF activation.

- State OEM is activated and will assume the role of ESF #5 Coordinator.
 - All State EOC planning functions will become active.
 - State OEM will request additional staffing from DHSES and other agencies to support reporting demands, as appropriate.
- Incident Reporting.
 - State OEM will compile the report of activities of all ESFs.
 - ESF #5 will provide and coordinate all relevant weather-related situational information.
 - Leaders Intelligence Reports (LIRs) or ad-hoc reporting may be required for situational awareness.
- Resource Management.
 - State OEM will provide the needed capabilities.
 - Any member agencies activated will coordinate their capability through the State OEM.
 - The activities/synopsis of technical specialists (e.g., meteorologists) will be coordinated through the ESF.

Level 1 Full State/Federal Response: An incident requiring full State EOC activation with ESF activation, as well as Federal ESF integration and coordination.

- State OEM is activated and will assume the role of ESF #5 Coordinator.
 - State OEM will request additional staffing from DHSES and other agencies to support reporting demands, as appropriate.
 - State OEM will interface and coordinate with Federal ESF #5 to manage incident reporting, incident action planning, and situational assessments.
- Incident Reporting.
 - State OEM will compile the report of activities of all ESFs.
 - ESF #5 will provide and coordinate all relevant weather-related situational information.
 - Leaders Intelligence Reports (LIRs) or ad-hoc reporting may be required for situational awareness.
 - The ESF will ensure any reporting on State activities by Federal ESF #5 is accurate and in the correct context.
- Resource Management.
 - State OEM will provide the needed capabilities through coordination with the Federal ESF #5 lead.
 - Any member agencies activated will coordinate their capability through the State OEM.
 - The activities/synopsis of technical specialists (e.g., meteorologists) will be coordinated through the ESF.

Linkage to other Documents

Emergency Support Function #5 Annex will work in conjunction with:

- State EOC Policy/Procedures
- Job Aids/Checklist
- ESF #5 SOG

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System (ICS) as required by NIMS Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) – 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State’s resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State’s ESFs is inherently different than the Federal construct under the NRF. Except for ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section and report directly to the Operation Section Chief (OSC) or Branch Chiefs, if established. ESF #5 is assumed by the Planning Section in the State EOC, ESF #7 is assumed by the Logistics Section in the State EOC, and ESF #15 is part of the command element.

ESF #5 is assigned under Planning. The Planning Section Chief or designee will be the primary interface with the member agencies of the ESF. All requests for information will be managed through the Planning Section Chief or designee.

Assignments of Responsibilities

ESF #5 will be required to maintain continuous data and information collection and analysis to have accurate and up to date situational awareness. Continuous information assessment activities include efforts to:

- Develop and maintain the Incident Support Plan.
- Coordinate on time, up-to-date reporting, and displaying of information.
- Assess status of deployed agencies and personnel.
- Report weather data, exposure levels, and areas of concern.
- Provide scientifically sound data and projections to the Command Element.
- Track and manage status of proclamations and or declarations.
- Support the development of incident priorities and objectives.
- Display critical information on maps, flow charts, and NY Responds.

ESF #5 is responsible for preparation of Situation Reports utilizing ESF and field reports. Leaders Intelligence Reports are also generated from the information collected and analyzed by ESF #5. The following agencies will assist with these assignments and responsibilities.

1. Coordinating Agency - NYS Office of Emergency Management (OEM)

As the coordinating agency, State OEM will manage and oversee the State EOC Planning Section. The agency responsibilities are as follows:

- Overall management of the Planning Section during State EOC activations.
- Develop and maintain an ISP for each operational period during an activation.
- Provide support for operational briefings and participate in command and general staff meetings and/or all other meetings as required.

- Develop Situational Reports and any other ad-hoc reporting for situational awareness during each operational period, as required.
- File, store, and maintain all incident documentation and ensure proper display of critical information on maps, flow charts, and NY Responds.
- Integrate the State EOC Planning Section activities with FEMA response efforts, as needed.

Technical Specialists

Depending on the incident, some events may warrant the presence of a subject matter expert (SMEs) to help characterize the situation. In such cases, ESF #5 will solicit input from SMEs to provide input and support to the Planning Section. Examples may include but are not limited to:

- Fire behavior specialists;
- Health physicists;
- Meteorologists;
- Environmental engineers;
- Toxicologists;
- Epidemiologists; and/or
- Geographic Information System (GIS) specialists, etc.

National Weather Service (NWS)

Specific events may occur that warrant technical specialists to further refine weather data, forecasts, and risk information. As such, the NWS will provide a staff person to:

- By using existing data, provide technical analysis and review of current forecast models and summaries.
- Provide insight into weather forecasting and variables to consider, such as timing, type of precipitation, potential impacts, and intensity.
- Provide additional graphics for display and decision-making purposes.
- Provide operational briefings to State agencies in the State EOC.

Radiological Assessment and Evaluation:

The radiological assessment and evaluation elements are functions of multi-agency technical specialists. The concept of radiological assessment and evaluation originates in the state radiological emergency preparedness program and has a direct application for accidents involving commercial nuclear power plants. The purpose of such an assessment is to determine the potential or actual consequences of a radiological emergency to aid in supporting informed decision making and protective actions. Armed with information, the State can identify and implement protective actions to reduce or eliminate the risk of radiation exposure. In response to radiation emergencies, the State Department of Health Bureau of Environmental Radiation Protection (DOH/BERP) is the lead agency/bureau in assessing health impacts. DOH/BERP can be provided technical support from other bureaus and agencies, as appropriate. These include:

- The NYS Department of Health Laboratory of Inorganic and Nuclear Chemistry (Wadsworth Center) will perform laboratory analysis of samples collected.
- The NYS Department of Environmental Conservation (DEC) will provide staff to support in meteorology, dose assessment, environmental monitoring, and sampling.
- The NYS Department of Agriculture and Markets (DAM) will provide staff to support sampling of milk and evaluation of the need for protective actions relating to the milk and food supply.

- The Department of Public Service (DPS), NYS Energy Research and Development Authority (NYSERDA), and DOH will provide staff to assist in assessment and evaluation of the status of fixed-site reactor systems.

The State Assessment and Evaluation (A&E) unit has various resources to use during the assessment phase including:

- Relayed data on the prevailing radiological release rates.
- Meteorological conditions and real-time parameters.
- Radiological laboratory analysis.
- On-going assessments from nuclear safety specialists from the NFO, NRC, and State agencies.
- Field and other environmental monitoring data.
- Federal and National lab sources, such as:
 - National Atmospheric Release Advisory Center (NARAC) analyses;
 - Federal Radiological Monitoring and Assessment Center (FRMAC); and
 - U.S. Department of Energy (DOE) Radiological Assistance Program (RAP) teams.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #5 will serve at the primary integration point for Federal ESF #5. The table below summarizes Federal ESF #5 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF #5—Information and Planning ESF Coordinator: DHS/FEMA
Key Response Core Capabilities: Situational Assessment, Planning, Public Information, and Warning
Supports and facilitates multi-agency planning and coordination for operations involving incidents requiring Federal coordination. Functions include but are not limited to: <ul style="list-style-type: none"> • Incident action planning. • Information collection, analysis, and dissemination.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for reactivation of the ESF, if needed, based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

The process of demobilizing ESF #5 will likely occur in unison with the remainder of the State EOC. Agencies that are called upon to support ESF #5 will be released, as conditions warrant. However, unique circumstances may warrant prolonged or supplemental situational reporting and information sharing during a chemical or radiological emergency. In such cases, a scientific support function may continue for an extended period in the State EOC, or virtually if the reporting requirements can be met remotely.

Transition to Long-Term Recovery

As the urgency of a response lessens and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a Federally-established Joint Field Office (JFO). JFOs are established, operated and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery.

It is assumed that ESF #5 will demobilize as short-term recovery is evident. There is no expectation that ESF #5 will remain activated into long-term recovery. However, certain radiological emergencies may warrant that a dose assessment function continue for an extended period.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building; Economic, Health and Social Services; Housing; Infrastructure Systems; and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal government transitions their Emergency Support Functions (ESF) construct to Recovery Support Functions (RSFs), the State's ESF posture will be required to transition into the RSF construct as well. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is understood that in most cases, ESF #5 will have no transition into any of the Recovery Support Functions. However, specific cases may warrant a scientific assessment and evaluation function to help inform long-term recovery operations and site optimization. In such cases, the scientific assessment and evaluation function will need to continue in the State EOC or virtually until the risk of radiation exposure is no longer a concern.

Attachments

- Standard Operating Guide (SOG) for Direction and Control.



**ESF #6 Mass Care, Emergency Assistance,
Housing, and Human Services**

Rev. Final
Date: March 2021

ESF Coordinating Agency:

Division of Homeland Security and Emergency
Services (DHSES)

Office of Mental Health (OMH)
Office for Persons with Developmental Disability
(OPWDD)
Office for Victim Services (OVS)
State Education Department (SED)

DPC Support Members:

American Red Cross (ARC)
Department of Agriculture and Markets (DAM)
Department of Corrections and Community
Supervision (DOCCS)
Department of Financial Services (DFS)
Department of Health (DOH)
Department of Labor (DOL)
Department of State (DOS)
Homes and Community Renewal (HCR)
Office for the Aging (SOFA)
Office of Children and Family Services (OCFS)
Office of General Services (OGS)

Non-DPC Members:

Department of Motor Vehicles (DMV)
Office of Temporary and Disability Assistance
(OTDA)
Salvation Army (SA)
State Justice Center (SJC)
State University of New York (SUNY)
Voluntary Organizations Active in Disaster (VOAD)
Veterans Affairs (VA)
Private Sector

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that exceed the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, coordinating the delivery of mass care, emergency assistance, housing, and human services are vital roles in the State’s response. The objective of ESF #6 is to minimize the impact of disasters on populations by quickly and efficiently providing comprehensive services through the integration of the Whole Community approach. Therefore, maintaining the focus on individual preparedness and community engagement to enhance resiliency.

SECTION I: General Considerations and Planning Guidelines

Introduction

The State of New York experiences a wide variety of disasters and emergencies that may result in the loss of life, damage or destruction of property, and negatively affect community members.

A disaster of significant magnitude, with substantial damage and destruction to communities, can cause immense human suffering. Disasters have the potential to exhaust resources at the local level, which warrants support from the State to effectively respond to the event. The State will activate the ESFs that are essential in efficiently responding to the incident. In many incidents, ESF #6 Mass Care,

**Critical
Capability**

ESF #6 supports the following critical capabilities in New York State: Planning, Mass Care, Emergency Assistance, Housing, and Human Services.

Emergency Assistance, Housing, and Human Services, will be one of the initial ESFs to be activated due to the critical capabilities involved in providing essential emergency assistance and sheltering.

ESF #6 consists of 15 New York State Disaster Preparedness Commission (DPC) agencies, as well as non-DPC agencies and Non-Governmental Organizations (NGO's), which function under a hierarchical management structure. In times of disaster, State agencies will be used to augment local resources by providing and administering programs with the focus of responding quickly and compassionately to the needs of disaster survivors. These services may include but are not limited to providing food and housing, counseling and information services, links to financial assistance, and support for unmet needs.

The New York State Division of Homeland Security and Emergency Services (DHSES) is the coordinating agency for ESF #6 response activities. This ESF annex will be used as a guide to support local jurisdictions with State, NGO, and Federal mass care resources during times of disasters or emergencies. This annex offers information and guidance, as well as a process for coordinating resources in support of local sheltering and feeding operations.

Purpose

The purpose of this annex is to identify the State's policies, authorities, and response structure that will be implemented to support mass care, emergency assistance, housing, and human services operations for populations severely impacted by an emergency or disaster. This document builds upon the structure of the State Comprehensive Emergency Management Plan (CEMP).

The State CEMP was developed in 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

This document outlines the State's coordination and delivery of response activities related to non-medical mass care, emergency assistance, housing, and human services when local needs exceed local capabilities. In addition, this document identifies the concept of operations, lines of succession, and the centralized coordination of resources that will be utilized in directing the State's resources and capabilities in responding to a disaster. This annex defines the responsibilities and procedures of ESF #6 activities for supporting local jurisdictions that are affected by an emergency or disaster or are seeking protection from an imminent or actual hazardous event.

This document outlines the structure for collecting, receiving, and reporting information about the status of disaster survivors in the event of an emergency and assists with family reunification.

Scope

This annex applies to all natural, technological, and human-caused disasters or emergencies necessitating mass care, emergency assistance, housing, and human services resources. This annex describes the framework for providing State support and coordination of mass care, emergency assistance, housing, and human services to assist individuals, households, and families impacted by an incident.

Linkage to other State Plans

ESF #6 will be used to support the New York State Comprehensive Emergency Management Plan (CEMP), Volume 2, Response and Short-Term Recovery, as well as the Mass Care Appendix, and other relevant ESFs.

This annex does not apply to medical needs shelters, as those activities are addressed in ESF# 8, Public Health and Medical Services. However, coordination and communication are required between ESF #6 and ESF# 8 to ensure appropriate coordination of services. Additional support for companion or service animal sheltering will require assistance from ESF# 11, Agriculture and Natural Resources.

During the initial response activities, ESF #6 will focus on life-sustaining actions and meeting the urgent needs of individuals, households, families, and whole communities which have been severely impacted. ESF #6 will have four core mission areas during a response prior to Long-Term Recovery. The Coordinating Agency may identify specific member agencies to assist in various roles based on the nature of the event. These agencies will assist the four Core Mission Groups and provide support based on their agency's capacities and the specific needs of the event.

The four core mission areas are outlined below:

Mass Care: Support congregate sheltering, feeding, distribution of emergency supplies, and family reunification.

Emergency Assistance: Coordination of voluntary organizations, essential relief services, non-congregate and transitional sheltering, support for individuals with disabilities and others with Access and Functional Needs (AFN) in congregate facilities, mass evacuation assistance, and support for rescue, transportation, care, shelter, and essential needs of household pets. Provide essential needs of service animals. These activities will require additional support through ESF #11.

Housing: Temporary housing options including rental, repair, identification and provision of safe, secure, functional, and physically accessible housing and access to other sources of temporary housing assistance.

Human Services: Disaster assistance that helps survivors address unmet disaster caused needs and/or non-housing assistance; also includes supplemental nutrition assistance, crisis counseling, disaster case management, unemployment, and other programs available to disaster survivors.

Situation

It is important to note that New York State is the fourth most populous State in the Nation, and New York City is the most populous city in the United States. Also, New York is the 27th largest state by size, covering over 54,000 square miles, and is the only State that touches both the Great Lakes and the Atlantic Ocean.

Depending on the size and scope of the event, State response actions may occur consecutively or concurrently with the local response activities. State ESF #6 response activities will focus on providing basic human essentials. In some incidents, ESF #6 may be one of the earliest ESFs to be activated due to the role of pre-event sheltering and feeding needs.

Entire communities of residents may become displaced from their homes. Residents that do not stay in shelters (sheltering in place or staying with family or friends) may still require other human services resources. Families may become separated due to road closures, evacuations, or multiple shelter locations. Extended utility outages may occur during winter storms or extreme weather events, requiring those without damage to their primary domicile to seek alternate shelter options. Individuals with AFN may require additional support in evacuation or sheltering. Provisions for durable medical equipment (DME), access to assistive technology (AT), or personal support services (PAS) may assist these individuals in maintaining supported independence throughout the emergency rather than diversion to an institutional setting.

Although the State has a cache of resources and response capabilities that can be applied in any incident, some events may overwhelm the capabilities of the State and require Federal assistance. In order to effectively respond to the populations mass care needs, State ESF #6 will serve as the primary liaison with Federal ESF #6. Additional support for AFN may require coordination across state and Federal ESF #8 as well.

Planning Assumptions

1. Local government mass care resources will likely be overwhelmed, and State assistance will be requested.
2. Local government has begun the process for any necessary evacuations, to include opening of temporary shelters and initial mass care activities.
3. The State will support local efforts, including sheltering for all populations, feeding, and distribution of emergency supplies.
4. Identification of alternate shelter sites may be required, should pre-designated sites sustain damage or become uninhabitable.
5. Sheltering and short-term housing may need to be located outside the impacted area.
6. Shelters and other facilities utilized in mass care activities will be required to be compliant with the Americans with Disabilities Act (ADA) and meet the needs of individuals with AFN. Individuals and families may have specific needs which may not be immediately apparent or recognized at the time of the emergency, such as specific dietary needs, conditions that affect communication, limited English proficiency, disabilities, or chronic medical conditions that require a need to coordinate with ESF #8 to support medical or mental health needs. Most individuals with AFN, including individuals with disabilities, can be supported in a general population shelter environment through provision of materials such as DME, AT, or PAS.
7. Federal assistance may be required to augment local and State efforts in providing mass care relief, as the need for short-term, temporary emergency housing may surpass local and State resources.
8. Mass care response activities will continue until all emergency and life safety issues are resolved and will assist with the transition of individuals into recovery when Disaster Assistance Centers and Disaster Recovery Centers are activated and fully functioning.
9. Disaster mental health support may be required at mass care service facilities.
10. If significant damage has occurred, short-term and temporary shelters and housing solutions will transition into long-term housing solutions, to include possible relocation or consolidation.
11. Cook chill, the process of food preparation of rapid chilling of cooked food, may be used for shelters, fixed feeding sites, and mobile distribution.
12. Spontaneous community shelters may open without adequate supplies and may require assistance and supplies to sustain operations.
13. Disruption caused by debris, damage, or relocation of residents may cause disruption in postal activities or commerce, create financial hardship, and limit accessibility of communication systems.

14. Security may be required to support shelters and/or recovery centers.
15. Family reunification activities may be necessary should family members become separated or should unaccompanied minors arrive at shelters or other service sites.
16. Solicited and unsolicited volunteers, as well as non-governmental organizations (NGOs), may offer assistance, causing normal intake processes for volunteers to become overwhelmed.
17. Federal agencies may engage in a unilateral response and/or offer assistance under their statutory authority to affected areas in lieu of a presidential declaration.
18. Populations with limited English proficiency or with specific cultural needs may require additional assistance, such as interpretation services or specific dietary requirements.
19. Individuals with limited literacy skills or individuals with cognitive difficulties may require additional assistance, such as additional instructions for service access described in plain language and provisions for additional time to process information.
20. Coordination with ESF #11 may be required for pet or pet friendly shelters, as requested.

Concept of Operations

1. An event occurs with or without warning that warrants consideration to activate the State EOC.
2. State OEM will determine the level of activation and which ESFs will be activated, including ESF #6.
3. State OEM, in coordination with the ESF Coordinating agency, will determine the level of representation required by ESF #6 to support the incident. The ESF coordinating agency may consult with the agencies within the ESF in order to communicate about a potential activation, discuss the situation, and make an informed determination based on internal conversation regarding which agencies within the ESF to activate.
4. Depending on the nature and scope of the incident or event, participation from ESF #6 member agencies may vary.
5. In the event of a Federal declaration, State ESF #6 will integrate with Federal ESF #6, as required. Upon activation of a Federally established Joint Field Office, the coordinating role of ESF #6 will transition within offices of DHSES (IA and OEM). In doing so, DHSES IA will provide a representative to ESF #6 for supporting the implementation of emergency assistance functions.
6. As Federal recovery support functions begin to activate, State ESF agencies involved will transition from the ESF to the appropriate Recovery Support Functions (RSFs), as appropriate.
7. Specific demobilization actions will be conducted in accordance with the ESF #6 Standard Operating Guide.

Policies or Authorities

- NYS Executive Law – Article 2-B
- NYS Executive Law – Article 18 (NYS Uniform Fire Prevention and Building Code Act)

- NYS Executive Law – Article 22
- NYS Executive Law – Article 23
- 9 NYCRR 525
- 19 NYCRR Part 1201-1204 (Building permit/construction requirements)
- 18 NYCRR 491.4,900,485 and 352.3
- 42 USC 3001 et seq
- 42 USC Chapter 68, 5151, 5177, and 5189(a)
- 42 USC 10601, et seq.
- 42 USC 5152, sec 309 (a) and (b) (Federally recognizes the Salvation Army as a Disaster Relief Organization.
- 2006 PETS Act
- Victims of Crime Act (VOCA) guidelines
- New York State Constitution
- NIMS Executive Order 26.1 of 2006 (NYS Adoption of the Incident Command System)
- Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288
- Code of Federal Regulations, 20 CFR, Part 625, and 44 CFR
- Homeland Security Presidential Directive (HSPD) – 5
- NYS Civil Rights Law - Ag&Mkts 353-B, 7USC 2131-2156
- National Disaster Recovery Framework (NDRF)
- National Response Framework (NRF)

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to substantially impact the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the

overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in December 2018.

All levels of Government are responsible for implementing a dynamic community outreach (e.g. media and public information coordination release) campaign prior to and during emergency situations. Materials may include information such as (but not limited to): personal/home and pet preparedness, safety kits, safety tips, emergency communications, maps, emergency telephone contacts, and pre-identified potential shelter locations and their ability to handle persons with disabilities and functional or cognitive impairments.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The THIRA process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of trainings to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

It is beneficial, but not required, that ESF #6 agencies be familiar with the FEMA Independent Study IS-405 Overview of Mass Care/Emergency Assistance, IS-11 Animals in Disaster, and IS-288.a The Role of Voluntary Organization in Emergency Management. Several ESF #6 agencies offer internal programs and trainings that support the core mission areas of ESF #6 to include the following.

- The OVS provides monthly trainings in-house for Victim Assistant Program (VAP) Advocates.

- The SA has adopted ICS for all disaster related incident management and provides all officers, staff, and volunteers with ICS training. The organization utilizes Regional and Divisional Incident Management Assistance Teams (IMATs) to provide definitive leadership in times of disaster. Further, training exercises are conducted to ensure readiness and allow for cross training; regular participation in local, regional and state level exercises ensure the seamless integration into disaster relief operations. Additionally, as a National Disaster Relief Organization, the Salvation Army has access to and the ability to deploy resources from across the Country based on the type and complexity of an incident.
- The NYSDOH sponsors and participates in HSEEP compliant exercises and drills as required by Federal funding sources and in conjunction with local, regional, state, and federal partners. A variety of trainings are offered or supported by NYSDOH to improve emergency response capabilities of public health and healthcare providers and systems.
- OMH sponsors and conducts a program of training in Disaster Mental Health to create and maintain resources to provide psychological support following disasters and public health emergencies.
- The DHSES-IA section provides Individual Assistance (IA) Preliminary Damage Assessment (PDA) training, Disaster Case Management (DCM) Orientation (State and disaster perspective), and The Role of Voluntary Organizations in Emergency Management.
- The Red Cross offers classes in Psychological First Aid and Shelter Management.
- Web-based training products for Disaster Relief Centers (DRC) are pending final release and will be available to local jurisdictions and provider agencies.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the CEPA program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

In order for stockpiles, supplies, or specialized equipment to be assigned to a mission, a mission request needs to be put into New York Responds or by calling the State Watch Center. The mission is dependent on approval from OEM Executive and/or the State Chamber. It should be noted that upon assignment, staff is not deployed with equipment unless expressly stated. ESF #6 agencies have stockpiles, supplies, resources, and/or specialized equipment that directly support this ESF.

Memorandums of Understanding (MOUs) /Letters of Agreement (LOAs)

The ARC/State MOU is currently under review.

The Salvation Army is specifically identified in The Stafford Act (42 U.S.C. 5152) as a Federally Recognized Disaster Relief Organization and has National Level MOUs in place with FEMA, the American Red Cross, National VOAD, Southern Baptist Convention, ARRL, America's Second Harvest, Mennonite Disaster Services, the Civil Air Patrol, Moose International, Kiwanis International, etc.

The OVS contracts with a statewide network of local VAPs; these VAPs provide services for every county in NYS. Some VAPs may focus on a particular victim group (e.g., sexual assault, elderly, children), but all are required to assist in the filing of OVS claim applications.

When the 59 Area Agencies on Aging (AAA) apply for annual funding from SOFA, they sign and agree to a number of Standard Assurances. Standard Assurance #43 affirms that they will participate in local disaster preparedness. Specifically, the assurance states: “The AAA agrees to coordinate activities and develop long-range emergency preparedness plans with local and state emergency response agencies, relief organizations, local and State governments, and other institutions that have responsibility for disaster relief service delivery within the PSA.”

SECTION III: Response

Alert and Notification

The State OEM, through consultation with the Governor’s Office, will direct and implement State response activities as identified in the New York State CEMP. Depending on the nature and scope of the incident or event, participation from state agencies may vary.

The SWC serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the primary agency serving as the ESF coordinator. These are:

State EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

Level 4 Enhanced Monitoring: A small, isolated, or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM Staff Only.
- Agencies may be asked individually to support any remote operations or report from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with ESF coordinating agency activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF coordinating agency will be activated on as needed basis.
- Additional agencies will be determined at the time of the event.

- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation and Federal ESF integration and coordination.

- The ESF coordinating agency will be activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by NIMS Executive Order 26.1 of 2006 and HSPD – 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State’s resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State’s ESFs is inherently different than the Federal construct under the NRF. Except for ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section and report directly to the Operation Section Chief (OSC) or Branch Chiefs, if established. ESF #5 is assumed by the Planning Section in the State EOC, ESF #7 is assumed by the Logistics Section in the State EOC, and ESF #15 is part of the command element.

ESF #6 will provide incident management support and coordination under the coordinating ESF agency. The coordinating ESF agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

ESF #6 core mission group facilitators will coordinate requests/missions and provide status reports related to the specific core mission they are facilitating. Core mission group facilitators are identified in Attachment 1.

This ESF is assigned under Operations. The ESF Coordinator will be the primary interface with the OSC and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF Coordinator for availability of resources/missions. The ESF Coordinator will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction for requests for assistance.

Agency Roles and Responsibilities

The agencies identified in this annex consist of State government personnel and resources, as well as private sector and NGOs. Each member agency is responsible for developing and maintaining their own internal operational plans, which specify how they will carry out their requisite tasks and duties required to meet their obligations under this plan. The responsibilities for each agency identified in this ESF are listed in Attachment 1. It should be noted that in some cases, the identified resource may have applications in other ESFs. Therefore, the capacities for the resources that are identified include what the agency has in totality and should not be interpreted as additional resources, if identified in other ESFs.

NYS Homes and Community Renewal (HCR) does not have an active role during the response of ESF #6. However, HCR will have a vital role in the Housing RSF when activated or in cases where state-level housing coordination is required with Housing and Urban Development (HUD). In cases where the State to Federal housing coordination is necessary, or when activation of the Housing RSF is evident, HCR will be requested to support ESF #6.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #6 will serve at the primary integration point for Federal ESF #6. The table below summarizes Federal ESF #6 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

<p>ESF #6 – Mass Care, Emergency Assistance, Housing and Human Services ESF Coordinator: DHS/FEMA</p>
<p>Key Response Core Capability: Mass Care Services, Logistics and Supply Chain Management, Public Health, Healthcare, and Emergency Medical Services, Critical Transportation, and Fatality Management Services.</p>
<p>Coordinates the delivery of mass care and emergency assistance. Functions include, but are not limited to:</p> <ul style="list-style-type: none"> • Mass care. • Emergency assistance. • Temporary housing. • Human services.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes, and when response activities focus more toward the individual and less toward the masses. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and ESF coordinator. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for reactivation of the ESF, if needed, based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or interdependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long-Term Recovery

As the urgency of a response lessens and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building; Economic, Health and Social Services; Housing; Infrastructure Systems; and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all federally declared disasters will require full RSF activation and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible, worst case event the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the agencies that comprise this ESF will transition to RSFs, as stated in Attachment 2.

Attachments

Attachment 1: ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services Agency Core Capabilities

Attachment 2: RSF Assignments

Standard Operating Guidelines (SOG) for ESF #6: Mass Care, Emergency Assistance, Housing, and Human Services

Office of Victims Services Programs can be located by using the OVS website: <https://ovs.ny.gov/locate-program>.

Attachment 1

ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services

Agency Core Capabilities

Mass Care: Support congregate sheltering, feeding, distribution of emergency supplies, and family reunification.

Emergency Assistance: Coordination of voluntary organizations, essential relief services, non-congregate and transitional sheltering, support for individuals with disabilities and others with access and functional needs in congregate facilities, mass evacuation assistance, and support for rescue, transportation, care, shelter, and essential needs of household pets. Provide essential needs of service animals. These activities may require additional support through ESF #11.

Housing: Temporary housing options including rental, repair, identification and provision of safe, secure, functional, and physically accessible housing and access to other sources of temporary housing assistance.

Human Services: Disaster assistance that helps survivors address unmet disaster caused needs and/or non-housing assistance; also includes supplemental nutrition assistance, crisis counseling, disaster case management, unemployment, and other programs available to disaster survivors.

Agency	Mass Care	Emergency Assistance	Housing	Human Services	Responsibilities and Capabilities Outside the ESF #6 Framework
American Red Cross (ARC)	*Co-lead for Mass Care Core Mission. *Sheltering & staffing. *Shelter statistics & status updates. *Shelter locations & populations. *Feeding (mobile and fixed). *Distribution of Emergency Supplies (Bulk and Mobile Distribution) *Family Reunification.	*Direct Client Assistance. *Mental Health. *Health Services. *Spiritual Care.	* Recovery Services/Collaboration.	*Disaster Assessment. *Client casework – can be deployed to shelters, DRCs, or other locations.	*Red Cross deploys assessment teams that assess the homes that are affected, minor, major, destroyed. *Community Partnership has the ability to leverage partnership at the local, state, and national level to provide unmet needs to clients.
Department of Agriculture and Markets (DAM)	*Lead agency for assisting with animal/pet sheltering. *DOES NOT have the capability to deploy shelter staff.	*NYS Rapid Response Team (RRT) for human food and animal feed contamination events. *Food Safety Division will coordinate with County Animals			* The Department, through its various divisions and programs, promotes New York agriculture and its high-quality and diverse products, fosters agricultural environmental stewardship, and safeguards the State’s food supply, land and livestock to ensure the viability and

		Response Teams (CARTS).			growth of New York's agriculture industries.
Department of Corrections and Community Supervision (DOCCS)	*Feeding: Ready-to-serve food through the Cook/Chill Production Center located at Mohawk Correctional Facility. *Cots.	*May be able to provide assistance with staffing.	*May be able to provide housing or base camp areas, as some correctional facilities are currently vacant.		* The New York State Department of Corrections and Community Supervision, guided by the Departmental Mission, is responsible for the confinement and habilitation of approximately 34,400 individuals under custody held at 52 state facilities and 35,000 parolees supervised throughout seven regional offices.
Department of Financial Services (DFS)				*Assist with DRCs. *Provide authority to grant temporary restrictions to move banking and ATMs. *Give agencies authority to bring in more insurance adjusters; offering temporary permits and licensing for out of state adjusters. *May be able to promote small business disaster loan options if they are offered through NYS. *Provide information on flood insurance and insurance needs.	Insurance: <ul style="list-style-type: none"> • answer consumer questions and inquiries regarding insurance policy language and the claims process • handle insurance complaints including fast tracking time sensitive complaints (e.g. delays in adjusters inspecting damaged property) • institute a mediation process to submit disputed claims to an independent arbitrator for resolution • declare a moratorium on the termination of policies in areas affected by the disaster • temporary premium forgiveness • issue emergency regulations requiring that insurers expedite their inspection of damaged property • allow public adjusters (representing consumers) licensed in other states to temporarily handle claims in New York under the direction of a licensed NY public adjuster Banking: <ul style="list-style-type: none"> • loan and mortgage payment temporary forgiveness • ensure cash is available at ATMs • home repair financing • ask banks to work with borrowers harmed by the disaster by giving

					<p>relief such as 90-day postponements of foreclosure actions / evictions and extending additional time to make mortgage or loan payments before giving credit reporting bureaus an adverse report</p> <ul style="list-style-type: none"> ask banks to waive fees such as ATM fees, late payment charges, penalties for NSF checks, overdraft protection fees, and penalties for early withdrawal of savings where consumers demonstrated need for the funds as a result of the disaster closely monitor financial markets
Department of Health (DOH)	<p>*As requested, provide liaison support for inspection of and guidance for feeding operations through coordination with NYSDOH program areas and other ESFs:</p> <p>NYSDOH Division of Nutrition;</p> <p>And, NYSDOH Bureau of Environmental Health & Food Protection.</p>			<p>*As requested, provide liaison support for assistance centers (DRCs, repatriation, family reunification).</p>	<p>*Support for medical shelters.</p> <p>*Support for public health safety.</p> <p>*Support for healthcare facility evacuations.</p> <p>*Coordination of medical countermeasures.</p> <p>*Emergency medical transport.</p> <p>*Durable medical equipment (DME).</p> <p>*Coordination with local/state partners to replace lost medicines.</p> <p>*Health Risk Messaging to public and providers.</p> <p>*Support for water contamination issues and potable water sourcing.</p> <p>*Support for call centers.</p> <p>*Health and safety support for employees deployed on-site for emergency event.</p> <p>*Provide subject matter expertise and support operations (including field) for radiological events.</p> <p>*Response to infectious disease event (including emerging infectious disease).</p>

					<p>*Laboratory testing.</p> <p>*Support for Implementation of Executive Orders.</p>
Department of Labor (DOL)		<p>*Bottled water.</p> <p>*Provides translation services, upon request.</p> <p>*Able to act as a facilitator within ESF.</p>		<p>*Provides information and assistance with disaster unemployment insurance benefits and job placement services to workers displaced from their jobs as a result of an emergency or disaster.</p> <p>*Temporary employment may include debris removal, clean up, or other recovery efforts.</p> <p>*Provides translation services, upon request. Works with DRC's.</p>	<p>*Supports ESF# 8 Public Employee Safety and Health (PESH) Crisis Team.</p> <p>*Has resources available, including communication staff, vehicles, laborers, EOC responders, and EOC support staff.</p>
Department of Motor Vehicles (DMV)				<p>*Language assistance and confirmation of identification.</p>	<p>*The DMV issues secure identity documents, delivers essential motor vehicle and driver related services, and administers motor vehicle laws enacted to promote safety and protect consumers.</p>
Department of State (DOS)		<p>*Support for shelters.</p>	<p>*Conduct rapid damage assessment of buildings to determine levels of damage.</p> <p>*Provide technical assistance to local municipalities during the reconstruction process.</p> <p>*Can provide information for Community Action funding for possible sheltering.</p>	<p>*Support DRCs.</p>	<p>*Designs and manages Governor Cuomo's Regional Economic Development Council.</p> <p>*Local Waterfront Revitalization Program.</p> <p>*Oversees the State's Community Action Agencies and created the New York State Office for New Americans.</p> <p>*Provides financial and expert technical assistance to local government to improve services and become more efficient.</p> <p>*Sets the State's building construction and energy conservation standards and</p>

					<p>oversees the enforcement of the standards by local jurisdictions.</p> <p>*Regulates occupations and promotes business growth.</p> <p>*Houses the New York State Athletic Commission.</p> <p>*Regulates the establishment and maintenance of burial grounds.</p> <p>*Educates the public on marketplace scams and offers voluntary mediation between the public and businesses.</p> <p>*Empire State Fellow Program.</p>
<p>Division of Homeland Security and Emergency Services IA (DHSES IA)</p>		<p>*Support Voluntary Organizations Active in Disasters (VOAD) and Long-Term Recovery Groups (LTRG) throughout the State by providing facilitation and technical expertise, coordination of program information and capacity building techniques.</p> <p>*Provide operational support to State/County EOC activations</p> <p>*Provide support to Preliminary Damage Assessments and disaster declaration requests, as necessary.</p> <p>*Coordinates with state voluntary agencies and the liaison with FEMA Region 2.</p>	<p>*Act as liaison and subject matter expert concerning FEMA Individual and Households Program/Other Needs Assistance (IHP/ONA).</p> <p>*Co-lead for the core mission area for Housing.</p>	<p>*Provide program matter expertise to the disaster survivors on State, Federal, and voluntary program information, making referrals as necessary. Coordinate disaster specific information for resolution with other state or voluntary agencies and FEMA, as well as other federal agencies (HUD, HHS).</p> <p>*Act as program expert, providing program and contract coordination between State OEM / DHSES and managing agent contractor for federal Disaster Case Management Program (DCMP) grant.</p> <p>*DHSES IA also coordinates with voluntary groups and agencies on the local and state level to coordinate the delivery of recovery services to impacted individuals and</p>	<p>*Provide State IA support to Joint Field Office operations.</p> <p>*Coordinate with managing agent and FEMA program lead on grant administration and reporting; Develop planning strategy and implementation SOP for DCMP.</p> <p>*Coordinate and provide information and training on IA program to County EMOs and localities.</p> <p>*Coordinate Small Business Administration (SBA) Disaster Loan Program for the State for disaster events (for both FEMA declared and non-declared events).</p> <p>*Prepare reports/ briefings on IA program activities for Executive Level Leadership.</p>

				<p>communities. IA section acts as liaison between voluntary response groups or agencies, DHSES OEM, Federal, state, and local representatives to ensure that disaster related needs of individuals are being communicated to response and recovery organizations or other programs that can provide assistance with their disaster related needs.</p>	
Homes and Community Renewal (HCR)		<p>*Support appropriate ESF, RSF, and JFO recovery activities.</p>	<p>*Consideration of preferences for State administered housing programs, including Section 8, as may be appropriate.</p> <p>*Utilize NYHousingSearch.gov to identify available rental units in affected areas and neighboring counties.</p> <p>*Coordinate and administer grant programs specifically created to supplement the FEMA IA program, and/or to support State-level IA efforts in the absence of a Federal Declaration (and FEMA IA).</p> <p>*Provide information on available housing programs to disaster victims.</p> <p>*Co-lead for the core mission area for Housing.</p>	<p>*Support Disaster Recovery Center (DRC) operations.</p>	<p>HCR Division of Housing and Community Renewal (DHCR) The largest employer of the five HCR agencies, DHCR is an executive branch agency responsible for the supervision, maintenance, and development of affordable low-and moderate-income housing in New York State.</p> <p>HCR Housing Trust Fund Corporation (HTFC) HTFC is a public benefit corporation managed by DHCR staff. HTFC has experienced significant staff growth since 2013 with the creation of the Governor's Office of Storm Recovery (GOSR).</p> <p>HCR Housing Finance Agency (HFA) HFA's mission is to create and preserve high quality affordable multifamily rental housing that serves communities across the State of New York. HFA is the #1 affordable housing issuer in the nation.</p> <p>HCR State of New York Mortgage Agency (SONYMA) Offers five mortgage programs to assist first-time homebuyers with the purchase</p>

					<p>of a home in New York State.</p> <p>HCR Affordable Housing Corporation (AHC) Creates homeownership opportunities for low- and moderate-income families by providing grants to local governments, not-for-profits, and charitable organizations; thus, helping subsidize the cost of newly constructed houses and the renovation of existing housing.</p> <p>HCR Offices</p> <p>Economic Opportunity and Partnership Development – Encourages and ensures Minority and Women-Owned Business Enterprises (MWBES) and Service-Disabled Veteran-Owned Business Enterprises (SDVOBs) participation in all agency contracting opportunities. Also increases minority workforce participation through equal employment opportunity.</p> <p>Fair and Equitable Housing Office (FEHO) – Works to ensure New Yorkers have an equal opportunity to live in housing they desire and can afford regardless of race, color, familiar status, religion, sex, national origin, marital status, or sexual orientation. Part of the Legal unit.</p> <p>Governor’s Office of Faith-Based Community Development – Serves as a liaison between the State and faith-based groups interested in engaging in community development activities.</p> <p>Governor’s Office of Storm Recovery (GOSR) – Leads the State’s recovery</p>
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					<p>efforts from Hurricane Sandy, Hurricane Irene, and Tropical Storm Lee.</p> <p>Intergovernmental Affairs (IGA) – Coordinates HCR’s dealings with federal, state, and local governments to foster constructive relationships with elected officials and municipalities.</p> <p>Internal Audit Group – Provides independent assurance that the organization’s risk management, governance and internal control processes are operating effectively.</p> <p>Internal Control and Risk Monitoring – Coordinates across HCR staff to maintain and strengthen internal controls that operate effectively and efficiently to mitigate risk.</p> <p>Mortgage Insurance Fund Office - Provides insurance on mortgage loans that encourage capital investment by commercial and public lenders.</p> <p>Office of Community Renewal (OCR) Office of Community Renewal (OCR) – Manages 18 housing, community and economic development programs including the Affordable Housing Corporation, NYS Community Development Block Grant Program, NY Main Street program, the Neighborhood and Rural Preservation programs, and RESTORE.</p> <p>Office of Finance and Development (F&D) Office of Finance and Development (F&D) – Responsible for investing billions of dollars each year to stimulate the development or preservation of affordable rental housing and to help low and moderate-</p>
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					<p>income homeowners purchase their first home. The department's multifamily programs are driven by the Federal and State Low Income Housing Tax Credits, tax exempt bonds, and augmented by an array of State funded programs targeted to a range of housing and community development needs.</p> <p>Office of Housing Preservation (OHP) Office of Housing Preservation (OHP) – Operates programs that maintain and enhance existing affordable housing, including public and privately owned, and previously subsidized housing. Includes Asset Management Unit, the Statewide Section 8 Program and Weatherization Assistance Programs.</p> <p>Office of Professional Services (OPS) - Includes shared support functions such as Human Resources, Facilities, Procurement, Finance, Information Technology, and corporate compliance functions.</p> <p>Office of Rent Administration (ORA) - Administers New York State's Rent Regulations.</p> <p>Office of Policy and Strategic Planning – Oversees initiatives to measure and improve agency performance, enhance service delivery, and provide project management. The office is also responsible for collecting and analyzing housing data, identifying trends, and formulating housing policy.</p> <p>Communications Office - Works with advocates, stakeholder partners, and media to inform public constituencies about the state's housing goals, its mission, and continued successes in expanding access to affordable housing</p>
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					<p>opportunities, protecting and preserving housing, and revitalizing communities across the state.</p> <p>Legal – Provides legal counsel spanning all parts of the agency including transactions, audits, inspections, litigations, rent regulation, legislation, procurement, governance and policy matters.</p> <p>Tenant Protection Unit (TPU) – The TPU preserves affordable housing by detecting and curtailing patterns and practices of landlord fraud and harassment through audits, investigations, and impactful legal actions. The TPU also encourages compliance by informing tenants and owners of their rights and responsibilities under the rent regulation laws.</p> <p>HCR also oversees the Tobacco Settlement Financing Corp. (TSFC), a public benefit corporation of the State of New York. It was created to purchase all or a portion of New York State's share of the Tobacco Settlement Revenues.</p>
Office for Victim Services (OVS)		<p>*Reimbursement for Crime Related Expenses.</p> <p>*Identify and apply for, if appropriate, federal funding for incident.</p> <p>*Coordinate services with FBI, including:</p> <p>Obtaining centralized criminal justice report;</p>		<p>*Responsible for coordination of Victim Assistance Programs (VAPs), including:</p> <p>Identifying appropriate local VAPs to provide direct services;</p> <p>Recruiting volunteers from other VAPs around the</p>	<p>*Support Chamber in the development of necessary emergency regulations, legislation or Executive Orders</p> <p>*Support Chamber in the development of necessary public information/outreach, including:</p> <p>Developing a generic press release about services available;</p> <p>Posting critical information on website;</p>

		<p>Obtaining approvals for expenses reimbursable by FBI;</p> <p>Setting-up 1-800 number;</p> <p>Responding to needs of those with Limited English Proficiency (LEP);</p> <p>State liaison to other states' victim compensation programs;</p> <p>Coordinate with other NYS agencies;</p> <p>And, coordinate with local, state and federal law enforcement agencies.</p>		<p>state for "boots on the ground" response;</p> <p>Establishing a local "OVS site" in the vicinity of the incident;</p> <p>Scheduling staffing for serving crime victims as necessary;</p> <p>And, provide necessary equipment and procedures to facilitate claims processing.</p>	<p>Summarizing any provisions of benefits that may be different from standard practices;</p> <p>And, work with media to inform crime victims of benefits.</p>
Office of Child and Family Services (OCFS)	*OCFS can work with local CPS to address family reunification, to include unaccompanied minors.	<p>*Co-lead for the Emergency Assistance core mission area.</p> <p>*Responsible for the functions performed by the State Commission for the Blind.</p> <p>*Through the Commission for the Blind, OCFS can work with partners to help support Access and Functional Needs (AFN) missions in ESF #6.</p>	*Can assist with access and functional needs information.	<p>*Provide management and support staff at State Disaster Assistance Centers and FEMA Disaster Recovery Centers.</p> <p>*Responsible for the functions performed by the State Commission for the Blind.</p> <p>*OCFS can provide resources and referral information on child care programs, adoption services, protective services for adults, and services for the blind and visually impaired.</p> <p>*Through the Commission for the Blind, OCFS can work with partners to help</p>	<p>*Will consider establishing the Children's Issues Task Force with the Administration of Children and Families Region II on an as needed basis.</p> <p>*Provides oversight and monitoring of regulated childcare (family day care, group family daycare, school-age child care and daycare centers outside of NYC), legally exempt childcare, child care subsidies, childcare resource and referrals, and the Advantage After School Program, and provides services and programs for infants, toddler, preschoolers, and school-age children and their families.</p> <p>*Responsible for programs and services involving foster care, adoption and adoption assistance, child protective services including operating the Statewide Central Register for Child Abuse and Maltreatment, preventive</p>

				support Access and Functional Needs (AFN), as needed.	<p>services for children and families, services for pregnant adolescents, and protective programs for vulnerable adults.</p> <p>*The agency is responsible for all elements of the state's juvenile justice programs, transformation of the juvenile justice system, administering and managing residential facilities, community-based group homes, day-placement centers, and reception center programs for juvenile delinquents and juvenile offenders placed in the custody of the OCFS Commissioner.</p> <p>*Serves as a liaison between state and local agencies and Native American tribal groups.</p>
Office of General Services (OGS)	<p>*Provide a listing of availability facilities for temporary use during emergencies.</p> <p>*Procurement services can provide emergency contract information.</p> <p>*Communicate emergency feeding requests to USDA and assist with the contractual process through food distribution and warehousing groups.</p>	<p>*Provide a listing of available facilities for temporary use during emergencies.</p> <p>*Procurement services can provide emergency contract information.</p>		*Has DRC inventory and resources in warehouses.	<p>*The mission of the Office of General Services (OGS) is to:</p> <ul style="list-style-type: none"> • manage and lease real property; • design and build facilities; • contract for goods, services and technology; and • deliver a broad scope of critical services for agencies.
Office of Mental Health (OMH)	<p>*Support mass feeding activities via the OMH Cook-Chill operation.</p> <p>*Provide Disaster Mental Health counselors and staff to support surge at county level.</p>	<p>*Provide Disaster Mental Health counseling assistance to disaster survivors in congregate settings.</p> <p>*Provide Disaster Mental Health counselors and staff to</p>		<p>*Support Disaster Recovery Centers.</p> <p>*Organize and administer the FEMA Crisis Counseling Program following Presidentially declared (IA) events.</p>	<p>*ESF# 8 Provide support to ensure the safety and continued operation of psychiatric hospitals and community-based mental health services.</p> <p>*Regulating, certifying, and overseeing the New York State public mental health system.</p>

	<p>*Provide MH support to family reunification centers.</p> <p>*Provide facility and/or material assistance.</p>	<p>support surge at county level.</p> <p>*Support for shelter evacuees.</p> <p>*Support Reception Centers for Radiological Events.</p> <p>*Support for Repatriates and Refugee Programs during an emergency response.</p>		<p>* Co-lead as the core mission area leader for Human Services.</p>	<p>*Conducting mental health research to advance prevention, treatment, and recovery.</p> <p>*Providing State-operated outpatient and inpatient mental health services and supports.</p> <p>*Publicly promoting mental health to reduce fear and stigma.</p>
Office of Persons with Developmental Disabilities (OPWDD)	<p>* Co-lead for Mass Care Core Mission.</p> <p>*The New York State Office for People With Developmental Disabilities (OPWDD) is responsible for coordinating services for more than 160,000 New Yorkers with developmental disabilities, including intellectual disabilities, cerebral palsy, Down syndrome, autism spectrum disorders, and other neurological impairments through a partnership consisting of services to individuals provided directly by the state and by not-for-profit agencies and other providers located in all areas of the state. OPWDD's first priority is for the individuals directly under its care. Once all of those individuals are</p>	<p>*Co-lead of the Emergency Assistance core mission area.</p> <p>*Subject matter experts in the areas of Access and Functional Needs.</p> <p>*May be able to provide Emergency Management staff to assist with Incident Management at an ICP/onsite and response to State Emergency Operations Center (State EOC).</p> <p>*Provides individualized, person centered support to individuals and children with developmental disabilities, including regulatory, administration, and management of residential community-based group homes, day programs, and various support services.</p>		<p>*Coordinate with nonprofit partner agencies supporting individuals with AFN.</p> <p>*Support HS response activities.</p> <p>*OPWDD might be able to provide or locate services needed for people with disabilities.</p> <p>*OPWDD might be able to provide or locate equipment for those with developmental disabilities.</p> <p>*Facilitate situational awareness of state owned and nonprofit partner agencies providing services under the auspice of OPWDD.</p> <p>*OPWDD might be able to provide Code enforcement for disaster assessments</p> <p>*OPWDD may be able to provide assistance with certified Peace Officers (Security Officers), LPNs,</p>	<p>*Serves on the Disaster Preparedness Commission (DPC) to support State-wide Emergency Planning and Preparedness efforts.</p> <p>*Support for OPWDD Facility Evacuations.</p> <p>*Coordinate emergency planning efforts for OPWDD state owned facilities.</p> <p>*Facilitate situational awareness of state owned and nonprofit partner agencies providing services under the auspice of OPWDD.</p> <p>*Support Radiologic planning efforts related to OPWDD/Partner facilities.</p> <p>*Responsible for coordination of services to 160,000 Individuals with developmental disabilities; including regulatory, administration and management of residential community-based group homes, day programs and other services.</p> <p>*Individualized, person centered supports to children and young adults with qualifying diagnosis.</p> <p>*Support individuals and families through Service Coordination.</p>

	<p>accommodated and if resources are still available, OPWDD may then, through its local offices, provide assistance to not-for-profit agencies and other providers who fall under the auspices of OPWDD services with the resources necessary to cope with the needs of individuals under their care. Only after OPWDD has satisfied those requirements, they might be able to provide resources to other state agencies and the general public. *May be able to provide Emergency Management staff to assist with Incident Management.</p>	<p>*OPWDD may be able to provide wheelchair vehicles. *OPWDD might be able to provide and locate services needed for people with disabilities. *OPWDD might be able to provide equipment for those with developmental disabilities.</p>		<p>RNs, doctors, and psychologists. *May be able to provide Emergency Management staff to assist with Incident Management.</p>	
Office of Temporary and Disability Assistance (OTDA)	<p>*OTDA has a very limited number of warehoused resources to support Mass Care activities on behalf of the ESF.</p>	<p>*Support for Language Access (LA) – personnel and Services Language Services Unit can provide the following services to any part of OTDA or the local districts:</p> <p>translate written materials into Arabic, Chinese, Russian, and Spanish;</p> <p>format translated materials for printing or electronic display;</p> <p>review and edit materials translated by</p>	<p>*Supports programs designed to prevent homelessness, provide shelter for the homeless, construct supportive housing for the homeless and offer essential services to stabilize housing situations and increase levels of self-sufficiency.</p>	<p>*State Co-lead for Disaster Assistance Centers. *Provide management and support staff at State Disaster Assistance Service Centers and FEMA Disaster Recovery Centers. *Manages information technology for applications supporting New York State's core human services eligibility and benefit issuance programs, including cash assistance, Medicaid, Child Support, Supplemental Nutrition Assistance Program</p>	<p>*Provides medical determinations on disability claims filed with the Social Security Administration (SSA) under their Disability Insurance (SSDI) and Supplemental Security Income (SSI) programs. *Administers the Child Support Enforcement program that helps to strengthen families and reduce welfare dependency by placing the responsibility for supporting children on those parents with the financial resources to provide such support. *Development, implementation, and monitoring of policies and procedures for OTDA programs that provide temporary assistance to families and individuals while helping them attain self-sufficiency.</p>

		<p>outside vendors to assure quality and accuracy;</p> <p>convert English-language public information materials into translated materials using graphic design programs;</p> <p>develop multi-lingual glossaries to standardize the use of programmatic terminology;</p> <p>provide technical assistance or training for staff on cultural issues or working effectively with clients with limited English proficiency (LEP).</p>		<p>(SNAP), Home Energy Assistance Program (HEAP), and other benefits.</p> <p>*Resources to support disaster assistance centers.</p> <p>*Support Reception Centers for Radiological Events.</p> <p>*Support for Repatriates and Refugee Programs during an emergency response.</p> <p>*Disaster assistance that helps survivors address unmet disaster cased needs and/or non-housing assistance.</p>	<p>*Provides prompt and impartial administrative hearings.</p> <p>*Support for Implementation of Executive Orders.</p> <p>*Coordinates with federal, state, and local agencies on policy and programs for immigrants, refugees, asylees, entrants, and human trafficking victims.</p>
Salvation Army (SA)	<p>Feeding Services - Food may be prepared and served at congregate feeding sites (such as a Salvation Army corps building, camp or shelter) or from one of the Army's mobile feeding units/ canteens, which are essentially kitchens on wheels.</p> <p>Hydration Services and First Responder Scene Rehabilitation - Hydration services provide beverages which replenish electrolytes (minerals such as potassium), enhance energy and meet general hydration</p>	<p>Spiritual and Emotional Care - The Salvation Army provides spiritual comfort and emotional support to disaster victims and emergency workers coping with the stress of a disaster. Salvation Army counselors, who are ordained clergy (officers) or lay personnel, will offer a "ministry of presence," as well as examples of spiritual and emotional care activities include comforting the injured and bereaved, conducting or participating in funeral</p>	<p>Emergency Sheltering - When necessary and in cooperation with the American Red Cross, The Salvation Army provides shelter in a facility identified by local emergency management personnel. These facilities include municipal shelters, schools, Salvation Army buildings and other predetermined facilities.</p> <p>Immediate Financial Assistance – The Salvation Army, in coordination with our partner agencies can provide on an unmet needs basis immediate financial assistance for housing.</p>	<p>Disaster Social Services - The Salvation Army provides direct financial assistance to disaster victims through a system of trained caseworkers. The assistance available may include essential living supplies, such as food, clothing, medicine, bedding, or baby products, emergency housing needs and disaster-related medical or funeral expenses.</p> <p>Disaster Case Management – The Salvation Army is able to leverage our capabilities across our Social Service programs to direct and advocate for disaster</p>	<p>Volunteer Intake and Management – The Salvation Army has the ability to register, train and manage spontaneous volunteers during large scale emergencies.</p> <p>SATERN - SATERN (Salvation Army Emergency Radio Network) provides emergency communications support for Salvation Army operations in local, regional, and international disaster and emergency situations. These communications can be via long distance high frequency systems, local public safety systems or via internet and cellular systems including packet data and Radio over Internet Protocol (ROIP) systems.</p> <p>Partner Agency Relationship Management and Cooperative Service Delivery – The Salvation Army, as a member of the disaster relief field,</p>

	<p>requirements for those served. Rehabilitation services include providing a place for first responders to rest and recuperate during emergency operations.</p> <p>Emergency Sheltering - When necessary and in cooperation with the American Red Cross, The Salvation Army provides shelter in a facility identified by local emergency management personnel. These facilities include municipal shelters, schools, Salvation Army buildings, and other predetermined facilities.</p> <p>Distribution of Bulk Resources – As necessary and in coordination with partner agencies, The Salvation Army can provide distribution of bulk resources such as food boxes, water, flood clean up kits, cleaning supplies, infant supplies such as diapers and formula, and adult and child hygiene supplies.</p>	<p>and memorial services and providing chaplaincy services to disaster workers and emergency management personnel.</p> <p>Immediate Financial Assistance – The Salvation Army, in coordination with our partner agencies can provide on an unmet needs basis immediate financial assistance such as gift cards and vouchers to allow disaster survivors to purchase needed items such as shelter, food and clothing.</p>		<p>survivors to ensure that unmet needs are met, either through our programs or in conjunction with partner agencies services.</p>	<p>social services field and as a faith-based organization, has the ability to cooperate with and advocate within these fields to identify untapped partnerships and access resources and staffing that may not be identified as related to disaster relief. Further, we can manage the service delivery of these diverse agencies to ensure unmet needs are met and guidelines and protocols are maintained.</p> <p>Donation Management - The Salvation Army is one of the nation's leaders in collecting, sorting, and distributing donated goods. During a disaster, The Salvation Army may open disaster warehouses to receive and sort donations, establish distribution centers to dispense goods directly to victims and channel donations to support other disaster programs such as mass feeding and cleanup.</p> <p>Cleanup and Restoration Services - Cleanup and restoration services include distribution of cleanup supplies, coordination of volunteer rebuilding teams and set up of warehouses to distribute reconstruction supplies.</p>
<p>State Education Department (SED)</p>	<p>*Sheltering *Feeding *Family Linking</p>	<p>*Public alerts for school closures or school shelter conversions.</p>		<p>*Support Disaster Recovery Centers.</p>	<p>*In a few cases, provide transportation by Department owned buses *Streamline approval for licensed professionals from out-of-state, such as Doctors, Nurses, Pharmacists, Veterinarians, Building Engineers, etc.</p>

State Justice Center (SJC)					*Advocate and protect people with special needs from abuse, neglect, and mistreatment by operating a 24/7 hotline.
State Office for the Aging (SOFA)	*Services provided include home delivered meals, congregate meals, transportation, in-home services, support for caregivers, operation of senior centers and central kitchens, and other services designated to help older residents remain independent in their homes.	*County Office of Aging partners with the county EOCs.		<p>*Provide aging services information, assistance, and staffing to Disaster Recovery Centers including information on the following services/programs for older adults:</p> <p>Home Delivered Meals;</p> <p>Case Management;</p> <p>Medicare insurance programs/Rx under Medicare Part D;</p> <p>Counselors as part of Caregiver Support Programs;</p> <p>NY Connects – Services for those needing Long Term Care;</p> <p>Transportation assistance;</p> <p>Congregate Meals;</p> <p>And, locations and information on Senior Centers and Central Kitchens for meal preparation, meal delivery, and community access.</p>	<p>*Maintain awareness of the efforts of the 59 County Offices for the Aging in times of disaster.</p> <p>*As the agency responsible for the delivery of aging services to the state's most vulnerable residents, NYSOFA consults and makes available information on resources and local programs that can assist in times of emergency.</p> <p>*Access to vulnerable client lists as maintained by the local Aging Office and/or County.</p> <p>*Expertise on aging programs and services for those aged 60+ within the state, including working with home care agencies and consumer directed program that support older adults within the community.</p> <p>*The 59 local aging offices are part of emergency planning efforts of each County and the City of New York and are tied into efforts to assist clients during the disaster and offer support at the DRC during recovery. These activities are integral to NYSOFA's work at the State level.</p> <p>*NYSOFA will work in partnership with other ESF#6 agencies to conduct comprehensive outreach to affected populations regarding shelter and emergency service locations, as well as restoration of local infrastructure and services. Outreach messages/materials may need to be translated into languages other than English or accessible alternate formats (e.g. Braille, large print, and audible messages, etc.)</p>

					<p>to ensure the message is understood by the community's population.</p> <p>*NYSOFA programs and services already support individuals considered at risk, vulnerable, or who have functional or access needs with feeding and other social supports - so response operations will assure that the needs of these groups are appropriately incorporated.</p>
State University of New York (SUNY)	<p>*SUNY will assist the State and the ESF #6 efforts during emergencies. However, resources to meet SUNY's own mass care and sheltering needs would be prioritized and the availability of resources to other efforts may be reduced. SUNY campuses often have large spaces (such as gymnasiums) that may potentially be used for shelters, staging, feeding, distribution of emergency supplies, and family reunification. Use is subject to campus need. SUNY partners with other entities, usually memorialized by memoranda of understanding and revocable permits, to make such space available for short-term use. Community college campuses are primarily under the control of their sponsors.</p>				<p>* The State University of New York is the largest comprehensive university system in the United States. Our impact in New York State and across the globe begins with our 64 institutions, including research universities, academic medical centers, liberal arts colleges, community colleges, colleges of technology and an online learning network. We serve nearly 1.3 million students, including nearly 600,000 in credit bearing courses and programs and more than 700,000 through continuing education and community outreach programs. Our nearly 3 million SUNY alumni are located around the globe, each making their own unique impact.</p>

Veterans Affairs (VA)				*The VA will work closely with other State, Federal, local, and private agencies to utilize the expertise and resources of others in order to help Veterans and their families with specific needs.	*The Department of Veterans Affairs (VA) offers a wide variety of programs and services for the nation's 22 million veterans and continues to emphasize three long-term goals: increasing access to VA benefits and services, reducing the claims backlog, and eliminating veterans' homelessness. To accomplish these, VA is focusing on modernizing the way it operates in order to regain the trust of veterans and the country as a whole. The department has instituted five priorities to help focus and intensify VA's efforts to improve: offer greater choice to veterans; modernize our VA systems; focus resources more efficiently; improve timelines and prevent veterans' suicides.
Voluntary Organization Active in Disasters (VOAD)	*Provide coordination and support to disaster impacted communities.	*Provide coordination and support to disaster impacted communities.		*Provide coordination and support to disaster impacted communities.	*New York VOAD is the state chapter of National VOAD. *The VOAD consists of organizations active in disaster response throughout the state of New York. Many of our members are human services providers who seek to prepare for events that may impact their clients and stakeholders. *The VOAD's role is to bring organizations together and enable them to understand each other and work together during times of disaster preparedness, response, relief and recovery. *New York State VOAD adheres to the principles established by National VOAD. These foundational principles are referred to as the Four C's: Cooperation, Communication, Coordination, and Collaboration. *Ensuring the membership directory is current and accurate. *Developing & enhancing collaborative relationships with local COADs and VOADs within New York State.

					<p>*Connecting our members and partners to training and collaboration opportunities.</p> <p>*Developing a committee structure which builds upon existing capacities and networks of our members.</p>
Private Sector					

**Attachment 2
RSF Assignments**

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Housing	Infrastructure Systems	Natural & Cultural Resources
ARC			X	X		
DAM	X	X	X		X	X
SJC	No RSF Assignment					
DFS	X	X		X		
DHSES	X	X	X	X	X	X
DOCCS			X		X	
DOH	X	X	X	X	X	X
DOL		X	X	X		
DOS	X	X		X	X	
HCR	X			X		
OCFS		X	X	X		
OGS		X		X	X	
OMH			X			
OPWDD			X	X		
OVS			X			
SED					X	X
SOFA			X	X		
OTDA		X	X	X		
SA	No RSF Assignment					
SUNY		X	X		X	

Current as of 2/2/2020



ESF #7 Logistics

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Division of Homeland Security and Emergency
Services/Office of Emergency Management
(DHSES/OEM)

DPC Support Members:

DHSES/Asset Management
DHSES/Finance
DHSES/Office of Interoperable and Emergency
Communications (DHSES/OIEC)
Department of Corrections and Community
Supervision (DOCCS)
Department of Transportation (DOT)
Division of Military and Naval Affairs (DMNA)
Office of General Services (OGS)
Office of Information Technology Services (ITS)
Office of Parks, Recreation, and Historic
Preservation (OPRHP)
Thruway Authority (TA)

Non-DPC Members:

Canal Corporation (Canals)
New York Power Authority (NYPA)
State University of New York (SUNY)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for incidents that go beyond the capability of the local resources. The ESFs are a mechanism used to group operational functions during response and short-term recovery efforts. At the State level, logistics coordinates comprehensive incident planning, management, and sustainment capabilities to meet the needs of disaster survivors and responders. The objective of ESF #7 is to minimize the impact on effected populations by responding quickly and efficiently through logistical services and support.

Critical Capability

ESF #7 would support the following Critical Capabilities in New York State: Logistics and Resource Management, Private Sector/ Non-Governmental Organizations, and Planning.

SECTION I: General Considerations and Planning Guidelines

Introduction

The State of New York experiences a wide variety of disasters and emergencies that may negatively impact whole communities. Obtaining the resources to assist communities during disaster response is a priority of the State. The framework for this assistance has been established to aid with the response and short-term recovery, should the situation warrant State logistical support.

Logistics and resource management is a complex process that involves acquisition, distribution, transportation, and application during incident response. Disasters may obstruct normal resource channels, deplete essential commodities, impact response capabilities, and increase demand on personnel and resources.

A disaster may necessitate involvement at the local, State, and Federal levels and may include a State or Federal disaster declaration. Programs and resources at all government levels may be needed to aid in the response and recovery efforts. ESF #7 will provide logistical support and resource management for State, local and tribal entities. The scale of response will be based on the magnitude of the disaster, but the fundamental responsibilities of ESF #7 will remain the same.

Responsibilities of ESF #7 may include efforts such as donations management, and locating, procuring, and issuing resources (i.e. supplies, office space, office equipment, fuel, contracting services, personnel, heavy equipment, and generators). Direct and active support will be provided for emergency response and recovery efforts during the initial response and following the disaster.

Purpose

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

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

The purpose of the CEMP is to identify the State’s overarching policies, authorities, and response structure that will be implemented in the event an emergency or disaster situation warrants a State response. The CEMP serves as the foundational framework for the State’s response. For operational purposes, all ESF’s and hazard-specific annexes build upon the State’s Volume 2: Response and Short-Term Recovery.

The ESF #7 Annex is intended to supplement the CEMP. This annex will define the operational framework for the State’s logistical support and resource management upon activations of the State Emergency Operations Center (EOC). This annex will outline the characteristics and operational requirements and linkages to other State plans that are unique to ESF #7.

Scope

This applies to all hazards that warrant the State’s logistical response. ESF #7 will provide logistical support and resource management, as well as donations management in response to an emergency or disaster.

ESF #7 applies to the management of logistical support efforts in response to an emergency or disaster to include, but not limited to efforts such as locating, procuring, issuing, and tracking resources.

This Annex will establish an operational framework for integration between internal and external logistical partners and stakeholders. Logistics will coordinate with all activated ESFs. Logistical assignments made to an individual ESF will be coordinated through that individual ESF Coordinating Agency.

Maintaining records and systems that track the available and committed resources involved in disaster response will be accomplished by ESF #7. It will also monitor costs and vendor research associated with the disaster

Linkage to other State Plans

The ESF #7 Annex will have direct linkages to the State EOC Plans for Resource Management, EMAC Procedures, Donations Management Appendix, Intra State Mutual Aid Plan (IMAP), and State Procurement Policy.

response including costs of purchasing or contracting goods and services, transportation, and above normal staffing and lodging.

This Annex will apply to all incidents, including those that require donations management in response to an emergency or disaster. ESF #7 will work in close coordination with ESF #1, as well as Federal ESF #7, when they are integrated into the State EOC.

Situation

New York State's large size, varying climate, and substantial population may complicate the State's emergency response and recovery efforts. Advanced planning and preparedness are critical components, necessary to mitigate the impact of a disaster on the States response. Management of resource support is highly situational, requiring a flexible approach in its response. An incident may exhaust local government resources and may severely limit the State's access to resources needed for response and short-term recovery. During the initial stages of the emergency, forms of communication may be severely interrupted, and transportation may be hindered due to damage to roads, bridges, airports, and other transportation modes. The access to just-in-time inventory and other resources needed during the emergency response may be inadequate and could severely impact the State's response efforts. Resources allocated under this Annex will be those items not available at the local level because they were never available to the locality, have been exhausted in response to the emergency, or are not accessible with the time frame of the applicable emergency. These may include contractual services. A large event may require assistance from Federal ESF #7, the Emergency Management Assistance Compact (EMAC), or other mutual aid agreements to effectively respond to the disaster.

Planning Assumptions

1. State assistance will be supplemental to local activities and will be available only after local resources have been exhausted.
2. ESF #7 will be activated every time the State EOC is at least partially activated.
3. The State may be required to assist one or more local governments by providing distribution and staging area facilities, along with the personnel to manage those facilities.
4. ESF #7 may need to establish additional staging areas or mobilization sites on its own initiative, or in conjunction with Federal response efforts
5. Communications and Information Technology assets may also be required to support facility operations.
6. The State EOC will be the focal point of all logistical support and management requests. All requests will be made through the State EOC utilizing the State's Incident Management System. In coordination with the Operations Section, an ESF #7 representative will determine the sources for the requested resource(s).
7. ESF #7 will make full use of State OEM stockpiles located throughout the State.
8. ESF #7 will be responsible for vendor research as well as identifying, distributing, sustaining, coordinating, transporting, and tracking resources.
9. A large-scale emergency or disaster may result in the State fully exhausting all resources requiring the need to request assistance through EMAC.
10. A large-scale emergency or disaster may result in the State fully exhausting all resources requiring the need to request Federal support through resource requests of Federal ESF #7 or a FEMA representative in the State EOC.
11. Donations management may need to be activated to collect, manage, and distribute donated goods and services.
12. During an activation it is essential to make sure that all procurement guidelines and policies are followed. Due to the specific need of the necessary item(s) it is important that all information is provided so that there is no delay in the distribution of the resources due to procurement policies, including supplies, equipment, damage to facilities, and transportation infrastructure.

13. ESF #7 has the ability to activate OGS surge staff during a large activation in coordination with the State EOC Manager.
14. ESF #7 agencies will need a basic skill set and or knowledge of all possible requested resources.
15. ESF #7 provides the information for the ESF #5 reporting of resource tracking purposes.
16. ESF #7 is responsible for input of assets into the Asset Tracker in New York Responds (NYR).
17. ESF #7 agencies have access to the Asset Management System for tracking of state-owned rolling stock.

Concept of Operations

The magnitude of the emergency or disaster will determine the operational structure of the State's logistical response. ESF #7 will be activated to some degree during any State response.

1. An incident occurs, local resources are exhausted or non-existent, and State assistance is requested.
2. State response activities begin. If warranted, the State EOC is activated and State OEM will determine the level of required ESF #7 activation.
3. ESF #7 is activated, logistical support will be coordinated through the coordinating and member agencies for both the service and support branch of Logistics.
4. As conditions warrant, other ESF's may be activated to aid in the response. Activated ESFs will be solicited for their ability to fulfill requests for assistance. If they are unable to do so, the request will be sent to ESF #7 to source.
5. ESF #7 will coordinate resource requests with the activated ESF's. If the State agencies cannot fulfill the request, the following chain of support will be utilized, depending on availability:
 - a. Donations
 - b. Stockpile/staging
 - c. IMAP
 - d. EMAC
 - e. Vendor
 - f. FEMA
6. Emergency procurement can be utilized as a last resort.
7. If conditions warrant, the State will utilize the appropriate State Stockpile(s) for Staging Areas (SA).
8. Donations Management may be needed in large-scale disasters.
9. Work with PIO to communicate clearly that unsolicited goods can overwhelm response activities.
10. Publicize items needed and activate the donations link on DHSES website.

Policies or Authorities

- NYS Executive Law Article 2-B
 - Article 2-B section 29(g) EMAC
- NIMS Executive Order 26.1 of 2006 (NYS Adoption of the Incident Command System)
- Homeland Security Presidential Directive (HSPD) – 5
- National Response Framework (NRF)
- Procurement or resources will follow the established priority of fill:
 - Article 11 of the State Finance Law
 - NYS Emergency Standby Contracts

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The THIRA process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

In an effort to provide the most value and support during an emergency, the DHSES and the State OEM has entered into Memorandums of Understanding (MOU) with the following organizations:

- **Seventh-day Adventist:** Often during large activations there is a need for assistance with donations management. Seventh-day Adventist has agreed to provide assistance with the distribution of emergency relief supplies, such as drinking water, groceries, and blankets. Seventh-day Adventist has also agreed to assist with relief efforts in the areas of warehouse operations, clearinghouse management, and Community Collection Centers and Disaster Child Care (DCC) programs.
- **Office of General Services:** The need for expedient procurement during an activation requires emergency-specific procurement processes and, in some cases, necessitates additional surge staff to handle the volume of purchase requests the State EOC generates. The DHSES has entered into an agreement with the Office of

General Services (OGS) to provide emergency procurement surge staff to assist with a variety of tasks ranging from researching procurement options to making and recording actual purchases. The MOU represents implemented changes to the emergency procurement process, including transferring some purchasing functions and research needs to the OGS Business Services Center (BSC) and surge staff from OGS and other agencies.

Emergency Management Assistance Compact (EMAC)

EMAC is a national interstate mutual aid agreement that enables states to share resources. EMAC can be used either prior to or in conjunction with Federal assistance, thus providing another source point for needed capabilities to an affected state during times of disaster. The State of New York has extensive experience with receiving and providing EMAC assistance. EMAC request cannot be made until the Governor declares a State Disaster Emergency.

Donations Management

The State's management of donations encompasses two distinct sourcing pathways. Donations that are pre-designated are sourced immediately to the State EOC upon receipt. For non-pre-designated items, the State uses the assistance of the DHSES website to source and locate items until a time when the resource is needed. The Donations Management Appendix should be referred to for all specifics in management of donated goods.

Training, Exercising, and Testing

DHSES periodically assesses and exercise emergency capabilities of the ten stockpiles located throughout the State. Exercises are conducted both autonomously and in conjunction with other state exercises; an example a full-scale exercise is the State-observed and federally evaluated exercises that are conducted several times per year for the Radiological Emergency Preparedness Program. In addition to the exercises New York State has been involved with a number of real-world events that required an extensive State logistical response. The improvements captured during these real-world events and exercises have been incorporated into this annex and integrated into a comprehensive planning, training, and exercise program, that the State OEM offers to appropriate stakeholders.

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

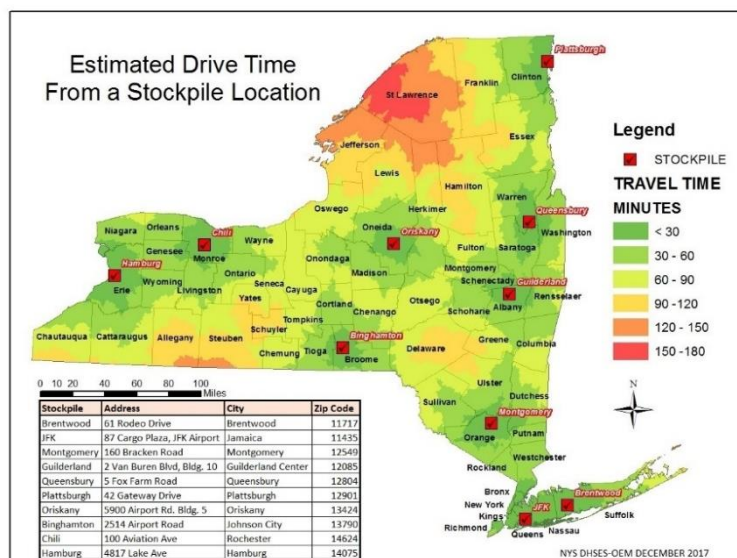
Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the State assessed its Critical Capabilities using the construct outlined in the CEPA program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

The State of New York maintains ten stockpiles strategically located throughout the state that are intended to maximize response efforts in the event of a disaster. On request, the Stockpile Managers can provide an inventory of all items in their respective stockpiles.

- OGS may provide leasing and space planning, as well as parking support and shuttle bus service.
- DEC may provide hauling, moving, excavating, lifting, pumping, draining, loading, and chipping.
- SUNY may provide barricades, compressor, generator, trucks, and related maintenance.
- DOT may provide trucks, excavating, lifting, chipping, and construction inspections.
- CANALS may provide cranes, excavators, low-boys, box trucks, and transportation-related vehicles.



SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four

NY State EOC Activation Levels

Steady State

Level 4 – Enhanced Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal Response

activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the primary agency serving as the ESF coordinator. These are:

Level 4 Enhanced Monitoring: A small, isolated, or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with ESF coordinating agency activation.

- The ESF coordinating agency is activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF coordinating agency is activated.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- The ESF coordinating agency is activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in partnership with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by NIMS Executive Order 26.1 of 2006 and HSPD – 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State’s resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State’s ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the Planning Section in the State EOC, ESF #7 is assumed by the Logistics Section in the State EOC, and ESF #15 is part of the command element.

Consistent with ICS principles, ESF #7 assumes the leadership and management of the State EOC Logistics Section. Under this construct, ESF #7 brings the wealth of multiple agencies that possess a logistical mission set directly in support of the response organization. Both ESF #5 and ESF #7 fall under the direction and control of the State EOC manager. The ESF coordinating agency will ensure the activities of ESF #7 are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF. In addition, the State possesses several policies in regard to the procurement of goods, services, and emergency contracts that could be available or leveraged during an emergency. These include compacts and agreements that can be effectuated if specific criteria to do so has been met. Therefore, it is imperative that this ESF coordinates internally and within the chain of command to ensure that the proper approvals have been received to prior to incurring any costs.

Assignments of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency – NYS Office of Emergency Management (OEM)

State OEM provides overall coordination of logistics and interagency coordination between local, State, and Federal response agencies involved in supply chain management.

2. Support Agencies

NYS DHSES/Asset Management

Will provide (forward) tactical support through management of state stockpiles and staging areas, and related coordination and informational support within the State EOC during activations (Level 2 or greater).

NYS DHSES/Finance

The primary role of DHSES/Finance is the procurement and financial tracking of resources during response and short-term recovery efforts of an event. DHSES/Finance may be required to work with the OGS BSC for purchases and obtain approvals from both the Office of the State Comptroller (OSC) and the Division of Budget (DOB).

NYS Office of General Services (OGS)

In addition to emergency procurement support, OGS can provide logistical support during emergency response and short-term recovery activities by assisting with the transportation of supplies, office furniture, and other items through its Mail & Freight Center and Distribution Management Programs and staging items at its regional Distribution Centers in Albany and Long Island.

NYS Division of Military and Naval Affairs (DMNA)

Per the National Framework and FEMA, military forces are not first responders, but the National Guard is the first level of military response. National Guard response generally is able to deploy from armories at notification +24 hours. DMNA can provide ground transportation for commodities and supplies as well as transportation of personnel for emergency evacuation purposes. DMNA has limited stockpiles of commodities and supplies and these are generally for support of organic personnel. DMNA may require material handling equipment to load and unload stock, based on where the incident is versus the location of the resources. DMNA facility space is limited for outside agencies due to operational impact on internal operational requirements.

NYS Department of Corrections and Community Supervision (DOCCS)

The primary role of DOCCS is to provide personnel to assist in preparing, establishing, equipping, and managing State Logistics sites for operational use, and in site clean-up after response and recovery operations have ended. DOCCS may also provide transportation support to an operation.

NYS Department of Transportation (DOT)

The primary role of DOT will be to transport items, as needed, with available resources. DOT will identify the assets that can be made available to the ESF #7 group depending on the event.

NYS Office of Parks, Recreation and Historic Preservation (OPRHP)

The primary role of OPRHP is to provide what OPRHP assembles and sends over on a weekly basis in OPRHP's "Inventory Readiness Report" (stockpiles) as well as the capability of providing "Staging Areas" in the affected area(s) when possible.

NYS Thruway Authority (TA)

The primary role of the TA will be to transport items, as needed, with available resources. TA will identify the assets that can be made available to the ESF #7 group depending on the event.

State University of New York (SUNY)

SUNY may be able to provide equipment including barricades, compressors, gen-sets, trucks, and related maintenance equipment.

NYS Canal Corporation (Canals)

Canals may have ability to provide limited inventory of portable and heavy equipment to support requests by impacted agencies/entities. Canals has limited capacity to provide personnel, engineering, and technical expertise in support of emergency response requests. Resources needed to meet Canals infrastructure, engineering, and operations needs would be prioritized. Emergencies impacting the canal system will limit the resources available from Canals if this ESF is activated.

NYS Office of Information Technology Services (ITS)

ITS can provide consolidated mainframe and server computer and networking. Provide technology support to the State EOC.

NYS Office of Interoperable and Emergency Communications (DHSES/OIEC)

OIEC can provide radios and communications support within the State EOC. If radio and communication support is requested outside the EOC, it would fall under the purview of ESF #2.

New York Power Authority (NYPA)

NYPA can provide support to NYS during an emergency in the forms of equipment and personnel, as the event dictates.

NYS Department of Environmental Conservation (DEC)

Although not technically part of this ESF, DEC's Division of Materials Management is responsible for initiating the issuance of waivers of container deposit requirements (State Returnable Container Act) for water donated by manufacturers (and others) toward specified emergency relief efforts.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State's ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments, agencies, and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State's Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #7 will serve at the primary integration point for Federal ESF #7. The table below summarizes Federal ESF #7 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF # 7 - Logistics
ESF Coordinator: General Services Administration and DHS/FEMA
Key Response Core Capability: Logistics and Supply Chain Management, Mass Care Services, Critical Transportation, Infrastructure Systems, Operational Communications

Coordinates comprehensive incident resource planning, management, and sustainment capability to meet the needs of disaster survivors and responders. Functions include but are not limited to:

- Comprehensive, national incident logistics planning, management, and sustainment capability.
- Resource support (e.g., facility space, office equipment and supplies, contracting services).

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization of ESFs

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and ESF coordinating agency. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF, if needed, based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are transitioned to ESF #7 or ensure the request has been completed in the State's incident management system. This must be done prior to demobilization and in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long-Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the ESF construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and

Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all federally declared disasters will require full RSF activation, and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from all agencies that comprise this ESF. For the purposes of ESFs, logistical support will continue throughout the RSF process, as needed.

Attachments

- Standard Operating Guidelines (SOG) for ESF #7: Logistics.



Rev. Final

Date: March 2021

ESF #8 Public Health and Medical Services

ESF Coordinating Agency:
Department of Health (DOH)

DPC Support Members:
Department of Agriculture and Markets (DAM)
Department of Environmental Conservation (DEC)
Department of Corrections and Community
Supervision (DOCCS)
Department of Health – Bureau of Emergency
Medical Services and Trauma Life Support (DOH-
BEMSATS)
Department of Labor (DOL)
Office of Mental Health (OMH)
Office of Addiction Services and Supports (OASAS)

Non-DPC Members:
State University of New York (SUNY)
Governor’s Office of Employee Relations (GOER)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, ESF #8 provides the structure for coordinating State multi-agency response activities during a public health or medical emergency or in response to a disaster that creates public health issues and challenges. State ESF #8 interfaces with Federal agencies and non-governmental organizations, as needed, in support of local and state response efforts.

Critical Capability

ESF #8 would support the following Critical Capabilities in New York State: Planning, Health Emergency Preparedness, Emergency Medical Services Operations, and Fatality Management.

SECTION I: General Considerations and Planning Guidelines

Introduction

Emergency Support Function (ESF) #8 Public Health and Medical Services provides New York State with the ability to protect public health throughout the State and to supplement local public health services, healthcare facilities, and emergency worker safety and health in the event of a public health or medical disaster.

The coordinating agency for ESF #8 is the NYS Department of Health (NYSDOH). NYSDOH will coordinate the actions of ESF #8 among the other supporting member agencies when activated. ESF #8 will activate when there is an incident that requires multi-agency support and coordination of public health services and resources.

Purpose

ESF #8 outlines the State's emergency response organization and responsibilities in the event caused by or resulting in public health or medical emergency to protect lives, property, and the environment.

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 Plan
- Volume 3: Long-Term Recovery Plan

The CEMP serves as the foundational framework for the State's response levels and as the supporting structure for ESF, functional, and hazard-specific annexes. ESF #8 is an Annex to Volume 2.

Scope

The ESF #8 Annex applies to emergencies requiring the management and coordination of State agencies to provide response and short-term recovery assistance to localities. The State Office of Emergency Management (State OEM) can activate ESF #8 to coordinate the response to a public health emergency in support of the NYSDOH, or in response to a larger incident that has health-based consequences and warrants a multi-agency approach.

The ESF #8 Annex will support local efforts in the following core functional areas: assessment of public health and medical needs; health surveillance; medical surge; health/medical/veterinary equipment and supplies; patient transport and care; safety and security of drugs, biologics, and medical devices; blood and tissues; food safety and defense; agriculture safety and security; all-hazards public health and medical consultation, technical assistance, and support; mental and behavioral healthcare; public health and medical information; vector control; guidance on potable water/wastewater and solid waste disposal; emergency worker safety and health; mass fatality management, victim identification, and decontaminating remains; veterinary medical support; and coordinate emergency medical services and medical shelters.

The intent of this annex is not to usurp or circumvent any existing public health plans. Instead, this Annex should be used as a vehicle to support the implementation of health-based response plans under the State Department of Health.

Situation

A public health emergency can be the result of a natural, manmade, or technological disaster event or could be a disastrous event independently. Emergencies can include, but are not limited to, an epidemic (rapid spread of an infectious disease within a certain area); pandemic (rapid spread of an infectious disease across regions or continents, such as the H1N1 Flu in 2009 or COVID-19 in 2020-21); or an event resulting in mass fatalities and morbidities. The consequences of such events can deplete a local jurisdiction's resources, which can result in the overcrowding of hospitals, overwhelming of the medical examiner's office, exhausting of first responder manpower, and drug shortages. Another consequence of a disaster that would involve ESF #8 is the mental health ramifications. ESF #8 may be activated when a local government can no longer provide the services and assets required for protecting the population from further injury or devastation resulting from the disaster situation.

Linkage to other State Plans

ESF #8 will be used to support the New York State CEMP Volume 2, Response and Short-Term Recovery, as well as the following: NYS Fatality Management Annex, NYS Family Assistance Center Operations Guide, NYS Pandemic Annex, and the NYS Radiological Emergency Preparedness (REP) Plan.

Planning Assumptions

1. Emergencies begin and end at the local level.
2. A public health crisis can vary in scale, size, and duration.
3. Public health events can be the incident or a consequence of another incident.
4. The emergency can be the result of an event or could be the event itself.
5. There will be public health emergencies that occur on a day to day basis that NYSDOH handles on its own without the activation of ESF #8.
6. An incident can quickly overwhelm the capabilities of the local government and local private entities, such as hospitals.
7. Emergencies and disasters often place emergency responders in adverse environments (such as exposure to toxins and chemicals, structural and mechanical instability, et al) that may compromise their safety and health, of which the Safety Officer may not be aware.
8. The enormity of a public health emergency may overwhelm State and local Command Staff's capability to monitor the safety and health of emergency responders during the course of their response activities thereby requiring assistance.
9. ESF #8 can be activated alone or in conjunction with other ESFs if needed.
10. An incident can be in one or more locations.
11. The impact of a public health crisis may not be realized until casualties occur.
12. Jurisdictions will differ on their needs and capabilities.
13. Vulnerable populations and those with Access and Functional Needs (AFN) may be without necessary care in the event of a disaster.
14. Large-scale emergencies or disasters may surge demand at hospital emergency departments and hospital facilities, increase demand for emergency medical services, increase morgue capacity, and necessitate development of non-hospital facilities (such as schools and armories).
15. The psychological impact of a health-related emergency or disaster may affect a broad geographic area well beyond the actual incident site(s).

Concept of Operations

1. A public health incident requiring State-level multi-agency response occurs in New York State, or is recognized elsewhere and is believed to have impacts to the State. The incident can be a public health emergency that escalates or can be caused by separate emergency, such as a flood.
2. State OEM determines the State Emergency Operations Center (State EOC) activation level based on the severity of the incident.
3. State OEM and ESF #8 coordinators will jointly determine the level of ESF representation needed for the incident.
4. If Federal assistance is requested, ESF #8 will integrate with Federal ESF #8 as outlined under the National Response Framework (NRF).
5. When the incident no longer requires State EOC-level support, State OEM will start the demobilization process and transfer roles and responsibilities to the appropriate Recovery Support Function (RSF) as appropriate.

Policy or Authorities

- New York State Executive Law, Article 2-B
- Executive Order # 26.1 of 2006 as amended (NYS Adoption of the Incident Command System)
- New York Codes, Rules and Regulations
 - 10 NYCRR 2.10(a) provides that, when a case of communicable disease occurs in a State institution or a facility licensed under Article 28 of the Public Health Law, the person in charge of the institution or facility shall report the case to the State Department of Health and to the city, county, or district health officer in whose jurisdiction such institution is located.
 - 10 NYCRR 2.11 provides that, if a pathologist, coroner, medical examiner, or other person determines from examination of a corpse or from history of the events leading to death that at the time of death this individual apparently was affected with a communicable disease, he/she shall report the case within 24 hours to the proper health authority according to the manner indicated in 10 NYCRR 2.10 as if the diagnoses had been established prior to death.
- New York State Public Health Law
 - § 1300: Confers on the Commissioner of Health all necessary powers to make investigations and examinations into nuisances or questions affecting the security of life and health in any locality.
 - § 16: Provides that, whenever the Commissioner, after investigation, is of the opinion that any person is causing, engaging in or maintaining a condition or activity which in his or her opinion constitutes a danger to the health of the people, and that it therefore appears to be prejudicial to the interests of the people to delay action for 15 days until an opportunity for a hearing can be provided, the Commissioner shall order the person, by written notice to discontinue such dangerous condition or activity or take certain action immediately or within a specified period of less than fifteen days.
 - Article 21, Title I, § 2105 requires the director or person in charge of each State institution to report immediately an outbreak of a communicable disease in such institution to the State Health Commissioner and as may otherwise be provided in the State sanitary code.
 - Article 13, Title I, § 1301, items 1, 2, and 3, the Governor may require the State Health Commissioner to examine nuisances and order their abatement or removal.
 - Article 2, Title I
 - § 201, item 1 provides that NYSDOH shall receive and expend funds for public health purposes, exercise control over and supervise the reporting and control of disease, exercise control over and supervise the abatement of nuisances affecting or likely to affect public health and supervise and regulate the public health aspects of ionizing radiation and nonionizing electromagnetic radiation.
 - § 206, items 1, 2, and 9 provide that the State Health Commissioner and NYSDOH continue to exercise powers and duties regarding public health matters as provided by law, including supervising local boards of health and health officers; investigating the causes of disease, epidemics, the sources of mortality, and the effect of localities, employments and other conditions upon the public health; entering all grounds and structures; establishing and operating such adult and child immunization programs as are necessary to prevent or minimize the spread of disease and to protect the public health; and deputizing local health officers.
 - § 206 (25)(b): Provides that the Commissioner of Health may require reporting by Article 28 and Article 36 entities, registered pharmacies, manufacturers, and distributors of adult immunizing agents doing business in this state, and others possessing such adult immunizing agents of information needed to respond to an imminent public health emergency.
- Occupational and Safety Health Administration (OSHA): 29 CFR 1910, 1926, 1952, 1956
- New York State Labor Law, Public Employee Safety and Health (PESH) Act, Article 2, § 27-a

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State CEMP is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by the Department of Homeland Security/ Federal Emergency Management Agency (DHS/FEMA) in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment, or THIRA. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component. ESF #8 will be socialized through training, exercising, and testing among the ESF Coordinators, Primary Agency, DPC Support Members, and Non-DPC Members.

The NYSDOH sponsors and participates in HSEEP compliant exercises and drills as required by Federal funding sources and in conjunction with local, regional, state, and Federal partners. A variety of trainings are offered or supported by NYSDOH to improve emergency response capabilities of public health and healthcare providers and systems.

The State Office of Mental Health (OMH), sponsors and conducts a program of training in Disaster Mental Health to create and maintain resources to provide psychological support following disasters and public health emergencies.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the State with information regarding Statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, Specialized Equipment, and Resources

ESF #8 resources include subject matter experts, a Rapid Reaction Team, and a Division of Safety and Health Crisis Response Team, bottled water, labor recruitment, mapping, vehicles and vehicle operators, public information and communications, language translation assistance, human resources and clerical support, and support for dislocated workers.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)/Partner Plans

NYSDOH Health Emergency Preparedness and Response Plan (HEPRP):

NYS DOH plan that includes MOU among NYSDOH and partner agencies addressing receiving/distribution agreements for strategic national stockpile assets and medical countermeasures.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with NYSDOH serving as the ESF #8 coordinator. These are:

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM Staff Only
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with ESF coordinating agency activation.

- The ESF coordinating agency is activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC activation with ESF activation.

- The ESF coordinating agency is activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in coordination with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC activation with ESF activation, and Federal ESF integration and coordination.

- ESF coordinating agency is activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in coordination with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and the Homeland Security Presidential Directive (HSPD) – 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State’s resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State’s ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning) and ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will

NY State EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the Planning Section in the State EOC; ESF #7 is assumed by the Logistics Section in the State EOC; ESF #15 is situated in the Command Element.

ESF #8 will provide incident management support and coordination under the NYSDOH. NYSDOH will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

This ESF is assigned under Operations. NYSDOH will be the primary interface with the OSC, and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF coordinating agency for availability of resources/missions. NYSDOH will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Confirmation or concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignments of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency - NYS Department of Health (NYSDOH)

NYSDOH is responsible for public health within NYS and derives public health authority through State Public Health Law. In the event of a State declared disaster emergency, the Department is responsible for the management, coordination, and prioritization of health services and resources to support the health and medical needs of impacted areas and critical infrastructure personnel (e.g. State government, response agencies). The Department:

- Coordinates with local responders and authorities to provide guidance and support for public health response, triage, treatment, and emergency medical transportation of victims of a regional/county emergency or catastrophic event that impacts or has the potential to impact public health. This includes guidance to healthcare facilities and local health departments on alternate care sites, decontamination, isolation and quarantine measures and requests for medical resources and supplies.
- Provides coordination, guidance and support to local health and healthcare partners (including providers, hospitals, long term care facilities, and adult care facilities) via Health Risk Messaging to public and providers and support for call centers.
- Works with State response partners to coordinate and support the implementation of local evacuation operations of patients/residents of a healthcare facility in an impacted area before, during, and after a disaster emergency event.
- Conducts routine surveillance using existing systems to provide data on when and where communicable disease activity is occurring. Data is used to investigate and collect relevant epidemiologic information. This includes vector borne diseases.
- Provides support for public health and healthcare providers and facilities regarding requests for equipment and supplies to support response to health related emergencies and maintains MERC to include equipment and supplies to support public health and healthcare emergency response;
- Coordinates the management and distribution of medical countermeasures in conjunction with State response partners.
- Coordinates the transport of critical specimens to appropriate laboratories and provides laboratory testing.
- Provides subject matter expertise and departmental support for public health responses including incidents involving potential environmental public health hazards (water resources, food safety, chemical contaminants, radiological, etc.).

- Provides subject matter expertise, guidance, coordination, assessment, and support in instances of food related safety concerns or outbreaks and coordinates with appropriate response partners in coordination with ESF #6 and ESF #11.
- Coordinates with appropriate response partners in ESF #11 to provide subject matter expertise and support to the health and safety of livestock and/or food-producing animals and animal feed, as well as the safety of the manufacture and distribution of foods, drugs, and therapeutics given to animals used for human food production
- Provides oversight of the Statewide Emergency Medical Services (EMS) system and supports the development of local EMS systems.
- Provides support for medical shelters in coordination with ESF #6. Coordinates with local/regional/state partners to provide support for access and functional needs in a shelter environment.

2. Support Agencies

NYS Department of Agriculture and Markets (DAM)

- Coordinates through State ESF #11 to support agriculture safety and security
- There is a Rapid Reaction Team (RRT) that will be activated and sent to any disaster where food storage may have been effected by water, heat, cold, lack of adequate proper storage due, for example, to loss of electricity.
- Limitations:
 - The Department is a regulatory agency and is limited in what it may provide beyond expert guidance.
 - DAM does not stockpile veterinary medical supplies.
 - DAM does not provide direct veterinary care.
 - The RRT is not equipped for hazardous exposure and is not stand alone. The RRT would require assistance to deploy to and operate in a disaster area.

NYS Department of Governor's Office of Employee Relations (GOER)

- GOER has the capability to work with NYSDOH and the NYS Department of Civil Service (DCS) to coordinate meetings regarding response and establish ongoing communication with the unions.

NYS Department of Environmental Conservation (DEC)

- The DEC Division of Materials Management (DMM) would:
 - Work with local municipalities, private facilities, and transporters to properly dispose of regulated medical waste (RMW) and other infectious waste products.
 - Provide education to entities looking to dispose of RMW.
 - Assist in attaining safe and compliant RMW handling operations on-site of medical services installations as needed.
 - Determine which off-site facilities are able (and willing) to accept and manage RMW and other solid waste.
 - Review/authorize emergency facility authorizations, as well as, emergency waste transporter permits obtained through ESF #3.

NYS Department of Corrections and Community Supervision (DOCCS)

- May assist in postmortem photography and fingerprinting.
- May be able to provide limited supplies of cook-chill and shelf stable meals supply linens and bedding as well as clothing to support a medical shelter.

NYS Department of Labor (DOL)

- DOL is responsible for the health and safety of public employees including first responders prior to, during and post-mission assignment by, but not limited to, assisting the on-scene Safety Officer to identify hazardous conditions and offering control measure recommendations, providing technical assistance with personal protective equipment (PPE) and fit testing, providing “just-in-time” training for responders as needed for assignment-specific duties, on-site monitoring and observation of health and safety hazards as well as industrial hygiene sampling and monitoring.
- DOL has the authority to suspend operations in which responders are exposed to conditions hazardous to safety and health if left unmitigated.
- DOL Core Capabilities:
 - Division of Safety and Health (DOSH) Crisis Response Team.
 - Additional Support Services including: bottled water, labor recruitment, mapping, public information and communications, language translation assistance, human resources and clerical support, and support for dislocated workers.
 - Vehicle Operators, vehicles, and laborers available for response.

NYS Office of Mental Health (OMH)

- Public Information and Warning: provides behavioral health information that may be transmitted to members of the general public and responders who are located in or near areas affected by a public health emergency.
- Fatality Management Services: provides behavioral health support to families of victims during the victim identification and mortuary process.
- Health Surveillance: monitors the behavioral needs of the general population as well as that of response workers and identifies emerging trends related to the disaster.
- Patient Care: provides resources to support behavioral healthcare to survivors with chronic mental illness and those adversely affected by the disaster/public health emergency.
- Public Health and Medical Consultation, Technical Assistance, and Support: Assesses behavioral health, effects resulting from all hazards. Provides disaster mental health support through direct services and/or referrals as necessary.

NYS Department of Health Bureau of Emergency Medical Services and Trauma Systems (DOH-BEMSATS)

- Coordinates Statewide EMS assets during a declared disaster through the Statewide EMS Mobilization Plan.
- Primary point of contact to the National Ambulance Contract.
- Provides coordination for operational assistance for staging, triage, and transport.

Office of Addiction Services and Supports (OASAS)

- Provide immediate support to individuals with opioid addictions, such as methadone treatments by using the NYS Central Registry so an individual can receive treatment anywhere in the State.
- Provide direct services for opioid addictions at the 12 addiction treatment centers.
- Move, as needed, Methadone Treatment, via guest dosing.
- Certify temporary locations that may need to be moved due to a disaster/emergency.
- Reach out to other opioid treatment providers to bring additional methadone to an area, if needed.
- Authorize take home methadone treatments, if needed.
- Utilize programs and peers to assist someone with an addiction in finding services.
- Has the ability to data map locations of available treatment centers who are certified by OASAS.

State University of New York (SUNY)

- SUNY is a community of about 500,000 people with 80,000 residential students.
- Community colleges are supported and controlled more locally by their sponsoring county.
- SUNY has traditionally hosted shelters in large spaces such as gyms, availability varies. SUNY has also supported large outdoor staging areas.
- Each campus has a university police or campus public safety presence.
- Each State-operated campus has a health center providing medical care and counseling. These services are normally restricted to the student population.
- Campuses may be able to support in public information activities.
- Limitations:
 - Use of facilities is subject to time of year restrictions.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination is key to leveraging the resources of each Federal ESF. As such, New York State ESF #8 will serve at the primary integration point for Federal ESF #8. The table below summarizes Federal ESF #8 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF # 8 – Public Health and Medical Services

ESF Coordinator: Department of Health and Human Services

Key Response Core Capability: Public Health, Healthcare, and Emergency Medical Services, Fatality Management Services, Mass Care Services, Critical Transportation, Public Information and Warning, Environmental Response/Health and Safety, Logistics and Supply Chain Management

Coordinates the mechanisms for assistance in response to an actual or potential public health and medical disaster or incident. Functions include but are not limited to:

- Public health
- Medical surge support including patient movement
- Behavioral health services
- Mass fatality management

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and NYSDOH leadership. Based upon the needs of the operation, ESF #8 may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of ESF #8 if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary. In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally-established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all federally-declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF on the table on the following page:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
NYSDOH	X	X	X	X	X	X
DAM	X	X	X	X	X	
DEC	X	X	X	X	X	
DOCCS			X	X		
DOH-BEMSATS	No RSF Assignment					
DOL		X	X			X
OASAS			X			
OMH			X			
SUNY		X	X	X		

Attachments

- Standard Operating Guidelines (SOG) for ESF #8: Public Health and Medical Services.



ESF #9 Search and Rescue

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Office of Fire Prevention and Control (OFPC)

DPC Support Agencies:

Department of Environmental Conservation (DEC)

Division of Military and Naval Affairs (DMNA)

Division of State Police (DSP)

Office of Parks, Recreation, and Historic

Preservation (OPRHP)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, ESF #9 will coordinate the activities associated with the deployment of search and rescue resources to provide specialized lifesaving assistance throughout New York State during the response and short-term recovery phases of a disaster.

SECTION I: General Considerations and Planning Guidelines

Introduction

New York State will continue to experience a variety of disasters from a number of causes: humans, nature, and technology. This annex outlines the Search and Rescue ESF #9's active approach to providing State-level Search and Rescue (SAR) resources throughout New York State during the response and short-term recovery phases of a disaster. This Annex includes multi-agency capabilities that can be applied to augment local SAR activities across an expansive variety of hazards and terrain.

In accordance with New York State Executive Law, Article 6-C, the Commissioner of the Division of Homeland Security and Emergency Services (DHSES) is accorded the authority to establish Urban Search and Rescue (USAR) teams, specialty rescue teams, and incident support teams. The Commissioner has additional directives for the training and accreditation of SAR teams within New York State.

Purpose

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

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

**Critical
Capability**

ESF #9 will support the following Critical Capabilities in New York State: Planning, and Search and Rescue Operations.

The purpose of the CEMP is to identify the State’s overarching policies, authorities, and response organizational structure which will be implemented in an emergency or disaster situation that warrants a state response. The CEMP serves as the foundational framework for the State’s response levels and serves as the operational basis of which other ESF’s, functional, and hazard-specific annexes are built upon. The ESFs and annexes address a broad range of capabilities in response to the State’s highest rated hazards.

The role of ESF #9 is to coordinate support to incidents requiring SAR capabilities when local resources have been or are anticipated to become overwhelmed, or in response to state-led initiatives. State level ESF #9 will integrate with and coordinate with federal resources requested to assist in the State response, or in fulfillment of an Emergency Management Assistance Compact (EMAC) request for SAR assistance and/or support.

Scope

ESF #9 is an operational level management plan which provides the basic concepts required to manage and coordinate State-level SAR multi-agency response and short-term recovery assistance to local entities. As the Coordinating Agency, the New York State Office of Fire Prevention and Control (OFPC) will manage all ESF #9 activities from the state Emergency Operations Center (State EOC). This Annex will apply to all incidents and events requiring State-level SAR support and coordination. ESF #9 will serve as the lead for integration with federal response activities coinciding with the activation of the State EOC.

During events requiring a SAR response component, ESF #9 agencies will provide and coordinate specialized SAR capabilities such as Structural Collapse Search and Rescue, Waterborne Search and Rescue, Inland/Wilderness/Wildland Search and Rescue, and Air Search and Rescue related to aircraft occupants in distress.

Operations shall normally continue until all reasonable hope of rescuing survivors has passed, as determined by the incident and ESF leadership. It should be noted that regarding the deceased, the local medical examiner and coroner’s office will have jurisdiction over any bodies discovered during a SAR operation. In events which overwhelm the local capabilities, ESF #8 Public Health and Medical Services will have responsibility for mass fatality management.

Situation

New York State is home to a wide range of topographical regions, requiring a variety of specific skill sets, including coastal, extreme winter weather, water/underwater, and wilderness/alpine specializations. Multiple minor and major league sports team events are held throughout the state. In addition, many other high attendance events are held throughout the state such as county and state fairs, concerts, and tourist attractions that may require large scale response in the event of a natural or human-caused incident. Structural collapse, bleacher seating collapse, or a myriad of other scenarios during such an event could require extensive SAR activity with an unknown number of victims.

Major metropolitan areas may pose significant challenges to USAR due to the profusion of high-rise buildings, presence of international airports, corporate centers, tourist attractions, and government facilities. In addition to the potential of a widespread debris field expected in metropolitan areas, existing local SAR teams may quickly become overwhelmed due to the number of expected victims.

Linkage to other State Plans

ESF #9 will be used to support the New York State Comprehensive Emergency Management Plan (CEMP), Volume 2, Response and Short-Term Recovery, and the Fatality Management Annex.

This Annex provides general guidance for a variety of services related to the personnel and equipment required for the statewide SAR response activities. SAR services may include but are not limited to activities such as monitoring of distress calls, location of distressed personnel, coordination, and execution of rescue operations including extrication and evacuation, and immediate medical assistance to assist persons in potential or actual distress.

As with any planning document, these situations or hazards are not to be considered all-inclusive. Requests for assistance will be dependent upon the needs of the operation and the situation-specific circumstances and may be outside the auspices of this document. Therefore, the needs of the operation, the capabilities of the agencies associated with ESF #9, and the availability of human and material resources will be considered to determine if a request is appropriate.

Planning Assumptions

1. All disaster response activities will begin and end at the local level.
2. State assistance may be requested when a local government recognizes that local resources have become or are expected to become overwhelmed.
3. ESF #9 will coordinate activities during operations at the State EOC.
4. Environmental conditions may have substantial impacts on SAR activities. New York State is subject to extreme winter weather which may necessitate specialized equipment and/or expertise to respond and navigate in snow or ice conditions.
5. SAR may involve individuals with disabilities, functional and access needs, pre-existing mental health conditions, and/or those who have limited or no English proficiency.
6. Events impacting metropolitan areas have the potential to cause a widespread debris field which will pose a substantial challenge for SAR responders.
7. Highly populated metropolitan areas may not have a sufficient number of SAR teams to adequately meet the staffing requirements of an operation in a widespread incident.
8. SAR activities may occur in environments involving chemical, biological, radiological, or nuclear exposure.
9. SAR activities may take place during incidents involving local, state, federal, or international law enforcement investigations.
10. SAR activities may begin and end in a body recovery operation.
11. Incidents may cause significant disruption of the area's existing public health and medical systems normally utilized for the long-term care of the injured recovered by SAR activities. While not a direct impact on standard SAR activities, delays may occur in the transfer of injured victims to medical facilities.
12. SAR activities may involve a significant number of fixed wing and rotary wing aircraft, as well as Unmanned Aerial Vehicles (UAVs).
13. A Temporary Flight Restriction (TFR) may be issued by the Federal Aviation Administration (FAA) to provide for safe operation of disaster relief aircraft, protect persons on the surface or in the air from the incident, or to prevent an unsafe congestion of sightseeing and other unnecessary aircraft.
14. Usage of aircraft for SAR activities will necessitate coordination with ESF #1 Transportation, Air Operations Branch to ensure appropriate use of available air space. Control and direction of SAR activities will remain within the ESF.
15. The DEC is the lead State agency for wildland SAR per the New York State Environmental Conservation Law.
16. Within DEC, Forest Rangers will directly respond to and provide state agency leadership to all wildland SAR missions.

Concept of Operations

1. An incident occurs in New York State which necessitates a State level response.

2. As conditions warrant, the New York State Office of Emergency Management (State OEM) will make a determination as to the level of activation necessary for the State.
3. The State OEM and ESF leadership will jointly determine the level of ESF representation needed for the incident.
4. OFPC is designated as the ESF Coordinating Agency for SAR operations.
5. If federal assistance is requested, ESF #9 will integrate with the federal ESF #9 as outlined under the National Response Framework (NRF).
6. When the operational need for SAR activities are no longer required, ESF #9 will begin demobilization. Demobilization of ESF #9 may occur while the State EOC continues to actively respond to the incident.

Policies or Authorities

State:

- New York State Executive Law, Article 2-B
- New York State Military Law, Article 6
- New York State Constitution, Article XII, §13.c
- New York State Executive Law, Article 6-C, §156.g
- New York State Environmental Conservation Law
- New York State Executive Order 26.1 of 2006
- NYS Fire Mobilization and Mutual Aid Plan (FMMAAP)

Federal:

- National Response Framework (NRF)
- U.S. National Search and Rescue Plan (NSP)
- National Search and Rescue Manual (NSM)
- National SAR Supplement (NSS)
- Catastrophic Incident SAR (CISAR) Addendum to the NSS
- 14 CFR 91.137
- 14 CFR 99.7

Plan Updates and Maintenance

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the state Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the state Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the state. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the state as well. New York State participates in federal, state, and local mitigation programs and identifies ongoing mitigation opportunities. The state takes maximum advantage of available federal funding to implement mitigation measures at the state and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the state. Volume 1 addresses the overall state hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the state. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the state must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the state's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of the ESF Annexes created under the CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the state has conducted in each of the 57 counties of New York, and New York City. The CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System (ICS) and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many state agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The state has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness (REP) Program. The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several State-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all the State's ESF annexes included an exercise component.

OFPC provides specialized training including drills and exercises, in areas of hazardous materials and technical rescue response (rope, confined space, water, collapse and trench) all of which support the FMMAP to assure a greater response capability.

DEC Forest Rangers provide a Wildland Search Course which is available on request to all volunteer fire departments (VFDs), search groups, and others who would assist in large scale incidents.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive 8 (PPD-8). In doing so, the State assessed its Critical Capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the state with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the CEMP.

Collectively, the agencies named in ESF #9 have the capabilities to provide a variety of SAR activities. The list below outlines the combined capabilities of the agencies:

- K-9 members (disaster search and tracking)
- Technical/urban search and rescue teams
- Debris pile operations
- Self-Contained Underwater Breathing Apparatus (SCUBA) trained members
- Offshore and inland waterway search operations
- Technical rope rescue
- Vertical ice rescue
- Cold weather field operations
- Cold water operations
- Aviation crew support
- Cave rescue
- Man tracking
- Wilderness operations
- Technical support for radio/network
- UAVs
- Flood response search and rescue teams/Swift water rescue

Stockpiles, Supplies, and Specialized Equipment

Each individual agency maintains stockpiles and supplies for their own internal use to support the needs of their agency and personnel during a response operation. The list below summarizes the specialized equipment owned and operated at an agency level in support of response capabilities. This list is not intended to provide an agency-specific inventory but is meant to provide basic information of the specialized equipment that may be utilized during ESF #9 activities, and may also be utilized for missions associated with other ESFs that agencies may be assigned to.

- Interoperable communications vehicles available to respond statewide
- Mobile command and control equipment
- Radio-equipped vehicles
- Personal watercrafts
- Specialized watercrafts
- HR statewide network
- Emergency lights and generators
- 4 x 4 vehicles
- Marine patrol vessels

- Snowmobiles
- Forward-Looking Infrared (FLIR) equipment
- Radio Detection and Ranging (RADAR) equipment
- Aviation response (fixed and rotary wing)
- Unmanned Aerial Vehicles (UAVs)

Memorandums of Understanding (MOUs)/Letter of Agreement (LOAs)

There are no MOUs or LOAs which support this document.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the state. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

NYSOEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant. These are:

NYS EOC Activation Levels

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full state/federal
Response

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- Agencies may be asked individually to support any remote operations or to report from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.

- ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- Support Agencies will work in coordination with the ESF Coordinating Agency to operate and report under the ESF structure.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, support agencies will be activated.
- Support Agencies will work in coordination with the ESF Coordinating Agency to operate and report under the ESF structure.
- The activities of the state ESF will be integrated with those of their federal ESF counterparts.

Direction and Control

The state endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) - 5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and federal response organizations. The organizational structure of the state's ESFs are inherently different than the federal construct under the NRF. With the exception of ESF #5 Planning, ESF #7 Logistics, and ESF #15 External Affairs, the State ESFs will be situated organizationally in the operations section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the planning section in the State EOC; ESF #7 is assumed by the logistics section in the State EOC; ESF #15 is situated in the command element.

ESF #9 will provide incident management support and coordination under the designated ESF Coordinating Agency. The Coordinating Agency will ensure the activities of the ESF are consistent with this Annex, and that all agencies are operating in unison to achieve the common goal or mission of the ESF.

ESF #9 is assigned under Operations. The ESF Coordinating Agency will be the primary interface between the OSC and the Support Agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF Coordinating Agency for availability of resources/missions. The ESF Coordinating Agency will be given latitude to facilitate the best resource or solution set in response to the request that the state has received. Confirmation of a solution will be communicated to the OSC to ensure the state maintains a centralized coordination of resources and direction of requests for assistance.

Assignments of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may also have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency - Office of Fire Prevention and Control (OFPC)

The OFPC will serve as the ESF Coordinating Agency for ESF #9 and have the responsibility to provide coordination at the State level for search and rescue operations. The OFPC will also coordinate technical support for specialized responder safety issues associated with fire ground activities, hazardous materials, and structural collapse operations.

The OFPC maintains a response capability with full-time and part-time staff, including that of New York Task Force-2 (NYTF-2) to support hazardous materials, swift water rescue and other technical rescue response disciplines. The OFPC has the appropriate technical rescue equipment to support all these special operations

personnel including but not limited to, personal watercraft, all-terrain vehicles, and hand tools. Through the activation of the FMMAP, the OFPC has the responsibility to coordinate any locally owned fire service asset in response to an emergency including Storm Emergency Fire Units (SEFUs). Additionally, the OFPC supports local responders through resource tracking, technical assistance at the scene and as requested for investigations.

As the primary agency within Urban Search and Rescue (USAR) activities, the OFPC's Special Operations Branch includes the New York State Technical Search and Rescue Team 2 (NYTF-2). NYTF-2 provides specialized expertise in response to events such as structural collapse, evacuation emergencies, technical rope rescues, and confined space rescues. This includes canine SAR teams which are responsible for searching structures in the urban search and rescue environment, as well as urban and rural missing persons searches.

The New York City Office of Emergency Management is the sponsoring agency for New York Task Force 1 (NYTF 1) and is deployable as a State asset. Comprised of active duty personnel from the New York City Fire Department (FDNY) and the New York City Police Department (NYPD), NY-TF1 can deploy as a light task force (24 people) or heavy task force (80 people). Members are trained in technical rescue and have received specialized training in Urban Search and Rescue techniques.

2. Support Agencies

Department of Environmental Conservation (DEC)

The DEC's Division of Forest Protection (Forest Ranger Division) is the lead response agency for wildland search and rescue with subject matter expertise and daily tactical ability. Forest Rangers have received specialized conditioning, training, equipment, radio communications, and technical support necessary to support this mission. Forest Rangers have the ability to safely manage multiple incidents or mass victim wilderness search, rescue and/or recovery through its expertise and historical support by state and local agencies. Wildland search and rescue missions are the first response priority for Forest Rangers that would only have conflict with simultaneous wildland fire incidents.

DEC Forest Rangers maintain ample equipment, training, subject matter expertise, and daily mission capability to adequately address wilderness search and rescue missions including severe winter operations by vehicle, off-road vehicle, motorized and paddle watercrafts, aerial insert, and by foot/ski/snowshoe. DEC Forest Rangers also have personnel, equipment, and training to respond to flooding and swift water rescue emergencies.

DEC Police (Environmental Conservation Officers or ECOs) have multiple capabilities to assist in SAR operations. The ECOs are the DEC's primary waterborne force and have the capability to respond to offshore, coastal, great lakes and inland waterways SAR operations. FLIR and RADAR are available on larger patrol vessels for nighttime operations. The ECOs have personnel and equipment to respond to boating accidents, flooding emergencies and swift water response scenarios. ECOs can also provide K-9 search teams for SAR efforts. ECOs have significant training and experience in ICS during emergency responses.

DEC has UAS equipment and pilots available from the Forest Rangers, the ECOs, and civilian programs. Additional DEC public safety assets include 4 x 4 patrol vehicles, all-terrain vehicles (ATVs), utility terrain vehicles (UTVs), personal watercraft, and snowmobiles.

NYS Division of Military and Naval Affairs (DMNA)

The DMNA has the capabilities to support Search and Rescue operations but requires executive authority for activation and deployment of human and material resources. Per the National Response Framework and FEMA, military forces are not first responders, but the National Guard is the first level of military response. National Guard response is generally able to deploy from armories with a minimum of 24-hour notice. The DMNA can provide ground search and rescue, as well as limited aerial and water search and rescue activities using

Forward Looking Infrared (FLIR) and aerial rescue by rotary wing aircraft. There is a very limited capability for confined space and collapsed structure search and rescue response activities.

NYS Division of State Police (DSP)

The DSP Aviation Unit consists of four stations strategically placed to provide maximum coverage of available assets. With a headquarters located in Albany, additional stations are located at the Adirondack Regional Airport (Saranac Lake), Stewart International Airport (Newburgh), and at the Greater Rochester International Airport. All stations are staffed to provide law enforcement support, search and rescue, and Medical Evacuation (MEDEVAC) services. Both the Albany and Saranac Lake stations provide support for DEC missions as well as aerial fire suppression missions.

The DSP Special Operations Section directs the activities of the DSP Special Operations Response Team (SORT) and the DSP Dive Team. SORT is comprised of five regionally assigned teams of Operators who are trained and equipped with the skills and tools necessary to conduct searches in all types of terrain and environments. Specific skills of note are rappelling, high angle rope rescue, and hoist capability, in conjunction with aviation. The DSP Dive Team consists of members spread out over eight troops (excluding Long Island, New York City, and the New York State Thruway) in upstate New York. Capabilities include boats (including airboats) and underwater electronic search equipment. The NYS Dive Team has the ability to respond to boat accidents, flood emergencies, swift water rescues, and other water related emergencies.

NYS Office of Parks, Recreation, and Historic Preservation (OPRHP)

The New York State Park Police provide essential police services consistent with the OPRHP mission. Patrols routinely utilize a variety of transportation options such as police cars, four-wheel drive vehicles, all-terrain vehicles, bicycles, boats, personal watercraft and by foot. State Park Police have the capability to provide high angle, swift water rescue, and rope rescue teams. Seasonal Park and Recreation Public Safety Rangers may also assist with search and rescue operations and marine patrols.

Integration of Federal ESFs

The federal government organizes its response resources and capabilities under an ESF construct. Similar to New York state's ESF construct, federal ESFs are multi-agency operational components that serve as the primary means for coordinating federal resources and capabilities into New York State. The federal ESFs bring together a wealth of capabilities of federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering federal response core capabilities in support of the State's critical capabilities. Integration and coordination are key to leveraging the resources of each federal ESF. As such, New York State ESF # 9 will serve at the primary integration point for federal ESF #9. The table below summarizes federal ESF #9 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each federal ESF Annex.

ESF # 9-Search and Rescue
ESF Coordinating Agency: DHS/FEMA
Key Response Core Capability: Mass Search and Rescue Operations
Coordinates the rapid deployment of search and rescue resources to provide specialized lifesaving assistance. Functions include but are not limited to: <ul style="list-style-type: none">• Structural collapse (urban) search and rescue• Maritime/coastal/waterborne search and rescue• Land search and rescue

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response, and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as such requests for assistance diminish. These phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by OEM and ESF leadership. Demobilization is situationally dependent. ESFs may begin to demobilize during the response/short-term recovery, based upon the needs of the operation. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all support agencies. However, there may be instances where the ESFs can be partially demobilized, allowing support agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all support agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities focus their efforts on implementing recovery programs, the State's focus will shift to long-term recovery. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. Federal disaster recovery efforts are organized as indicated in the National Disaster Recovery Framework. This structure warrants the state to organize in a similar fashion to properly and effectively integrate recovery activities.

Implement Recovery Support Functions (RSFs)

As JFO activation is evident, the federal government will transition out of the ESF construct and implement the Recovery Support Functions (RSFs). Recovery Support Functions bring together the core recovery capabilities of federal departments and agencies to focus on community recovery needs. The RSFs are Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. The RSFs facilitate coordination and delivery of federal assistance in these areas to supplement recovery efforts. RSFs are designed to operate within a timeframe of months to years and work closely with local and state government.

As the federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery

Support Function, if warranted. It is important to note that not all federally declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency’s role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF as listed below:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
OFPC	No RSF Assignment					
DEC	X	X	X	X	X	
DMNA				X		
DSP	No RSF Assignment					
OPRHP	X			X	X	

Attachments

- Standard Operating Guidelines (SOG) for ESF #9: Search and Rescue



ESF #10 Oil and Hazardous Materials Response

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Department of Environmental Conservation (DEC)

DPC Support Agencies:

Department of Health (DOH)

Division of Military and Naval Affairs (DMNA)

Office of Fire Prevention and Control (OFPC)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. ESFs are a mechanism used to group the functions most often needed to respond to incidents. At the State level, ESF #10 will coordinate support in response to an actual or potential discharge and/or release of oil or hazardous materials. This annex includes multi-agency capabilities that can be utilized to augment local and county oil and hazardous materials response activities when local and county resources have become or are expected to become overwhelmed.

SECTION I: General Considerations and Planning Guidelines

Introduction

New York State will continue to experience a variety of disasters from a number of causes: humans, nature, and technology. This annex outlines ESF #10's active approach to providing State level response to oil and hazardous materials through New York State during the response and short-term recovery phases of a disaster as outlined in the State Comprehensive Emergency Management Plan (CEMP).

Purpose

The CEMP has been structured into three distinct, but interconnecting 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 which warrants a state-level response. The CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other ESF's and hazard-specific annexes are built upon. These ESF's and annexes address a broad range of capabilities in response to the State's highest rated hazards.

**Critical
Capability**

ESF #10 will support the following Critical Capabilities in New York State: Planning.

The role of ESF #10 is to coordinate the State level support and response to the control and containment of an actual or potential oil or hazardous materials release when local resources have been or are expected to become overwhelmed, and, when applicable, to coordinate with federal resources requested to assist in the State response activities.

Scope

This Annex provides guidance for a variety of actions related to the personnel and equipment required for the State response to oil and hazardous material releases during emergencies and disasters when the local capabilities have been or are expected to become overwhelmed.

The activities associated with the activation of ESF #10 include the appropriate actions to prepare for and respond to a threat to public health and welfare or the environment caused by the actual or potential oil and/or hazardous materials incidents. Hazardous materials may include chemical, biological, radiological, nuclear and/or explosive substances, whether accidentally or intentionally released.

Actions included under the scope of this document may include:

- Actions to minimize or mitigate a hazardous material release.
- Efforts to detect and assess the extent of the environmental contamination.
- Actions to stabilize the release and prevent the spread of contamination.
- Analysis of options for environmental cleanup and waste disposition, including options for cleanup and disposal of contaminated debris.
- Implementation of environmental cleanup, including collection of orphaned oil and hazardous materials containers, collection of household hazardous waste, removal of contaminated soil, and decontamination of buildings and structures.
- Coordination of the storage, treatment(s), and disposal of oil and hazardous materials, including contaminated debris.
- Actions to protect natural resources.
- Monitoring disposal of contaminated debris.

Linkage to other State Plans

ESF #10 will be used to support the New York State Comprehensive Emergency Management Plan (CEMP), Volume 2, Response and Short-Term Recovery, NYS Coastal Storm Annex, NYS Hazardous Materials Annex, NYS Radiological Emergency Preparedness (REP) Plan.

Situation

Numerous emergencies or disasters have the potential to include a release of oil or hazardous materials. The release of oil or hazardous materials may be the cause for the initial response, or response may be necessary due to a cascading event when the release of oil or hazardous materials is discovered during the response activities.

A variety of hazardous materials are transported throughout the State by road, rail, and water. A majority of transportation incidents will be coordinated by local authorities. However, there may be instances where a larger spill would necessitate a request for State level assistance.

A release of oil or hazardous materials could occur on privately owned private sector facilities which would affect public areas, state-owned properties, or privately-owned property and/or residences. Local and state level response may occur concurrently with response activities coordinated by the owner of a private sector facility and may or may not involve coordination of activities with a responsible party.

New York State is home to multiple nuclear power plants. Additional facilities exist in neighboring states for which parts of New York State fall within the 50-mile ingestion pathway zone. Failure at any one of these facilities could affect the State of New York as well as have multi-state or international implications due to the geographical proximity to the Canadian border. Response activities specific to nuclear power plants emergencies are addressed in the State's Radiological Emergency Preparedness Plan.

Assessment and monitoring of the initial debris removal operations will be coordinated to ensure the absence of or appropriate disposal of debris with potential contamination. This document addresses only the initial contaminated debris removal required to neutralize an immediate threat to life, health and safety, and/or to eliminate a threat to property and avert or lessen the threat of an emergency or disaster. General debris removal is not addressed in this document and it should be noted that the management of non-contaminated debris during the emergency response phase is addressed in ESF #1 Transportation.

In compliance with the National Contingency Plan (NCP), all State level activities will be coordinated with the designated on-scene Federal Coordinating Officer (FOSC) when/if there has been an activation of federal assets. Area Contingency Plans (ACPs) and Geographic Response Plans (GRPs) are included as part of that coordination. When there is an activation of federal assets, federal regulations mandate that two agencies have responsibility for the oversight of incidents of oil, the Environmental Protection Agency (EPA) and the U.S. Coast Guard (USCG). For releases on land, the EPA will be the designated FOSC and for U.S. navigable waters, the USCG will be the designated FOSC. For events involving the release of hazardous substances, dependent upon the location and source of the release, the FOSC may be provided by the EPA, USCG, Department of Energy (DOE), or the Department of Defense (DOD).

As with any planning document, these situations are not to be considered all-inclusive. Requests for assistance will be dependent upon the needs of the operation and may be outside of the auspices of this document. In such cases, the needs of the operation, the capabilities of the agencies associated with ESF #10, and the availability of human and material resources will be considered to determine if the request is appropriate.

Planning Assumptions

1. All disaster response activities will begin and end at the local level.
2. Strategic priorities will be life safety, incident stabilization, and property/environmental conservation.
3. State assistance may be requested when a local government recognizes that local resources have been or are expected to become overwhelmed.
4. 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.
5. ESF #10 will coordinate activities with other activated ESFs via the State Emergency Operations Center (State EOC) to ensure a cohesive, coordinated response.
6. Incidents may have complex legal issues such as a responsible party, terrorist act, and/or other criminal/legal implications. During such incidents, ESF #10 will closely coordinate with ESF #13 Public Safety and Security.
7. Transportation infrastructure or routes may become contaminated by oil or hazardous materials and be unavailable to both responders and the general public.

8. Incidents may involve a blast or explosion associated with a chemical, biological, radiological, nuclear, or explosive (CBRNE) threat agent resulting in a contaminated debris field.
9. Incidents involving a hazardous material release may be affected by current and expected weather conditions.
10. Requests for ESF #10 response may be caused by a cascading effect from the primary event.
11. Critical life-saving response activities may be delayed due to the presence of hazardous materials.
12. Incidents may have long term environmental effects which will require additional short- and long-term monitoring of affected sites.
13. Due to the general public perception of hazardous materials and CBRNE events, incidents will require significant dissemination of public information and close coordination with both ESF #8 Public Health and Medical Services and ESF #15 External Affairs.
14. The USCG and EPA have direct access to all federal ESF #10 resources. The federal ESF #10 may be activated without a Stafford Act Declaration of Emergency or Major Disaster. These agencies are granted federal authority to implement oil and hazardous materials response within the State.
15. The OFPC and the DEC support local, county, regional, and State planning efforts through the development of GRPs along crude by rail transportation corridors.
16. The DOH will be the lead during a radiation emergency response.

Concept of Operations

1. An incident occurs in New York State which necessitates a State level response.
2. As conditions warrant, State Office of Emergency Management (State OEM) will make a determination as to the level of activation necessary for the State.
3. The State OEM and ESF leadership will jointly determine the level of ESF representation needed for the incident.
4. The Department of Environmental Conservation (DEC) is designated as the ESF Coordinating Agency for Oil and Hazardous Materials Response.
5. If federal assistance is requested, ESF #10 will integrate with the federal ESF #10 as outlined under the National Response Framework (NRF).
6. At the end of the State EOC activation, ESF #10 will begin demobilization and transition to a necessary Recovery Support Function (RSF) if needed.

Policies or Authorities

State:

- New York State Executive Law, Article 2-B
- New York State Constitution

- Executive Order 26.1 of 2006, as amended
- Executive Order 125 of 2014
- Executive Order 95 of 1987
- NYCRR, Chapter III and VI
- New York State General Municipal Law
- NYS Navigation Law
- NYS Environmental Conservation Law
- NYS Public Health Law, Sections 201 and 206
- NY State Fire Mobilization and Mutual Aid Plan (FMMAP)
- Geographic Response Plans developed in NYS

Federal:

- Federal Oil Pollution Act of 1990 (OPA or OPA 90)
- National Oil and Hazardous Substance Pollution Contingency Plan (Also referred to as National Contingency Plan or NCP)
- Environmental Protection Act of 1990

Plan Updates and Maintenance

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During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the state Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the state Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the state. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the state as well. New York State participates in federal, state, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available federal funding to implement mitigation measures at the state and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the state. Volume 1 addresses the overall state hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. The CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System (ICS) and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness (REP) Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several State-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

The OFPC provides hazardous materials training to the fire service and other emergency response personnel statewide, pursuant to Section 156 of the NYS Executive Law, and maintains a hazardous materials response capability to provide technical assistance to local, county and State agencies at any hazardous materials incident including oil spills.

New York State participates in 6-8 nuclear power plant exercises per year. The DOH and DEC staff routinely attend training courses on health physics, monitoring, sampling, and other topics of relevance to radiation response. DOH staff have ICS training and multiple staff are Hazardous Waste Operations and Emergency Response (HAZWOPER) certified.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the State assessed its critical capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the CEMP.

Collectively, the agencies named in ESF #10 have the resources and training to provide a variety of capabilities related to hazardous materials and oil incident response. The list below outlines the combined capabilities of the agencies:

- MRT (SWAT) trained members
- Certified field radiological sampling
- K-9 members (accelerant detection)
- Access to contractors with HAZMAT Sampling capabilities
- Ability to hire spill response contractors
- Subject matter expertise and knowledge

Stockpiles, Supplies, and Specialized Equipment

The DEC has 24 emergency response trailers situated throughout the State with the capability of responding to petroleum releases. The trailers contain items such as absorbent material, harbor boom, hand tools and other supplies that may be utilized during a petroleum response.

Each individual agency maintains stockpiles and supplies for their own internal use to support the needs of their agency and personnel during a response operation. The list below summarizes the specialized equipment owned and operated at an agency level in support of response capabilities. This list is not intended to provide an agency-specific inventory but is meant to provide basic information of the specialized equipment that may be utilized during the course of ESF #10 activities.

- Radio-equipped vehicles
- 4 x 4 vehicles
- Interoperable communications vehicles available to respond statewide
- Personal watercraft
- Mobile command and control unit
- ATVs/UTVs
- Marine patrol vessels
- Analytical laboratory system
- HF statewide network
- Aviation response-fixed and rotary wing
- Unmanned Aerial Vehicles (UAVs)

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

The DEC has a variety of standby contract and contractors in place that have the ability to supply DEC with the equipment and personnel necessary to address the problem at hand. While the DEC does not stockpile assets in the traditional sense, the various contracts allow for rapid acquisition of necessary assets, engineering and remedial design, construction, and project management. The DEC manages and utilizes response, remediation, engineering, and laboratory contracts.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the

State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

The State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant. These are:

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.

- The ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF support agencies will work in coordination with the ESF coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, support agencies will be activated.
- ESF support agencies will work in coordination with the ESF coordinating agency to operate and report under the ESF.
- The activities of the State ESF will be integrated with those of their federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System (ICS) as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) -5. As such, a variety of direction and control components may be utilized to manage and coordinate the

NYS EOC Activation Levels

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full State
Activation

Level 1 – Full State/Federal
Response

State's resources in an efficient and effective manner and to provide the interoperability between the local and federal response organizations.

The organizational structure of the State's ESFs is inherently different than the federal construct under the NRF. With the exception of ESF #5 Planning, ESF #7 Logistics, and ESF #15 External Affairs, the State ESFs will be situated organizationally in the operations section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs, if established. ESF #5 is assumed by the planning section in the State EOC; ESF #7 is assumed by the logistics section in the State EOC; and ESF#15 is situated in the command element.

ESF #10 will provide incident management support and coordination under the ESF Coordinating Agency. The ESF Coordinating Agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

ESF #10 is assigned under the Operations Section. The ESF Coordinating Agency will be the primary interface between the OSC and the support agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF Coordinating Agency for availability of resources/missions. The ESF Coordinating Agency will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Confirmation of a solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignments of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency - NYS Department of Environmental Conservation (DEC)

The DEC will serve as the ESF Coordinating Agency of ESF #10 activities at the State EOC level. The DEC's mission is to conserve, improve and protect New York's natural resources and environment and to prevent, abate and control water, land and air pollution, in order to enhance the health, safety and welfare of the people of the State and their overall economic and social well-being. The DEC has emergency response personnel within the Division of Environmental Remediation (DER) that are on call for oil spill and hazardous material response, available 24/7, and can be dispatched rapidly to any situation. Spill response staff throughout the State investigate such spill reports and take action based on the type of material spilled, the potential environmental damage, and safety risks to the public. DEC staff are currently trained to quickly assess a situation and develop and implement a solution to the problem, using available DEC contractors.

DEC's Division of Materials Management (DMM) will work with Environmental Protection Agency (EPA) to coordinate and authorize household hazardous waste (HHW) management events, such as authorized curbside collection or local drop-offs. DMM will coordinate with localities, waste transporters, and solid waste management facilities as needed on these efforts.

As a part of day to day agency activities, the DEC maintains the Spill Response Hotline, a reporting portal for petroleum and other hazardous materials releases throughout the State. While federal laws require that the responsible party contain, clean up, and dispose of any spilled/contaminated materials, the DEC can provide resources to local agencies and will remain involved if continued cleanup is required. The DEC oversees the cleanup process to ensure that the actions taken are protective of public safety, health, and the environment.

The Spill Response Program of the DEC is responsible for protecting the public and the environment from emergencies resulting from a release or discharge. The program reviews oil spill contingency plans for emergency situations, maintains a 24-hour state-wide emergency response capability, and supervises cleanup mitigation activities and contracts.

The DEC spill response authority and jurisdiction is derived from the State Environmental Conservation Law (ECL) and Navigation Law. Article 12 of the Navigation Law is the primary statute for the Oil Spill Program. Section 176 of the Navigation Law, as well as ECL 17-1941, which authorizes the DEC to respond to and clean up discharges of petroleum, including the hiring of contractors to assist in spill response activities.

Section 181 of the Navigation Law establishes the authority for the DEC to hold spillers responsible for cleanup and to seek reimbursement of project costs when a spiller is unable or unwilling to do so. It is the responsibility of DEC to respond, to remove, and to dispose of unpermitted discharges when not performed by the spiller, pursuant to Section 176 of the Navigation Law. Under 17-1941 of the ECL, the State has enforcement and removal authority for spills which cause or contribute to a condition in contravention of water quality standards, including liability for actual costs incurred by the State for the removal or neutralization and reasonable remediation measures. In addition, ECL 71-0301 confers summary abatement power in situations where a person is causing or maintaining a condition or activity that presents an imminent danger to the public health or welfare or may result in irreversible or irreparable damage to natural resources.

The major objectives for the Spill Response Program are:

- To coordinate and direct the notification of, response to, and cleanup of spills and accidental releases of petroleum and hazardous materials.
- To develop policies designed to prevent spills of petroleum and other hazardous substances and to establish emergency preparedness and response plans.
- To provide geotechnical support services for groundwater investigations which track petroleum and hazardous substances in and for water resource protection and development.
- To provide standby contracting services for the investigation, containment, and cleanup of oil spills, hazardous material spill response, and sampling and laboratory analyses of spill products.

The DEC Division of Law Enforcement has the ability to supply off road and marine operations to support this ESF. They also have hazardous substance sampling capabilities and expertise available for spill related criminal investigations. The DEC Division of Law Enforcement (Environmental Conservation Officers “ECOs”) has the ability to supply off road and marine operations. The ECOs are all 24-hour HAZWOPER certified and some are 40-hour HAZWOPER certified. All have basic CBRN response training. The majority of ECOs are primary radiation screener level trained, with a smaller group having secondary screener level training, and have federal reach back capabilities statewide. They have significant training and experience in ICS during emergency responses. They also have hazardous substance sampling capabilities and expertise available for spill related criminal investigations.

2. Support Agencies

NYS Department of Health (DOH)

The DOH is responsible for public health within New York State and derives public health authority through State Public Health Law. In the event of an oil or hazardous materials incident, the DOH will provide subject matter experts to present health and safety advice to workers and members of the public who are potentially exposed to those materials. The DOH is the lead agency for response to radiation emergencies.

The Department of Health will:

- Coordinate with local responders and authorities to provide guidance and support for public health response, triage, and treatment of victims of a hazardous materials event.
- Provide coordination, guidance, and support to local health and healthcare partners regarding appropriate countermeasures.
- Perform exposure assessments, risk assessments, and provide recommendations for decreasing potential exposure to hazardous materials.
- Provide health and safety advice to members of the public, emergency workers, local responders, and healthcare partners.
- DOH investigates and manages the Emergency Oil Spill Relocation Network which provides site investigation, environmental sampling and risk assessment, indoor air quality assessment, site cleanup recommendations, and cleanup monitoring and evaluation of cleanup effectiveness for residents of New York State affected by petroleum discharges.
- The State Commissioner of Health may deploy State resources and may coordinate deployment of local resources as they are made available, to assess possible health risks to persons residing at or near the sites of petroleum spills, releases or discharges.
- DOH provides health-based interpretation of environmental sampling data, particularly to assess potential impacts to drinking water supplies, recreational water resources and indoor air quality in residences, schools, businesses and DOH regulated facilities.

In addition to the general responsibilities for all hazardous materials events, the department has the following additional responsibilities during a radiation event:

- Assess potential for releases to the environment and estimate the magnitude of likely release.
- Estimate projected radiation dose to public and emergency workers.
- Issue protective action recommendations to prevent or reduce radiation dose to the public and emergency workers.
- Prepare a sampling program and initiate sampling activities as appropriate.
- Determine need for and/or request federal radiological assistance.
- Develop risk communication messages.

NYS Division of Military and Naval Affairs (DMNA)

Per the National Response Framework and FEMA, military forces are not first responders, but the National Guard is the first level of military response. National Guard response is generally able to deploy from armories with a minimum of 24-hour notice. The DMNA Civil Support Teams (CSTs) can assist with HAZMAT identification of agents and materials, plume modeling, projected consequences, and recommended response measures. The DMNA Homeland Response Force (HRF) can assist with technical and mass decontamination, as well as triage of those injured after decontamination. The DMNA does not have any spill containment or large spill cleanup capability.

NYS Office of Fire Prevention and Control (OFPC)

The OFPC Special Operations Branch provides technical assistance and response to Oil and Hazardous Materials events. The OFPC can provide equipment calibration and maintenance, provide on scene technical hazardous materials assistance, and maintains fully equipped hazardous materials teams available to assist/deploy in large scale incidents involving hazardous materials release.

The OFPC’s primary roles and responsibilities at an oil spill or other hazardous substance release include:

- Provide technical expertise to assist with product identification, hazard evaluation, and development and implementation of incident site safety and operational plans.
- Provide hazardous materials response capabilities, including Class B foam assets, as needed to support or supplement local resources.
- Provide or assist with personnel accountability and resource tracking functions.

The OFPC administers the FMMAP for incidents whose scope or duration exceeds capacity of local and contiguous county resources, or which requires the response of specialized equipment not provided for under existing local and County mutual aid agreements, pursuant to NYS General Municipal Law (GML) 209-e.

The OFPC maintains a response capability with full-time and part-time staff, including that of New York Task Force-2 (NY TF-2) to support hazardous materials and other technical rescue response disciplines. The OFPC has the appropriate technical rescue equipment to support the special operations personnel with hazardous materials response trailers, meters and associated hand tools. Through the activation of the FMMAP, the OFPC has the responsibility to coordinate any locally owned fire service asset in response to an emergency. Additionally, the OFPC supports local responders through resource tracking, technical assistance at the scene as relates to hazardous materials incident response.

Integration of Federal ESFs

The federal government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, federal ESFs are multi-agency operational components that serve as the primary means for coordinating federal resources and capabilities into New York State. The federal ESFs bring together a wealth of capabilities of federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering federal response core capabilities in support of the State’s critical capabilities. Integration and coordination are key to leveraging the resources of each federal ESF. As such, New York State ESF #10 will serve at the primary integration point for federal ESF #10. The table below summarizes federal ESF #10 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each federal ESF Annex.

ESF # 10 – Oil and Hazardous Materials ESF Coordinating Agency: Environmental Protection Agency
Key Response Core Capabilities: Environmental Response/Health and Safety, Critical Transportation, Infrastructure Systems, Public Information and Warning.
Coordinates support in response to an actual or potential discharge and/or release of oil or hazardous materials. Functions include but are not limited to: <ul style="list-style-type: none">• Environmental assessment of the nature and extent of oil and hazardous materials contamination.• Environmental decontamination and cleanup, including buildings/structures and management of contaminated waste.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the

needs of the response, and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as such requests for assistance diminish. At times, these phases often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and ESF leadership. Demobilization is situationally dependent. ESFs may begin to demobilize during the response/short-term recovery, based upon the needs of the operation. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all support agencies. However, there may be instances where the ESFs can be partially demobilized, allowing support agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all support agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities focus their efforts on implementing recovery programs, the State's focus will shift to long-term recovery. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. Federal disaster recovery efforts are organized as indicated in the National Disaster Recovery Framework. This structure warrants the State to organize in a similar fashion to properly and effectively integrate recovery activities.

Implement Recovery Support Functions (RSFs)

As JFO activation is evident, the federal government will transition out of the ESF construct and implement the Recovery Support Functions (RSFs). Recovery Support Functions bring together the core recovery capabilities of federal departments and agencies to focus on community recovery needs. The RSFs are Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. The RSFs facilitate coordination and delivery of federal assistance in these areas to supplement recovery efforts. RSFs are designed to operate within a timeframe of months to years and work closely with local and state government.

As the federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, if warranted. It is important to note that not all federally declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF as shown on the following page:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
DEC	X	X	X	X	X	
DOH	X	X	X	X	X	X
DMNA				X		
OFPC	No RSF Assignment					

Attachments

- Standard Operating Guidelines (SOG) for ESF #10: Oil and Hazardous Materials Response



ESF #11 Agriculture and Natural Resources

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Department of Agriculture and Markets (DAM)

DPC Agency Members:

American Red Cross (ARC)
Department of Environmental Conservation (DEC)
Division of Military and Naval Affairs (DMNA)
Department of Health (DOH)
Division of State Police (DSP)
Office of Parks, Recreation, and Historic
Preservation (OPRHP)
State Education Department (SED)

Non-DPC Agency Members:

NYS Animal Health Diagnostic Center at Cornell
American Society for the Prevention of Cruelty to
Animals (ASPCA)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, ESF #11 provides the structure for coordinating State multi-agency response activities during an emergency that involves agriculture and natural resources. State ESF #11 interfaces with Federal agencies and non-governmental organizations, as needed, in support of local and state response efforts.

SECTION I: General Considerations and Planning Guidelines

Introduction

Emergency Support Function (ESF) #11 Agriculture and Natural Resources provides New York State with the ability to protect animal health, plant-life, farms, food supply, forests, bodies of water, cultural resources and historic properties in the event of a disaster.

The coordinating agency for ESF #11 is the New York State Department of Agriculture and Markets (DAM). In partnership with the New York State Office of Emergency Management (NYS OEM), DAM will coordinate the actions of ESF #11 among other supporting member agencies when activated. ESF #11 will be activated when there is a natural, technological,

Critical Capability

ESF #11 would support the following Critical Capabilities in New York State: Planning, Mass Care and Sheltering, Private Sector/Non-Governmental Organizations, Restoration of Infrastructure and Critical Services.

or manmade disaster impacting agriculture and/or natural resources that require a State-level multi-agency response.

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. The CEMP serves as the foundational framework for the State's response levels, and also provides the operational basis from which other ESFs, functional, and hazard-specific annexes are built upon. These ESFs and annexes address a broad range of capabilities in response to the State's highest-rated hazards.

The purpose of the ESF #11 Annex is to ensure that State agricultural and natural resources are addressed, maintained, and protected in the event of a disaster. New York State is agriculture rich. Agriculture directly supports the vitality and economic stability of farmers and consumers. In addition, the agricultural industry supports food services, food manufacturers, agricultural workers, and recreational industries. ESF #11 coordinates response activities to support food safety, animal and plant health, household pets, natural and cultural resources and historic properties.

Scope

ESF #11 supports local efforts and interfaces with Federal, Tribal, and Private Entities in response to an emergency involving agriculture and natural resources. The scope of ESF #11 spans the following functions under two conditions: (1) to the extent that agriculture and natural resources are impacted and (2) when local resources are exhausted:

- Animal Health and Industry
- Animal-Borne Zoonotic Disease Response
- Plant and Crop Safety and Pest/Invader Response
- Food Safety and Security
- Agricultural Security
- Natural and Cultural Resources and Historic Properties (NCH) Safety and Security
- Household Animal and Agriculture Animal Emergency Management

ESF #11 does not address nutrition assistance. Nutrition assistance is addressed in State ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services.

Most county and local governments have developed comprehensive emergency management plans in accordance with State Executive Law, Article 2-B. Such plans coordinate the collective response of the local government and provide for a mechanism to use all of the existing resources.

Linkage to other State Plans

Temporary Emergency Animal Sheltering Annex (TEAS)

Emerging Infectious Diseases in non-Human Populations

NYS Radiological Emergency Preparedness (REP) Plan

Local government is responsible for carrying out the initial response and short-term recovery activities and services. When local government capabilities and resources become overwhelmed, ESF #11 will be activated to support response efforts.

Situation

Animals, plants, and foods are susceptible to disaster, contamination, and infectious diseases. If a contagious disease goes unaddressed, it can escalate to an outbreak leading to an agricultural emergency. A disease impacting the agricultural community may result in severe social, economic, public health, animal health, and animal welfare consequences. Such diseases may require extraordinary response measures for effective control and could result in quarantine and/or euthanasia of animals. Natural and manmade disasters have the potential to impact animals and their owners to an extent requiring evacuation, shelter, and care support.

Natural, cultural, and historic resources in New York State are susceptible to natural, manmade, and technological disasters impacting land, air, and water. Hazards include damage to forests which make up a majority of New York State and water contamination which would have a negative impact on everyday water usage.

The ESF #11 Annex outlines the support that the ESF #11 Coordinating and Member Agencies would provide in the event of a disaster that impacts agricultural and natural resources in the following situational hazards:

Animal Health and Industry: ESF #11 will coordinate response efforts when disease and/or environmental hazards pose a risk to animal health and the continuity of business for the animal industry. Situations requiring ESF #11 could include but are not limited to zoonotic (animal to animal/human), vector (carrier), or anthroponotic (human to animal) diseases; or environmental hazards such as severe weather.

Animal-Borne Zoonotic Disease Response: ESF #11 will coordinate response efforts when animal-borne disease impacts the agricultural economy and poses a threat to uninfected animals which may or may not infect humans. Examples of zoonotic disease include Salmonella, E. coli, and Ebola Virus Disease.

Plant and Crop Safety and Pests/Invaders/Disease: ESF #11 will coordinate with the necessary entities when plants/trees and crops are impacted by plant pest/disease. In Addition, ESF 11 will coordinate with the necessary entities to support debris management, when there is a plant pest/disease quarantine impacted by natural/man-made disaster, so that the spread of the outbreak is mitigated.

Food Safety and Security: ESF #11 will coordinate the response when food products, intended for consumption by humans, pets and livestock, are impacted by a disaster or emergency. Food products can be susceptible to contamination, disease, and environmental hazards. The role of ESF #11 will be to ensure that food products will remain safe and secure along the farm-to-table pathway. In addition, ESF #11 will provide subject matter expertise, guidance, coordination, assessment, and support in instances of food-related safety concerns or outbreak.

External Threats to Animal and Plant-Life: ESF #11 will coordinate the response to support agricultural and natural resources in the event of an environmental crisis. Animals, livestock, crops, and plants are susceptible to air pollution and environmental hazards. There are five nuclear power plants within and five surrounding New York State. If there is any type of release such as a plume of hazardous material, animals, livestock, crops, and plants will become contaminated if they are within the plume's pathway. Air-borne diseases often infecting the respiratory system, can impact both humans and animals. Examples of air-borne diseases and infections include influenza, tuberculosis, and inhalational anthrax.

Natural and Cultural Resources and Historic Properties (NCH) Safety and Security: ESF #11 will coordinate the support to maintain and protect NCH in the event of a disaster. NCH can be divided into two categories. The first category is nature. In New York State, forests make up 63% of land area, rivers and streams span 70,000 miles, and there are 17 major watersheds. These natural resources, which have cultural and historical significance, are susceptible to weather, chemical, and pollution hazards on land, air, and water. The second category are properties that have natural, historic, and cultural relevance. In New York State, these properties include historic, natural, and/or cultural archives, educational documents, monuments, icons, and artifacts, all of which are vulnerable to weather, chemical, and pollution hazards.

Household Animal and Agriculture Animal Emergency Management: ESF #11 will coordinate with the necessary entities to support evacuation, sheltering, care and other services for household pets, when they are impacted by a disaster or as a result of being left behind in a disaster. The New York State Pet Evacuation Transportation and Sheltering (PETS) Act of 2006 mandates state and local emergency plans account for evacuation, transportation and sheltering of household pets in the event of an emergency. The PETS Act mitigates the probability that human owners will forgo evacuation, thus endangering themselves, in order to remain with their pets.

Planning Assumptions

1. Emergencies begin and end at the local level.
2. Agriculture and/or natural resources can be the emergency itself.
3. Agriculture and/or natural resources can be impacted by an emergency.
4. State agency-level support begins and ends based on statutory requirements and/or the needs of the requesting community.
5. There is a potential for the agricultural industry, as well as local and state officials, to receive a threat of a disease as an act of terrorism.
6. Any exotic or emerging disease found in New York livestock (cattle, horses, poultry, swine, sheep, goats, and deer) will have significant national and international trade implications causing economic disruption well beyond state borders.
7. Outbreaks of foreign animal disease agents will involve an immediate Federal agricultural response.
8. Numerous local, State, and Federal agencies will play a role in eradicating disease or pests impacting animals, plants, and/or natural resources.
9. Response efforts could encompass culling of livestock and potentially infected animals.
10. Response efforts could also encompass culling of non-domesticated populations, such as wildlife.
11. The expense and time to control or eradicate any disease outbreak will be exponentially proportional to the time taken to detect and respond to the first cases.
12. The cause of an animal disease outbreak may remain uncertain for a significant length of time.
13. The lack of available sheltering for animals may result in individuals refusing to evacuate and refusing to go to public shelters.
14. Many outside groups will voluntarily provide food, shelter, and care for animals. These groups must be coordinated to make efficient use of resources and so that they do not hinder other aspects of disaster response.
15. The human-animal bond is significant and the separation or death of animals will be stressful to the human population.

16. Local County Animal Response Teams (CARTS) may be activated to support the response.
17. Vector control of rodents, birds, flies, bugs, etc. may be necessary to stop the geographic or interspecies spread of an animal or plant disease.

Concept of Operations

1. An agricultural emergency requiring a State-level response occurs in New York State.
2. State OEM determines the State Emergency Operations Center (State EOC) activation level based on the severity of the incident.
3. State OEM and the ESF #11 Coordinator will jointly determine the level of ESF representation needed for the incident.
4. If Federal assistance is requested, ESF #11 will integrate with Federal ESF #11 as outlined under the National Response Framework (NRF).
5. When the incident no longer requires State support, State OEM will start the demobilization process and transfer roles and responsibilities to the appropriate Recovery Support Function (RSF) as appropriate.

Policies or Authorities

- Robert T. Stafford Disaster Relief and Emergency Assistance Act
- NYS Executive Law, Article 2-B
- Homeland Security Presidential Directive 5 and 9 (defense of US agriculture and food)
- New York State Historic Preservation Act, as amended chapter 354 and 16 U.S.C. §§ 470 et seq.
- Environmental Assistance Programs Subchapter A. Clean Water/Clean Air Bond Act of 1996
- Environmental Conservation Law (Article 9 and Article 11)
- NYS Agriculture and Markets Law Article 5; Article 26 B
- The Animal Damage Control Act of March 2, 1931 (7 U.S.C. 426-426c; 46 Stat. 1468) and the Rural Development, Agriculture and Related Agencies Appropriations Act of 1988 (Public Law 100-202, stat. 1329-1331 (7 U.S.C. 426c))
- Environmental Conservation Law (Article 15 – Water Resources, Title 5: Protection of Waters; Article 24 – Freshwater Wetlands, Title 7: Freshwater Wetlands Regulations; Article 25 – Tidal Wetlands, Title 4: Regulated Activities; Article 70: Uniform Procedures, § 70-0116 Emergency authorization
- New York State Code of Rules and Regulations (6 NYCRR Part 621 Uniform Procedures, specifically 621.12 Emergency Authorizations). In particular, Part 621.12 provides for the issuance of Emergency Authorizations for action(s) necessary to prevent an immediate threat to the health, property, general welfare or natural resources. Under 621.12, when issuing an Emergency Authorization, DEC must make a “finding of emergency”.
- Environmental Conservation Law Articles 17, 27, 33, 70
- New York State Public Health Law, § 206
- NIMS Executive Order # 26.1 of 2006

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) in 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment or THIRA. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local-level perspective.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

MOU: Animal and Plant Health Inspection Service Veterinary Services (APHIS) and NYS Department of Agriculture and Markets: This memorandum of understanding outlines the expectations and procedures for a joint response, and mechanisms for reimbursement, to coordinate the application of Federal and State resources in mitigation, planning, training, response, and recovery in the event of an animal health emergency, natural disaster, or other catastrophic event to assist the agricultural community.

LOA: NYS Department of Agriculture and Markets, Cornell Cooperative Extension (CCE) and NY Extension Disaster Education Network (NY EDEN): This letter of agreement among DAM, CCE, and NY EDEN, establishes an information-sharing system that facilitates all-hazards protection, prevention, mitigation, response, and recovery efforts to support the agricultural community.

NYS Interagency Chronic Wasting Disease Response Plan 2015 – 2025: The Interagency Chronic Wasting Disease (CWD) team is comprised of DEC Division of Fish and Wildlife Bureau of Wildlife, DEC Division of Law Enforcement, DAM Division of Animal Industry, and Cornell University College of Veterinary Medicine Wildlife Health faculty. CWD represents a serious threat to New York State’s wild white-tailed deer, moose, elk, red deer, mule deer, and black-tailed deer population and captive cervid industry with potentially devastating economic, ecological, and social repercussions.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State’s ESF annexes included an exercise component. ESF #11 will be socialized through training, exercising, and testing among the ESF Coordinators, DPC Support Members, and Non-DPC Members.

Post Flood Emergency Stream Intervention Training: The purpose of the manual is to ensure that aquatic natural resources, including all watercourses and their adjacent riparian, wetland and flood plains habitats, are not impacted by the emergency response actions. This training material will provide information on how to assess the situation, decide where to work and what the right approach would be under an emergency response condition.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, Specialized Equipment, and Resources

ESF #11 has subject matter experts, a Rapid Reaction Team, and veterinarians.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with DAM serving as the ESF #11 Coordinator. These are:

NYS EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM Staff Only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF Coordinator activation.

- The ESF leadership is activated on an as-needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC activation with ESF activation.

- The ESF leadership is activated on an as-needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in partnership with the Coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC activation with ESF activation, and Federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in partnership with the Coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD) – 5. As such, a variety of direction and control components

may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State's ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF 5 (Planning) and ESF 7 (Logistics), and ESF 15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF 5 is assumed by the Planning Section in the State EOC; ESF-7 is assumed by the Logistics Section in the State EOC; ESF-15 is situated in the Command Element.

ESF #11 will provide incident management support and coordination under the DAM. DAM will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

This ESF is assigned under Operations. DAM will be the primary interface with the OSC, and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF Coordinator for the availability of resources/missions. DAM will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Confirmation or concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignments of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality, and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency - NYS Department of Agriculture and Markets (DAM)

- Serves as the Coordinating agency in animal-borne disease, pests, and animal safety response efforts.
- Coordinates animal sheltering with Non-Governmental Organizations (NGOs), such as the American Society for the Prevention of Cruelty to Animals (ASPCA), to help manage sheltering.
- Consults and cooperates with County Animal Response Teams (CART) and County OEMs to find and provide sheltering for animals.
- Regulates farm-to-table pathway and is capable of tracing forward and tracing backward in the event of contamination.
- Division of Animal Industry:
 - Provides overall direction and coordination of animal disease outbreak preparedness and response efforts.
 - Provides field support through its veterinarians and animal health inspectors.
 - Provides expertise in the epidemiology and control of animal and zoonotic diseases.
 - Maintains geographic information systems to include data on facilities with animals and businesses that support animals.
 - Acts as a contact point for non-governmental agency animal response groups and local county animal response groups.
- Food Safety:
 - There is a Rapid Reaction Team (RRT) that will be activated and sent to any disaster where food storage may have been affected by water, heat, cold, lack of adequate proper storage due, for example, to loss of electricity.
 - Milk Control and Dairy Services:

- In the event of a regional or specific processor or producer recall, the division will address and identify, with the manufacturer, the destination of the product and the distribution outlets. This will expedite the removal of the contaminated product from commerce.
 - Should an embargo on an agricultural commodity or area take place, staff will work to assist in maintaining an embargo and report findings through the proper channels.
 - DAM Milk Control & Dairy Services will work together with our federal partners along with transportation companies, State partners and laboratories to ensure a strict embargo is maintained and that producers through to consumers are aware of the embargo.
- Limitations and Nuances:
 - DAM is a regulatory agency and is limited in what it may provide beyond expert guidance. The Agency has limited personnel and physical resources. The RRT is limited in that it is not equipped for a stand-alone response and would require assistance to deploy to and operate in a disaster area. In addition, the RRT is unable to withstand hazardous exposure. The ability to respond will depend on the geographic nature and animal density at the time of the emergency. Veterinary staff will not treat animals in shelters.

2. Support Agencies

NYS Department of Environmental Conservation (DEC)

- Determine how all waste streams (including animal carcasses, etc.) must be handled, which could include management as regulated medical waste, municipal solid waste, or others.
 - Coordinate with local communities, DOH, and other government agencies as needed on carcass management issues.
- Determine how the material must be transported or managed on-site.
 - If managed off-site, determine facilities able to accept and manage the waste and their willingness to accept.
- Provides waste transporter and solid waste facility emergency authorizations/permit modifications as needed.
- Provides guidance and support in the implementation of wild animal monitoring, collection, and control efforts.
- Ensure that pesticides are legally distributed and used in accordance with registered product labels. Registered pesticide products would be required for use as disinfectants, repellents, insecticides, herbicides, and rodenticides.
 - Commercial application of pesticides requires NYS certification in specific categories. Ensure that adequate training and certification courses are available.
- Provides subject matter experts on invasive species:
 - Wildlife Biologists
 - Plant Biologists
 - Marine Resources
- Ensure that protected natural resources such as rivers, streams and water-bodies, freshwater and tidal wetland are protected during emergency response and recovery activities utilizing the emergency authorization and general permitting procedures under Article 70 of the ECL and NYCRR Part 621
- Ensure the protection of Threatened and Endangered Wildlife.
- The Division of Fish and Wildlife and Environmental Conservation Officers have trained staff that may be utilized in wildlife culling or tranquilizing operations.
- Limitations
 - Based on the quantity and nature of the waste, materials management facilities available and willing to handle the waste may be limited.
 - Not having pesticide products registered for a specific pest such as Ebola and invasive non-native pests. Lack of appropriate products registered by the Environmental Protection Agency (EPA) for use.

- Lack of adequately certified pesticide applicators.

NYS Department of Health (DOH)

DOH is responsible for public health within NYS and derives public health authority through State Public Health Law. In the event of a State declared disaster emergency, the Department is responsible for the management, coordination, and prioritization of health services and resources to support the health and medical needs of impacted areas and critical infrastructure personnel (e.g. State government, response agencies). The Department:

- Provides subject matter expertise, guidance/education, support, and coordination, with local or federal partners in instances of food-related safety concerns or outbreaks, including laboratory testing services (including Bio Security Level 3 Select Agent specimens) and epidemiological activities such as surveillance, case investigation, and contact tracing.
- Coordinates with local partners and appropriate ESF 6 partners to provide food monitoring, inspection and sanitation assessment in Mass Care feeding operations.
- Coordinates with appropriate response partners in ESF 8 to provide subject matter expertise and support to the health and safety of livestock and/or food-producing animals and animal feed, as well as the safety of the manufacture and distribution of foods, drugs, and therapeutics given to animals used for human food production.
- Provides coordination, guidance and support to local health and healthcare partners (including providers, hospitals, long-term care facilities, and adult care facilities) as well as in other roles and responsibilities pre-designated in NYS CEMP.

NYS Division of Military and Naval Affairs (DMNA)

- Per the National Response Framework and FEMA, military forces are not first responders, but, the National Guard is the first level of military response. National Guard response generally is able to deploy from armories at notification +24 hours.
- DMNA may provide heavy equipment (from ESF #1) and security assets (from ESF #13) to support existing plans.
- DMNA does not possess veterinary or food safety assets.
- DMNA should not be considered as the sourcing solution to animal eradication.

NYS Division of Police (DSP)

- Support and coordination of security and traffic control operations.
- Support and coordination with other law enforcement agencies regarding activities in response operations.
- Serve as the primary State agency for any criminal investigation into an intentionally caused food tampering and/or disease outbreak.

American Red Cross (ARC)

- Encourages planning for the care of animals during disasters by pet owners, municipalities, and organizations dedicated to animal welfare.
- Provides shelter for recognized service animals assisting persons with disabilities, as part of the available shelter services to the general population.
- The ARC does not provide or manage animal shelters.

NYS Education Department (SED)

- Protection of historical artifacts.
- Restoration of historical artifacts.

- The Office of Cultural Education has staff that include curators, conservators, and historic conservation specialists who may provide guidance to other agencies or localities in the event of an emergency for their collections and records.

NYS Office of Parks, Recreation, and Historic Preservation (OPRHP)

- As defined by the OPRHP policy statement, they “encourage and facilitate the use and enjoyment of natural resources used by the public which thereby promotes and enhances the wellbeing of each individual.” OPRHP also ensures the State historic preservation policy is followed by assisting local governments in local preservation programs and activities, especially those sites listed on the State Register of Historic Places. OPRHP may also assist with vector control and surveillance on susceptible wild animal species. They will also be in contact with NCH that could assist with: the identification and consultation on archeological sites, consultation on Threatened and Endangered Species, provide technical preservation assistance for museums and archival collections, create GIS maps of historic districts in an impacted area, conduct building and site condition assessments, and stabilize damaged paper and digital records.

American Society for the Prevention of Cruelty to Animals (ASPCA)

- Coordinates available volunteer assets to evacuate, feed, and shelter animals.
- Facilitates the transportation of injured or stray domestic animals to animal care facilities or appropriate foster homes.
- Assists emergency response teams with animal-related problems.
- Coordinates the investigation of animal abuse and neglect complaints.
- Facilitates the impounding of animals at large.
- Facilitates the capture of domestic animals at large.
- Coordinates emergency animal shelter staffing assistance.
- Assists with the return of owned animals.

NYS Animal Health Diagnostic Center Veterinary Diagnostic Laboratory (VDL) at Cornell (NYSAHDC)

- VDL’s responsibilities as an ESF #11 Member Agency are:
- As a member of the National Animal Health Laboratory Network, assist the State in coordinating animal disease control and eradication activities in the State with those at the regional or national level conducted by the VDL in coordination with the US Department of Agriculture/Animal and Plant Health Inspection Service/Veterinary Services (USDA APHIS/VS).
- Support any State field effort in relation to mitigation, control or eradication of animal diseases with any additional materials and manpower resources available in consultation with DAM.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination is key to leveraging the resources of each Federal ESF. As such, New York State ESF #11 will serve at the primary integration point for Federal ESF #11. The table below summarizes Federal ESF #11 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF # 11 – Agriculture and Natural Resources

ESF Coordinator: Department of Agriculture

Key Response Core Capability: Mass Care Services, Critical Transportation, Logistics and Supply Chain Management

Coordinates a variety of functions designed to protect the Nation’s food supply, respond to plant and animal pest and disease outbreaks, and protect natural and cultural resources. Functions include but are not limited to:

- Nutrition assistance
- Animal and agricultural health issue response
- Technical expertise, coordination, and support of animal and agricultural emergency management
- Meat, poultry, and processed egg products safety and defense
- Natural and cultural resources and historic properties protection

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs, and will be jointly determined by State OEM and DAM leadership. Based upon the needs of the operation, ESF #11 may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of ESF #11 if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State’s focus will also shift to the long-term recovery needs of the affected areas. In Presidential

Disaster Declarations, this will likely include the activation of a Federally-established Joint Field Office (JFO). JFOs are established, operated and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the Emergency Support Function (ESF) construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and state governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State’s ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate Recovery Support Function, as warranted. It is important to note that not all federally-declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency’s role(s) within the State response framework. For planning purposes, it is assumed that in a credible worse case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF on below:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
ARC			X			X
DAM	X	X	X	X	X	
DEC	X		X	X	X	
DMNA				X		
DOH	X	X	X	X	X	X
DSP	No RSF Assignment					
OPRHP	X			X	X	
SED				X	X	

Attachments

- Standard Operating Guidelines (SOG) for ESF #11: Agriculture and Natural Resources.



ESF #12 Energy

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Department of Public Service (DPS)

DPC Support Members:

NYS Energy Research and Development Authority
(NYSERDA)

Non-DPC Members:

New York Power Authority (NYPA)
Long Island Power Authority (LIPA)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, coordinating the delivery of emergency assistance, agency roles, and planning directives are determined by the Disaster Preparedness Commission (DPC). The objective of ESF #12 Energy is to facilitate the restoration of damaged energy systems and components during an incident.

SECTION I: General Considerations and Planning Guidelines

Introduction

New York State will continue to experience a variety of disasters from a number of causes: humans, nature, and technology. This Annex outlines the ESF #12's approach to providing a coordinated response effort to the support and reestablishment of energy systems and components in New York State during the response and short-term recovery phases of a disaster.

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. The CEMP serves as the foundational framework for the State's response levels, and serves as the operational basis upon which other ESF's, functional, and hazard-specific annexes are built upon. These ESF's and annexes address a broad range of capabilities in response to the State's highest rated hazards.

The purpose of ESF #12 is to describe the emergency response organizations/agencies and assign responsibilities for various functions relating to the energy infrastructure.

Critical Capability

ESF #12 would support the following Critical Capabilities in New York State: Planning, Critical Infrastructure/Key Resources Protection, and Restoration of Infrastructure and Critical Services.

Scope

ESF #12 is an operational-level management plan that outlines the basic concepts required to manage and coordinate State agencies providing response and short-term recovery assistance to anywhere in New York State. ESF #12 will be used to support the State's response during a disaster when there is a negative impact to any of New York State's energy supply. This includes:

- Petroleum Products;
- Coal;
- Electricity; and/or,
- Natural Gas.

This ESF applies to incidents that require an activation of the State Emergency Operations Center (EOC). The ESF will be activated via direction from the State EOC after a determination concerning which ESF is required. During an activation, ESF #12 collects, evaluates, and shares information on energy system damage and estimations on the impact of energy systems throughout New York State. Additionally, ESF #12 provides information concerning the energy restoration process, facilitates the restoration of the energy systems through legal authorities and waivers, and provide technical expertise to energy assets and providers.

The ESF #12 Annex has an association with the New York State Energy Emergency Plan. When the ESF is activated, they could be using many of the procedures outlined in the Energy Emergency Plan. Also, depending on the nature and impact of the disruption, ESF #12 may be used to support other incidents. The ESF construct may be used to better the response and coordination of the members.

Situation

Local emergency response agencies may be fully involved with operational issues that are critical for responding to incidents that fall under the purview of this ESF. The local government is responsible for carrying out the initial response and short-term recovery activities and services and will use all available local resources in doing so. There may be a variety of problems with energy failures. Whether the actual incident is only a single source of energy failure or the failure is a cascading event from something else, there are potential impacts to the State, such as the people in the affected area, business, government, and mass transit which will impact how the local and State government responds. Further, the parameters and complexity of the incident may, in many cases, exceed the response capabilities of local government.

Most county and local governments have developed CEMPs in accordance with NYS Executive Law, Article 2-B. Such plans coordinate the collective response of that local government, within its borders, and provide for a mechanism to use all of the existing resources. However, unlike the State, most of the counties and local governments do not have any direct relationship, influence, or regulatory responsibility with the energy sector. Because of this, ESF #12 will have an important impact for everyone within New York State. For example, members of ESF #12 oversee the Fuel NY initiative, which includes strategic fuel supplies and a generator/transfer switch program.

Any adverse impact to the energy infrastructure will greatly inhibit the abilities of the State of New York during a response. The consequences of an energy infrastructure failure can prevent a coordinated emergency response among state and local resources. It can also inhibit the ability to access real-time information and situational awareness. The need for a coordinated and concise response is vital during an emergency. Without the ability to do so, much time, effort, and resources may be squandered. ESF #12 will provide a coordinated effort to energy

Linkage to other State Plans

ESF #12 is linked to the New York State Energy Emergency Plan.

restoration. They may also work closely with the private sector in their efforts to share information and coordination in the restoration of the affected energy sector.

Planning Assumptions

1. An incident requiring the activation of the ESF #12 may begin locally and escalate to the State level, or may require State involvement from the incipient stage of the incident.
2. Energy sector incidents may be ordinary, day-to-day type scenarios while other incidents may evolve into an event of greater scope and magnitude.
3. Energy sector incidents may produce major consequences that will quickly overwhelm the capabilities of local government almost immediately.
4. Some energy sector incidents may require the activation of ESF #12 solely, while other incidents may require the activation of one or more of the other State ESFs.
5. Energy sector events may occur in one location or may occur coincidentally with other incidents throughout the State or in other states.
6. The level of training and response capability to an energy sector incident of local and county response agencies will vary from jurisdiction to jurisdiction and may impact the subsequent response from State agencies.
7. The energy failure may be the only incident or the consequence of another event.
8. The private sector owns, operates, and maintains most of the energy sector infrastructure in New York State.

Concept of Operations

1. An incident occurs in New York State that necessitates a State response.
2. As conditions warrant, State Office of Emergency Management (OEM) will make a determination as to the level of activation necessary for the State.
3. State OEM and the ESF Coordinating Agency will jointly determine the level of ESF representation needed for the incident.
4. In the event of a Full Activation (Level 1), ESF #12 will coordinate and integrate with any necessary Federal ESFs, primarily Federal ESF #12.
5. At the end of the State EOC activation, ESF #12 will begin demobilization and transition to a necessary Recovery Support Functions (RSFs), if needed.

Policies or Authorities

- State Authorities/Polices
 - NYS Executive Law, Article 2-B
 - NIMS Executive Order 26.1 of 2006
 - Energy Law Section 5-117
 - Energy Law Section 10-105

- NYS Fuel NY Initiative
 - New York State Utilities Material Sharing Group
 - New York State Public/Private Utility Mutual Assistance Protocol
- Federal Authorities
 - Department of Homeland Security/ Federal Emergency Management Agency (DHS/FEMA) National Response Framework, ESF #12

Annex Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State CEMP is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by the DHS/FEMA in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The THIRA process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are then mapped to the core capabilities in each of the ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope, and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the CEPA program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, and Specialized Equipment

ESF #12 agencies do not possess any stockpiles, supplies, or specialized equipment that would pertain to this ESF.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

- NYS DPS sponsored State Agency and New York Independent System Operator (NYISO) Winter Coordination Protocol.
- Fuel NY Portable Emergency Generator Program contracts to source up to 250 portable emergency generators for energy and non-energy related emergencies. NYSERDA does not maintain a fleet of generators.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the coordinating agency serving as the ESF lead. These are:

Level 4 Enhanced Monitoring: A small, isolated, or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.

- The ESF leadership is activated on an as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in coordination with the lead agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in coordination with the lead agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System (ICS) as required by NIMS Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD)-5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

State EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

The organizational structure of the State's ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs), the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs, if established. ESF #5 is assumed by the Planning Section in the State EOC, ESF #7 is assumed by the Logistics Section in the State EOC, and ESF #15 is situated in the Command Element.

ESF #12 will provide incident management support and coordination under the ESF coordinating agency. The ESF coordinating agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

This ESF is assigned under Operations. The ESF leader will be the primary interface with the OSC, and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF lead for availability of resources/missions. The ESF leadership will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Confirmation or concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction of requests for assistance.

Assignments of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. It should be noted that in some cases, the application of the resources below may have application in other emergency support functions. Therefore, the capacities for the resources that are identified below include what the agency has in totality and should not be interpreted as additional resources if identified in other ESF annexes.

1. Coordinating Agency – NYS Department of Public Service (DPS)

DPS oversees utility preparation and responses to events, as well as witnesses required drills on the emergency response plans. During electric or gas events, DPS provides status monitoring of outages, estimated restoration times, and acts as a liaison between the DHSES and the utilities for localized inquiries. Although the DPS is primarily associated with restoration of infrastructure, DPS does monitor and ensures adherence to requirements related to customers with life support equipment, as well as the distribution of dry or wet ice during events with longer restorations. DPS's regulatory authority over electric and gas utilities also ensures that the utilities have emergency response plans. These emergency response plans are reviewed by staff and approved by the Commission annually.

It should be noted that DPS incorporates information from LIPA regarding restoration time and activities.

2. Support Agencies

NYS Energy Research and Development Authority (NYSERDA)

NYSERDA responsibilities include petroleum fuel supply market dynamics. The agency acts as a point of contact for the petroleum sector. This includes understanding capacities and operational status of fuel delivery infrastructure, monitoring overall fuel prices, understanding seasonal and current supply and demand dynamics, discuss potential corrective actions with major energy suppliers, and issue emergency orders and directives as necessary and appropriate. NYSERDA staff are responsible for both Downstate and Upstate Emergency Fuel Reserves and could also implement a deployment of portable generators, as directed. Further, NYSERDA staff have emergency response duties for any potential radiological emergency activities.

New York Power Authority (NYPA)

NYPA owns, operates, and maintains the only State-owned bulk power generation and transmission assets in NYS. NYPA's generation assets account for up to 20 percent of the state's power needs, while NYPA's

transmission assets provide the critical pathways for the electricity to be distributed throughout NYS. Several of NYPA’s assets provide critical capabilities to the NYS ISO Restoration Plan in the event of a large-scale blackout. NYPA can provide support to NYS during an emergency in the forms of equipment and personnel, as the event dictates.

NYPA is a signatory to the NYS Utilities Material Sharing Group (NYMSG) protocol and the New York State Public/Private Utility Mutual Assistance Protocol.

Long Island Power Authority (LIPA)

LIPA oversees Public Service Electric and Gas Long Island (PSEG LI) preparation and responses to electric events, as well as witnesses required drills on the various activities of the emergency response plans. During such events, LIPA monitors the status of outages, estimated restoration times, and the overall adequacy of PSEG LI activities for the restoration of infrastructure. LIPA also monitors PSEG LI adherence to requirements related to customers with life support equipment. LIPA’s oversight supplements, but does not replace, the oversight conducted by DPS. LIPA annually reviews the PSEG Long Island Emergency Restoration Plan prior to its submission to DPS. Upon receipt of a positive recommendation from DPS, LIPA adopts the Emergency Restoration Plan.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination is key to leveraging the resources of each Federal ESF. As such, New York State ESF #12 will serve at the primary integration point for Federal ESF #12. The table below summarizes Federal ESF #12 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

<p>ESF # 12 – Energy ESF Coordinator: Department of Energy</p>
<p>Key Response Core Capability: Infrastructure Systems, Logistics and Supply Chain Management, Situational Assessment</p>
<p>Facilitates the reestablishment of damaged energy systems and components and provides technical expertise during an incident involving radiological/nuclear materials. Functions include but are not limited to:</p> <ul style="list-style-type: none"> • Energy infrastructure assessment, repair, and reestablishment • Energy industry utilities coordination • Energy forecast

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term

recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs, and will be jointly determined by OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all member agencies. However, there may be instances where the ESFs can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary. In the process of demobilizing an ESF, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or inter-dependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long-Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the ESF construct and implement the RSFs. RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments, and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate RSF, as warranted. It is important to note that not all federally declared disasters will require full RSF activation, and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation-based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to the RSFs on the following page.

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
DPS				X		
NYSERDA		X		X		X
NYPA				X		
LIPA	No RSF Assignment					

Attachments

- Standard Operating Guidelines (SOG) for ESF #12: Energy.



ESF #13 Public Safety and Security

ESF #13 Coordinating Agency:

Division of State Police (DSP)

DPC Support Members:

Department of Environmental Conservation (DEC)
Department of Corrections and Community
Supervision (DOCCS)
Division of Criminal Justice Services (DCJS)
Division of Military and Naval Affairs (DMNA)
Metropolitan Transportation Authority (MTA)
Office of Parks, Recreation, and Historic
Preservation (OPRHP)
Port Authority of New York and New Jersey
(PANYNJ)

Non-DPC Members:

State University of New York (SUNY)

EXECUTIVE SUMMARY

Emergency Support Functions (ESFs) provide the structure for coordinating response activities for disasters or emergencies that go beyond the capability of the local resources. The ESFs are a mechanism used to group functions most often needed to respond to incidents. At the State level, ESF #13 will coordinate the activities of public safety and security services to protect people throughout New York State during the response and short-term recovery phases of a disaster. It is imperative that there is continuity in everyday public safety and security activities, in addition to the operational activities as related to emergencies, disasters, and State-led security actions.

SECTION I: General Considerations and Planning Guidelines

Introduction

The ESF #13 coordinating agency is the New York Division of State Police (DSP). As the coordinating agency, DSP will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF. New York State will continue to experience inevitable disasters and emergencies of various origins and magnitudes. The ESF #13 Annex outlines an active approach to provide State-level public safety and security services throughout New York State during the response and short-term recovery phases of a disaster as outlined in the State Comprehensive Emergency Management Plan (CEMP).

**Critical
Capability**

ESF #13 would support the following Critical Capabilities in New York State: Planning and Law Enforcement Response Operations.

Purpose

The CEMP has been structured into three distinct but interconnecting 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 which warrants a State response. The CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other ESFs, functional, and hazard-specific annexes are built upon. These ESFs and annexes address a broad range of capabilities in response to the State's highest rated hazards.

The purpose of ESF #13 is to coordinate support for incident security, including mutual aid of law enforcement personnel, to protect life and property and, if applicable, to coordinate Federal resources requested to assist in the State's response. Additionally, the purpose of ESF #13 is to augment local law enforcement response activities across a broad range of hazards via multi-agency capabilities when local resources have been, or are expected to become, overwhelmed.

Scope

This Annex is an operational level document that outlines basic concepts required to manage and coordinate State agencies providing response and short-term recovery assistance to localities within New York State. It applies to all incidents and events requiring State-level public safety and security support within a multi-agency setting.

This Annex provides general guidance for services related to protection of life and property during statewide all-hazard responses when local capabilities have been, or are expected to be, overwhelmed. This includes events requiring the activation of multiple levels of government, up to and including the activation of and integration with Federal ESF #13. ESF #13 will support local efforts in the following core functional areas:

- Protection of life and property.
- Evacuations.
- Perimeter control.
- Maintenance of traffic and access control points.
- General law enforcement (patrolling).
- Investigative support.
- Security support.

Situation

From time to time, disasters and disaster emergencies occur. Each emergency event is unique and may bring distinct challenges not foreseen by planners or addressed in their plans. Requests for assistance during an emergency will be dependent upon the needs of the operation and may be outside the guidance provided in this Annex. In all cases, the needs of the operation, the capabilities of the agencies associated with ESF #13, and the availability of personnel and material resources will be considered to determine if a request can be fulfilled.

Linkage to other State Plans

ESF #13 will be used to support the New York State CEMP Volume 2, Response and Short-Term Recovery and applicable annexes.

ESF #13 support will be managed by the ESF #13 coordinating agency, DSP, at the State Emergency Operations Center (EOC).

Support agencies maintain a number of qualified personnel and mobile assets capable of accessing impacted areas throughout New York State. State agencies are prepared for, and capable of responding to, incidents that require gathering situational information and collecting preliminary damage assessment data within affected areas of the state.

Support agencies are prepared to assist local authorities, medical examiners, and coroners in locating, identifying, and the disposition of deceased victims of a disaster event or mass casualty incident.

Support agencies maintain sufficient personnel to respond to emergencies and conduct routine business simultaneously. Agencies are prepared to augment existing security services, including the protection of logistical supplies and security at sites providing services to the general public. Personnel are prepared to assist with the security and protection of identified critical infrastructure statewide.

ESF #13 maintains a limited capability to respond to contaminated crime scenes and areas affected by chemical, biological, or nuclear contamination. In the event of a perceived intentional release of a biological disease, public safety and security personnel will work with other non-law enforcement agencies to determine the cause and identify those person(s) responsible. Agencies are ready to support efforts to minimize the spread of disease.

In the event of incidents involving the release of hazardous materials, ESF #13 is prepared to support the securing of ports of entry if response operations include trade restrictions and embargos to limit the distribution of products or commodities. ESF #10 will resolve any contamination issues, especially if the contamination hinders the activities of ESF #13.

ESF #13 maintains modern communications equipment and software capabilities. Personnel are sufficiently trained and qualified to support interagency communications and information sharing, both inside and outside of New York State. ESF #13 will utilize specialized communication equipment including radio, computer, and phone systems to ensure secure information sharing among responders and coordination of the incident response.

In the event of an incident involving suspected criminal acts, ESF #13 can coordinate investigative efforts with State, federal, and local law enforcement agencies. Additionally, ESF #13 will also support and coordinate with ESFs #4 and #9 for search and rescue activities, evacuation, and site security.

Planning Assumptions

1. Incident priorities will include life safety and property protection.
2. Incident objectives will be Specific, Measurable, Achievable, Relevant, and Timely (SMART).
3. Disaster response activities will begin and end at the local level.
4. State assistance will only be requested when a local government recognizes that local resources have been, or are expected to be, overwhelmed.
5. One or more local entities have declared a State of Emergency in response to a disaster and the State has been called upon to assist or the Governor declares a State Disaster Emergency.
6. Coordination between State agencies and ESF #13 will involve personnel, assets, and equipment from throughout the state.

7. The DSP is responsible for coordination of State activities within ESF #13.
8. Federal agencies may engage in a unilateral response and/or offer assistance under their statutory authority to affected areas in lieu of a presidential declaration.
9. Not all law enforcement agencies possess the same level of training or authority. Therefore, some agencies may have limitations regarding certain types of law enforcement activities.

Concept of Operations

1. The State Office of Emergency Management (OEM) will make determinations as to the level of activation necessary for the State response to an incident.
2. The State OEM and DSP will jointly determine the ESF representation needed for the incident response at the State EOC.
3. If Federal assistance is requested, ESF #13 will integrate with the Federal ESF #13 as outlined under the National Response Framework (NRF).
4. ESF #13 will coordinate activities with other activated ESFs via the State EOC to assure a cohesive and coordinated response.
5. When the situation warrants demobilization of ESFs, ESF #13 will begin demobilization and transition to the necessary Recovery Support Functions (RSFs), if needed.
6. For incidents associated with suspected criminal activity, a criminal investigation will be initiated during the response and/or recovery phases of the incident. Investigations may involve all levels of government to include local, State, and Federal entities.
7. Aircraft usage, including unmanned aerial vehicles (UAVs), may be utilized by multiple ESFs for various missions simultaneously. The Air Operations Group (AOG) will be managed and coordinated under the scope of the NYS Airspace Control Plan in support of ESF #1. ESFs will maintain control of, and responsibility for, individual missions.

Policies or Authorities

- New York State Executive Law, Article 2-B
- New York State Military Law, Article 6
- New York State Constitution, Article XII, §13.
- Executive Order 26.1 of 2006
- New York State Anti-Terrorism Act of 2004
- Individual State agencies and departments may also have specific legal policies or authorities that are required and/or authorize certain emergency planning and response actions that are not included in this document.

Plan Updates and Maintenance

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of this Annex and all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be distributed to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State CEMP is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by the DHS/FEMA in December 2018.

Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The THIRA process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are then mapped to the core capabilities in each of the ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local level perspective.

Training, Exercising, and Testing

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The training offered by the State and various State agencies assists ESF#13 with identifying and mitigating internal and external hazards by affording agencies the opportunity to assess their capabilities and limitations in a controlled environment. Lessons learned from training are applied toward the mitigation of identified risks and used to improve agency response activities.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing,

conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of emergency management plans. These exercises vary in scope and cross several State-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State’s ESF annexes included an exercise component.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the state assessed its Critical Capabilities using the construct outlined in the CEPA program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

Stockpiles, Supplies, Specialized Equipment, and Resources

ESF #13 agencies have stockpiles, supplies, specialized equipment, and resources that include commonly available resources that may be available for a State-led response. It should be clearly understood that these resources may be utilized in support of any response effort or mission, including missions tasked to an agency in support of another ESF.

Memorandums of Understanding (MOUs)/Letters of Agreement (LOAs)

The Office of Parks Recreation and Historical Preservation has an MOU to supplement New York State Police and Department of Environmental Conservation operations.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support activation are identified and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the DSP serving as the ESF coordinator. These are:

State EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

Level 4 Enhanced Monitoring: A small, isolated, or potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM Staff only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with ESF coordinating agency activation.

- DSP is activated on an as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- DSP is activated on an as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in partnership with DSP to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- DSP is activated.
- Most, if not all, support agencies will be activated.
- ESF agencies will work in partnership with the DSP to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

As the coordinating agency, DSP will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

ESF#13 is part of the Public Safety Branch under the Operations Section of the State EOC and the support agencies of ESF #13. All requests for assistance will be managed through the OSC to the DSP for availability of resources/missions. The DSP will be given latitude to facilitate solutions in response to the request. Confirmation of a solution will be provided to the OSC to ensure the State maintains visibility of its resources and responses to requests.

Assignment of Responsibilities

The responsibilities for each agency identified in this ESF are listed below. As a number of these agencies are comprised of sworn law enforcement personnel, there is considerable overlap in their responsibilities and missions. It should be noted that the finite resources possessed by member agencies have application in other emergency support functions. The resources identified below include the total agency strength shared across the entire state during routine day-to-day business and across the spectrum of possible emergency missions identified by all ESFs.

1. Coordinating Agency

NYS Division of State Police (DSP)

DSP is a full time and full service law enforcement agency equipped with the personnel and resources necessary to provide a full spectrum of law enforcement services to the people of New York State. In addition, DSP can provide emergency operations personnel and equipment in support of activities to local first responders. DSP's responsibilities as a law enforcement and public safety agency include:

- Serving as the Coordinating Agency for ESF #13.

- Preventing crime and enforcing the law.
- Responding to reports of crime.
- Responding to emergencies and disasters.
- Ensuring highway safety and rendering general assistance.
- Providing fixed and rotary-wing aircraft in support of law enforcement missions and for other missions as authorized in support of State objectives.
- Providing evacuation assistance by supporting traffic and access control points.
- Providing preliminary damage assessment and situational information from affected areas.
- Providing perimeter security and authorized entry control.

2. Support Agencies

NYS Department of Environmental Conservation (DEC)

DEC's responsibilities as a support agency of ESF #13 include:

- Providing general statewide law enforcement support.
- Responding to emergencies and disasters.
- Providing evacuation support and assistance statewide.
- Providing assistance with preliminary damage assessments and preliminary assessments of environmental/public health and safety hazards.
- Providing personnel and specialized patrols, including 4x4 law enforcement vehicles, all-terrain vehicles, and snowmobiles.
- Providing personnel and marine vessels for a wide range of applications and operating conditions rapidly deployable across the state.
- Providing personnel with training and experience in ICS roles during emergency responses.

NYS Department of Corrections and Community Supervision (DOCCS)

DOCCS's responsibilities as a support agency of ESF #13 include:

- Providing evacuation assistance.
- Providing perimeter security and authorized entry control.
- Providing vehicle support with secure transport vehicles.
- Ensuring that restraint equipment is strategically located at various regions in the state.
- Providing K-9 units for drug detection.
- Maintaining and providing a CERT with specialized training in disturbance control techniques.

NYS Division of Criminal Justice Services (DCJS)

DCJS does not possess any law enforcement assets. However, DCJS can request and coordinate resources from town and county law enforcement agencies across the state to include:

- Evacuation assistance through traffic and access control.
- Perimeter security and authorized entry control.

NYS Division of Military and Naval Affairs (DMNA)

By order of the Governor under Section 6 of the New York State Military Law, DMNA can provide the following support to ESF #13:

- Military forces are not first responders, but the National Guard is the first level of military response.
- General security augmentation and provide security assets.
- Civil disturbance support through crowd control equipment.
- DMNA is not a law enforcement agency and does not possess an investigative capability.

Metropolitan Transportation Authority (MTA)

The MTA's responsibilities as a support agency of ESF #13 include:

- Maintaining safety and security at MTA facilities and security for MTA agencies throughout New York State.
- Providing emergency response and law enforcement support to MTA agencies and facilitating coordination of interagency response in accordance with the NIMS and ICS.
- Providing K-9 services for bomb detection and security at transportation facilities.
- Assisting in the evacuation of areas after an emergency event.
- Providing police patrol to all transportation facilities and routes.

Port Authority of New York and New Jersey (PANYNJ)

PANYNJ's responsibilities as a support agency of ESF #13 include:

- Providing law enforcement support of crime suppression, the preservation of law and order, and the protection of life and property.
- Coordinating and directing the public safety mobilization response to emergencies or other unusual occurrences at PANYNJ facilities.
- Coordinating with domestic and international law enforcement agencies for meeting Public Safety Department goals.

NYS Office of Parks Recreation and Historical Preservation (OPRHP)

OPRHP's responsibilities as a support agency of ESF #13 include:

- Providing personnel, vehicles, and equipment.
- Assisting Federal Customs and Border Protection at critical border crossings in proximity to State Parks.
- Protecting critical infrastructure within State Park regions.
- Providing additional support, including but not limited to:
 - Marine patrol vessels for patrol and security at critical infrastructure locations statewide.
 - Specialized patrols, such as snowmobiles and all-terrain vehicles.
 - Augmenting existing police forces in maintaining order.
 - Security at major venues (e.g., concerts, beaches, pools, and crowds in excess of 10,000 persons).

State University of New York (SUNY)

SUNY Public Safety's responsibilities as a support agency of ESF #13 include:

- Providing uniformed police officers and equipment from the 28 State campuses around the state (depending on the school calendar).
- Providing other public safety resources including investigative personnel, evidence technicians, communications personnel, and non-sworn security personnel as requested.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Like New York State's ESF construct, Federal ESFs are multi-agency organizations that serve as the primary means for coordinating Federal resources and capabilities. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State's Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #13 will serve at the primary integration point for Federal ESF #13. The table below summarizes Federal ESF #13 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF # 13 – Public Safety and Security
ESF Coordinator: Department of Justice/Bureau of Alcohol, Tobacco, Firearms, and Explosives

Key Response Core Capability: On-Scene Security, Protection, and Law Enforcement

Coordinates the integration of public safety and security capabilities and resources to support the full range of incident management activities. Functions include but are not limited to:

- Facility and resource security.
- Security planning and technical resource assistance.
- Public safety and security support.
- Support to access, traffic, and crowd control.

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESF #13 from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and DSP. Based upon the needs of the operation, ESF #13 may begin to demobilize during the response/short-term recovery phase. However, it should be noted that support agencies may be subject to a rapid recall for if needed based upon operational needs.

In most cases, demobilization of an ESF will include the release of the coordinating agency and all support agencies. However, there may be instances where the ESFs can be partially demobilized, allowing support agencies to be released as the need for their representation and capability in that ESF are no longer necessary.

In the process of demobilizing an ESF, all agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or interdependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

Transition to Long-Term Recovery

As the urgency of a response lessens and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by the Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA), and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As JFO activation occurs, the Federal government will transition out of the ESF construct and implement the Recovery Support Functions (RSFs). RSFs bring together the core recovery capabilities of Federal departments and agencies to focus on community recovery needs. The RSF structure includes the following: Community Planning and Capacity Building, Economic, Health and Social Services, Infrastructure Systems, and Natural and Cultural Resources. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years.

As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate RSF, as warranted. It is important to note that not all federally-declared disasters will require full RSF activation, and not all RSF activations will require full participation from each agency. The transition from an agency to the RSF construct is situation based, and dependent upon the agency's role(s) within the State response framework. For planning purposes, it is assumed that in a credible worst-case event, the situation may warrant full participation from all agencies that comprise this ESF. In such cases, the following agencies that comprise this ESF will transition to RSF below:

Agency	RSF Assignment					
	Community Planning and Capacity Building	Economic	Health/Social Services	Infrastructure Systems	Natural & Cultural Resources	Housing
DCJS	No RSF Assignment					
DEC	X	X	X	X	X	
DMNA				X		
DOCCS			X	X		
DSP	No RSF Assignment					
MTA	X		X	X		
OPRHP	X			X	X	
PANYNJ	X			X		
SUNY		X	X	X		

Attachments

- Standard Operating Guidelines (SOG) for ESF #13: Public Safety and Security.



ESF #15 External Affairs

Rev. Final

Date: March 2021

ESF Coordinating Agency:

Division of Homeland Security and Emergency Services (DHSES) / Public Information Office (PIO)

DPC Agency Members:

Executive Chamber / Office of Communications
Communication Staff of Activated DPC Members
Intergovernmental Staff of Activated DPC Members

Non-DPC Agency Member:

National Weather Service (NWS)

EXECUTIVE SUMMARY

An Emergency Support Function (ESF) provides a planning structure for coordinating response activities during a disaster or emergency. Each ESF groups together functions needed for emergency response. ESF #15 serves as the writer, coordinator, and distributor of all public information related to the incident including emergency public information. The goal for ESF #15 is to provide accurate and well-timed information to the public and media. ESF #15 works closely with federal, State, local, and non-governmental partners to ensure its outreach is effective.

SECTION I: General Considerations and Planning Guidelines

Introduction

ESF #15 coordinates federal, State, local, and non-governmental partners to release public information related to an emergency or disaster. Public information related to an incident typically relates to preparedness, emergency response, and recovery activities. This information should be released in a coordinated manner to help maintain public safety, reduce property and infrastructure damage, and aid in recovery efforts.

Purpose

The purpose of this annex is to provide a framework for agencies to collect, analyze, and release public information related to an incident in a coordinated manner with federal, State, local, and non-governmental partners.

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

**Critical
Capability**

ESF #15 supports the following Critical Capabilities in New York State: Public Information and Warning

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. The CEMP serves as the foundational framework for the State’s response levels and serves as the operational basis of which other ESF’s, functional, and hazard-specific annexes are built upon. These ESF’s and annexes address a broad range of capabilities in response to the State’s highest-rated hazards.

Scope

This ESF annex applies to any incident that requires the coordination of public information for multiple agencies or partners when the State Emergency Operations Center (State EOC) activates. Once ESF #15 is activated, ESF #15 is the primary source of public information related to the emergency. ESF #15 works with all activated ESFs, State agencies, and non-governmental partners. If local governments continue to release public information, then ESF #15 coordinates with local governments on any released public information.

ESF #15 uses some of the following communications methods to release information:

- Press releases
- Social media posts (Twitter, Facebook, Instagram, Periscope, Flickr, YouTube, etc.)
- Media briefings (on-site and off-site)
- Press releases and social media posts translated into the primary language of each affected community
- Emergency Alerts and/or Wireless Emergency Alerts issued through the Public Alert and Warning System (IPAWS)
- Public notice or information issued through nyalert.gov or any other State public notice system
- Prepared material (flyers, fact sheets, brochures, etc.)
- Public service announcements
- Briefing packages for media briefings

Situation

A disaster situation can cause damage to infrastructure and property which may lead to disruptions to public safety and utility service. If utilities, such as electrical and telecommunication providers, experience widespread outages, providing public information through phone, internet, and television outlets may be challenging. At the same time, an increase in public interest regarding an incident, emergency response, or outage restoration efforts could overwhelm public information staff. During this situation, a coordinated public information strategy is used to address these challenges and improve emergency response and public safety. Public information primarily consists of press releases, social media posts, and briefings related to the emergency, emergency response, and recovery.

Planning Assumptions

Emergencies create great public interest and intense demand from the media for information. Providing accurate information based on confirmed reports is the appropriate response to that interest. The scope of vetted and un-vetted information received by ESF #15 during an emergency is likely to exceed the resources of a State agency or local government. ESF #15 only releases vetted information and does not release information that is unconfirmed, speculative, or part of a law enforcement investigation.

ESF 15 operates under the following planning assumptions.

Linkage to other State Plans

ESF #15 is linked to the Radiological Emergency Preparedness (REP) Plan and the Emergency Public Information Annex.

1. The DHSES Public Information Office coordinates activated partners with the Executive Chamber's Office of Communications to manage ESF #15 and release public information related to the incident.
2. Media interest during an incident could rapidly escalate and possibly overwhelm the communication staff of a single agency.
3. Assistance from communication or intergovernmental staff of federal, State, and non-governmental partners may be requested.
4. Partners may include:
 - a. DHSES for use of the Public Alert and Warning System (IPAWS) to send an emergency alert or wireless emergency alert,
 - b. the NY Alert public notice system (maintained by ITS) to provide public notice or information,
 - c. Transportation agencies and authorities to issue alerts through variable message boards and other public notice means,
 - d. the Division of State Police to vet sensitive law enforcement information,
 - e. the Public Service Commission to inform the public of utility outages,
 - f. the National Weather Service to publicize weather information and threats from natural hazards,
 - g. the American Red Cross to publicize the status of any open shelters, and
 - h. any other support member as needed.
5. All public information released by ESF #15 will be made available in the primary language or languages spoken by the affected community.

Concept of Operations

A. General

1. An incident occurs in the State that warrants activation of the State EOC.
2. ESFs and agencies begin to report to the State EOC. The State Office of Emergency Management (State OEM) and DHSES determine which agencies are needed for the activation. If warranted, this ESF is activated.
3. Once activated, ESF #15 assumes responsibility for public information, DHSES Public Information Office (ESF #15 Coordinating Agency) coordinates with ESF #15 Support Members, and ESF #15 becomes the central source for providing information to the public and media.
4. Releases of information are coordinated with and may occur through the Executive Chamber's Office of Communications.
5. If warranted, ESF #15 may deploy a public information officer to support field operations such as a regional operations center, an established area command, or to support a State incident management team.
6. If a Joint Information Center (JIC) is created in response to the incident, ESF #15 manages the JIC.
7. When an incident begins to subside, ESF #15 may reduce its activity and release staff. As recovery begins, ESF #15 members may resume day to day operations and may support any established Joint Field Offices or recovery efforts. ESF #15 members will continue to coordinate public information efforts with the Executive Chamber's Office of Communications.

Policies or Authorities

1. New York State Executive Law, Article 2-B.
2. NIMS Executive Order 26.1 of 2006.

Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

SECTION II: Preparedness

Mitigation

Volume 1 of the State Comprehensive Emergency Management Plan is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State as well. New York State participates in Federal, State and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available Federal funding to implement mitigation measures at the State and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by the Department of Homeland Security/ Federal Emergency Management Agency (DHS/FEMA) in 2018.

Risk Assessment

The State's THIRA is completed annually. The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State Comprehensive Emergency Management Plan. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York, and New York City. CEPA provides great insight as to the State's risk profile from a local-level perspective.

Training, Exercising, and Testing

ESF #15 staff members have a variety of training and exercise opportunities. Trainings and exercises include:

- Emergency management public information courses offered by FEMA's Emergency Management Institute,
- Joint Information System (JIS) / Joint Information Center (JIC) Planning for Tribal, State and Local PIOs training course (G0291), and,
- Various federal and State exercises that require testing public information capabilities, such as annual radiological exercises.

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the Radiological Emergency Preparedness Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope, and cross several State-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all the State's ESF annexes included an exercise component.

Capability Assessment

As part of the THIRA process, the State was required to assess its capabilities under Presidential Policy Directive (PPD-8). In doing so, the State assessed its Critical Capabilities using the construct outlined in the county emergency preparedness assessment (CEPA) program. The assessment provided the State with information regarding statewide capability trends and potential gaps that can then be planned for and addressed. Those capabilities have been mapped or linked to each one of the ESF annexes under Volume 2 of the State CEMP.

SECTION III: Response

Alert and Notification

The State Watch Center (SWC) serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF. Not all incidents are the same, and not all activations of this ESF will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. This ESF will activate to one of those levels as conditions warrant, with the coordinating agency serving as the ESF lead/coordinator. These are:

NYS EOC Activation Levels

Steady State

Level 4 – Enhanced
Monitoring

Level 3 – Partial Activation

Level 2 – Full Activation

Level 1 – Full State/Federal
Response

Level 4 Enhanced Monitoring: A small, isolated, or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- NYS OEM Staff Only
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.

- The ESF leadership is activated on an as-needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF leadership is activated on an as-needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in coordination with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, member agencies will be activated.
- ESF agencies will work in coordination with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD)-5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide interoperability between the local, and Federal response organizations.

The organizational structure of the State's ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs) the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the Planning Section in the State EOC; ESF #7 is assumed by the Logistics Section in the State EOC; ESF #15 (External Affairs) is situated in the Command Element.

This ESF is assigned under the command element. The ESF leader is the primary contact person with leadership, and the member agencies of the ESF. ESF #15 will provide incident management support and coordination under the primary/lead ESF agency. The coordinating ESF agency will ensure the activities of the ESF are consistent with this Annex, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

Assignment of Responsibilities

ESF 15 is directed and controlled by the Executive Chamber or Command Staff during an activation. ESF 15:

- shall be responsible for all public information related to an incident;

- shall staff and manage any activated joint information center (JIC);
- may request communication staff from activated partners staff any activated JIC; and,
- may request intergovernmental staff to coordinate the exchange of information and serve as a liaison with federal/State/local government or officials.

Each of the activated ESF 15 agency representatives:

- shall maintain its own authority to manage its public information obligations but shall coordinate such public information obligations with ESF #15;
- may be required to provide communication or intergovernmental staff to support ESF 15; and,
- shall make all reasonable efforts to comply with requests from the DHSES Public Information Office or Executive Chamber Office of Communications in a timely manner.

In the event an incident impacts one or more of the following critical infrastructure sectors, the listed sector-specific agency or agencies may assume an enhanced role in ESF #15. These critical infrastructure sectors are defined by the Federal government as providing vital assets, systems, and networks to the United States. An enhanced role in ESF #15 may require an agency to assign a staff member to a joint information center, provide background or technical information, or provide enhanced information sharing. The DHSES Public Information Office or Executive Chamber Office of Communications may assign an enhanced role to any agency at any point before or during an incident.

Critical Infrastructure Sector	Sector-Specific Agency / Agencies
Chemical	Department of Environmental Conservation, Department of Health, Division of Homeland Security and Emergency Services
Commercial Facilities	Empire State Development, Dormitory Authority of the State of New York
Communications	Department of Public Service, Division of Homeland Security and Emergency Services / Office of Interoperable Communication
Critical Manufacturing	Empire State Development
Dams	Department of Environmental Conservation, Division of Homeland Security and Emergency Services
Defense Industrial Base	Division of Military and Naval Affairs, Empire State Development, Division of Homeland Security and Emergency Services
Emergency Services	Division of Homeland Security and Emergency Services, New York State Police
Energy	Department of Public Service, New York Power Authority, Long Island Power Authority
Financial Services	Department of Financial Service
Food and Agriculture	Department of Agriculture and Markets
Government Facilities	Office of General Services, Dormitory Authority of the State of New York, New York State Police, Division of Homeland Security and Emergency Services
Healthcare and Public Health	Department of Health, Office of Mental Health, Office for People with Developmental Disabilities, Office for the Aging, Office of Children and Family Services, Office of Temporary and Disability Assistance
Information Technology	Information and Technology Services, Empire State Development
Nuclear Reactors, Materials, and Waste	Department of Environmental Conservation, Department of Health, Division of Homeland Security and Emergency Services, Department of Public Service

Transportation Systems	Department of Transportation, Metropolitan Transportation Authority, Port Authority of New York and New Jersey, Thruway Authority, Division of Homeland Security and Emergency Services
Water and Wastewater Systems	Department of Environmental Conservation, Department of Health, Division of Homeland Security and Emergency Services, Department of Public Service

National Weather Service

- The National Weather Service’s enhanced role may also involve providing additional public notice through its public warning system.

Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to New York State’s ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #15 will serve at the primary integration point for Federal ESF #15. The table below summarizes Federal ESF #15 and indicates the response core capabilities that the ESF most directly supports. Detailed response capabilities and activities are listed in each Federal ESF Annex.

ESF 15 - External Affairs ESF Coordinator: Department of Homeland Security
Key Response Core Capability: Public Information and Warning
Coordinates the release of accurate, coordinated, timely, and accessible public information to affected audiences, including the government, media, NGOs, and the private sector. Works closely with State and local officials to ensure outreach to the whole community. Functions include, but are not limited to: <ul style="list-style-type: none"> • Public affairs and the Joint Information Center • Intergovernmental (local, State, tribal, and territorial) affairs • Congressional affairs • Private sector outreach • All-Hazards Emergency Response Operations Tribal

SECTION IV: Recovery

Short-Term Recovery

There is no clear delineation of when disaster response activities transition into short-term recovery activities. As with all disaster and emergency-related activities, any transition to a new phase will be dependent upon the needs of the response and the identified needs of the individuals/communities affected. In general, disaster response addresses the immediate aftermath and life safety issues of a disaster or emergency, while short-term recovery activities begin as the need for immediate life-saving activities diminishes. At times, these phases will often overlap with one another.

Demobilization

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to

demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for re-activation of the ESF if needed based upon operational needs.

Transition to Long Term Recovery

As the urgency of a response lessens, and communities begin to focus their efforts on implementing recovery programs, the State's focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a Federally-established Joint Field Office (JFO). JFOs are established, operated, and maintained by DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

Implement Recovery Support Functions (RSFs)

As emergency response operations subside, federal and State government transition from ESFs to Recovery Support Functions (RSFs). At this point, most State agencies transition from an ESF role to an assigned RSF role.

In most cases, ESF #15's public information duties will not transition into any RSF. Instead, each ESF #15 member resumes its day to day public information duties. Day to day operations include providing public information support if the member agency has an RSF role. At any time during recovery, if directed by the Executive Chamber or Command Staff, participating ESF #15 members may be asked to provide additional public information support to aid the recovery effort.

Attachments

- Standard Operating Guidelines (SOG) for ESF #15.

New York State Comprehensive Emergency Management Plan

Emergency Support Function #11

Emerging Infectious Diseases in Non-Human Populations Appendix



**Disaster Preparedness
Commission**

**Prepared by the New York State Disaster
Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)	Completed by
1999	Plan Created	All	DPC
2003	All	All	OEM Planning
August, 2007	Substantive; Administrative	Global edits	OEM Planning
October, 2011	Overall review	Entire Plan	OEM Planning
January, 2012	Administrative Change	Entire Plan	OEM Planning
March, 2012	EOC Activation Levels	Entire Plan	OEM Planning
March, 2013	Overall review	Entire Plan	OEM Planning
March, 2014	Overall review	Entire Plan	OEM Planning
March, 2016	Overall review	Entire Plan	OEM Planning
April, 2017	Overall review	Entire Plan	OEM Planning
March, 2019	DAM Review	Entire Plan	OEM Planning
January 2020	Overall Review, EMAP Update.	Entire Plan	NYSDAM, OEM Planning
March 2021	Overall Review, ESF missions.	Entire Plan	NYSDAM, OEM Planning

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State Comprehensive Emergency Management Plan
Emergency Support Function (ESF) #11
Appendix for Emerging Infectious Diseases in Non-Human Populations

Section I: General Consideration and Guidelines

A. Introduction

The agriculture industry in New York is a major contributor to the economy of New York State, the nation, and to the world. An outbreak of a disease that impacts the agricultural community could result in the disruption of social, public health, animal health, animal welfare, and economic systems of unprecedented national scale, if it were not readily and effectively controlled.

Effective eradication may require extraordinary resources and cooperation of all local, State, and Federal agencies in order to minimize the impact on the agriculture industry and commerce.

This Appendix outlines New York State's strategy for responding to emerging infectious diseases in non-human populations (EIDNHP).

B. Purpose

The Emergency Support Function (ESF) #11 Annex to the State Comprehensive Emergency Management Plan (CEMP) provides general guidance for the coordination of resources to provide protection to human and animal populations from animal disease outbreaks, natural disasters, and other emergencies.

The purpose of this Appendix is to ensure that the State has a plan to respond to an actual or threatened outbreak of disease in non-human populations. This Appendix will serve as a hazard-specific supplement to the ESF #11 Annex and identifies the arrangements to protect lives and the agricultural community by providing an efficient, coordinated response to such emergencies.

C. Scope

This Appendix applies to diseases that may impact non-human populations, specifically the agricultural community, or portions thereof, where local and State capabilities may be exceeded, necessitating the use of Federal agencies and resources. In addition, this Appendix recognizes the potential for an animal-borne disease to impact public health. Further, this Appendix applies to all State agencies and authorities that may be directed to respond to such an event and builds upon the process and structure of the Animal Protection Functional Annex and the State CEMP by addressing unique policies, situations, operating concepts, and responsibilities. This appendix does not apply to the sheltering of animals during a disaster, which is addressed in Appendix #2 to ESF #11 - Temporary Emergency Animal Sheltering or TEAS.

D. Situation

People, animals, or materials that bring pathogens into contact with a susceptible host can spread disease. An outbreak may occur if the pathogen is not quickly and effectively controlled, or when further prevention measures are not addressed.

A disease impacting the agricultural community may result in grave social, economic, public health, animal health, and animal welfare consequences. The impact would directly affect farmers and could affect the consumer. Such diseases may require extraordinary measures to effectively respond to, and could result in quarantine, and/or euthanasia of animals. An example of an infectious disease happened in 2001 an outbreak of foot-and-mouth disease in the United Kingdom. Over 6 million cows and sheep were culled in an attempt to halt the disease.

E. Assumptions

1. If a disease that impacts agriculture is recognized anywhere in the United States, the entire agricultural community in the country may be at risk. Positive detection of such a disease elsewhere will prompt the State to employ additional preparedness measures to prevent or mitigate the possibility of occurrence in the State.
2. The disclosure of an exotic or emerging disease in the State may have a significant impact on international trade in animals and animal products.
3. Numerous local, State, and Federal agencies will play a role in eradicating the disease.
4. Response efforts could encompass culling of livestock and non-domesticated populations, such as wildlife, that are potentially infected.
5. Comprehensive control may also include the discarding of any organic matter that has, in any form, been located at the site of positive detection.
6. Eradication will require proper sanitary and disposal procedures for carcasses.
7. Vector control may involve the reduction or elimination of vertebrate or invertebrate populations involved in the dissemination of the agent.
8. Suspected infected locations and transport vehicles may need to be cleaned and disinfected.
9. Preparations may be made to establish quarantine zones around the location of suspect or confirmed cases and may require special operational procedures both within the designated area and Statewide. The extent of the quarantine zone will depend on epidemiological parameters defining zones of risk.
10. Outbreaks of foreign disease agents will involve an immediate Federal response.
11. It is likely that response procedures will extend across State lines and may require a coordinated national and international response.

F. Concept of Operations

1. Initial notification of an emerging disease or its potential may come from the local farm communities themselves, the local Cooperative Extension, or from a veterinary professional.
2. The initial notification will be relayed to the State Department of Agriculture and Markets through existing lines of communication. Depending on the nature of the suspected disease, the State Department of Agriculture and Markets (DAM) may relay this information to the State Office of Emergency Management (State OEM).
3. Upon receipt of a request, State OEM may initiate a Multi-Agency Coordination (MAC) Group meeting or conference call to consider the demographics and implications of the potential event. Consideration will be given to activate a multi-agency situation unit to explore the anticipated response issues and consequences specific to the disease.
4. Specimens obtained by a veterinary professional shall be sent to the appropriate laboratory for analysis.
5. Certain circumstances may require the assistance of other Disaster Preparedness Commission (DPC) Agencies in expediting the transport and testing of samples at the appropriate laboratory. The MAC Group will serve as the coordinative body to facilitate the transport of samples as needed. In addition, State OEM Regional Staff may be deployed to the location where the specimen is being taken from to facilitate communications and coordination with veterinary professionals and the appropriate state/local agencies.
6. Depending on the nature of the suspected disease, specimens may be sent to a Foreign Animal Disease Diagnostic Laboratory, New York State Veterinary Diagnostic Laboratory at Cornell University, the New York State Institute for Basic Research (NYIBR), the National Geologic Services Laboratory in Wisconsin, and the National Veterinary Services Laboratory in Ames, Iowa. Various Centers for Disease Control (CDC) public health laboratories may also provide testing and diagnostic support. Times for preliminary and confirmatory testing will vary according to the disease.
7. When a positive test is confirmed, laboratory officials and/or veterinary professionals shall immediately notify the NYS DAM, and the United States Department of Agriculture (USDA).
8. NYS DAM will notify State OEM if they receive notification directly from farms or laboratories. State OEM in turn will notify the MAC and other appropriate DPC agencies, the county emergency manager, and others as deemed necessary.
9. State OEM will coordinate response activities in support of the State Department of Agriculture and Markets and will be cognizant of response operations at the local level.
10. State OEM will coordinate with the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA), USDA, and other Federal agencies as needed, and may utilize local/regional Emergency Operation Centers (EOCs) to facilitate response activities.

11. The Governor could exercise his authority in declaring a State Disaster Emergency. 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 DPC.

G. Legal Authorities

- **New York State**

Legal authority for eradicating disease, such as emerging infectious diseases in non-human populations, is compiled in New York Agriculture and Markets Law (AML) § 16(1), (Article 2), Article 3 and Article 5, and the New York State Environmental Conservation Law § 11-0325.

- **Federal Government**

Legal authority for the United States Dept. of Agriculture for response procedures identified in this annex may be found in 21 U.S.C. § 134a.

H. Appendix Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF appendix shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

State Comprehensive Emergency Management Plan
Emergency Support Function (ESF) #11
Appendix for Emerging Infectious Diseases in Non-Human Populations

Section II: Preparedness

A. Mitigation Overview

1. Planning and Risk Assessment

To some extent, risk reduction measures are taken on an on-going, routine basis. However, national, and worldwide events have resulted in the establishment of additional preparedness measures.

- Producers are implementing on-farm biosecurity measures, and in many cases, are restricting access to their premises and animal populations.
- DAM is conducting a public information campaign to advise the public and the agricultural community of protective actions that can be taken to limit the possibility of spreading a disease both here and abroad. Additional DPC agencies may be called on to support this activity.
- Domestic Animal Health Permits for livestock dealers and Interstate Certificates of Veterinary Inspection ensure that most livestock movements can be rapidly traced.
- Premises and animal identification systems assist in monitoring livestock movements and the definition of at-risk populations.

2. Surveillance

- DAM has a program to encourage farmers to adopt a biosecurity plan to limit the possibility of introducing a disease to their farm. This preventive approach includes disease testing and surveillance and is becoming commonplace among farmers.
- DAM and USDA have programs to routinely inspect animals assembled at live poultry markets, other livestock markets, county fairs and the New York State Fair.

3. Testing, Training and Exercise

- A series of captive bolt training was held in 2019 on Animal Depopulation. The overall function of this training is the knowledge in euthanasia of animals, and experience in depopulating companion, livestock, wildlife, and laboratory animals.
- A full-scale functional exercise was conducted in June 2019 with DAM, Department of Environmental Conservation (DEC), USDA, Cornell Waste Management, and Cornell

Animal Health Diagnostic Laboratory (AHDL) to depopulate, dispose, and decontaminate an infected pheasant flock.

4. Planning

- DAM will assist managers of fairgrounds, livestock markets, and other animal assembly points in developing biosecurity plans to prevent the introduction and spread of diseases in their facilities.
- Public-private partnerships may be utilized to ensure rapid and effective response to outbreaks in population dense or agriculturally rich areas of the State.

State Comprehensive Emergency Management Plan
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Appendix for Emerging Infectious Diseases in Non-Human Populations

Section III: Response

A. Alert, Notification, and Plan Activation

The State Emergency Operations Center (State EOC) maintains a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency.

1. Emergency Response Levels

Activation of the State EOC will be as follows:

Level 3: This level is initiated when an outbreak is suspected in the State. It begins when notification of an adverse animal health event is detected through the DAM and/or USDA surveillance efforts. A Level 3 Activation may be initiated prior to receiving lab results based on clinical symptoms observed by on-scene veterinary professionals.

For Level 3 activation: An incident requiring a partial State EOC activation with ESF activation and MAC Group coordination call(s). State OEM will request the following agencies to send a representative to the State EOC and the following actions may be taken:

- DAM is activated and will assume the role of the ESF #11 Coordinator.
- At the request of DAM, State OEM will activate the American Red Cross (ARC), DEC, Division of Military and Naval Affairs (DMNA), Department of Health (DOH), Division of State Police (DSP), Office of Parks, Recreation, and Historical Preservation (OPRHP), State Education Department (SED), American Society for the Prevention of Cruelty to Animals (ASPCA), and the New York State Animal Health Diagnostic Center (NYSAHDC) at Cornell, and USDA/Animal and Plant Health Inspection Service.
- Incident Reporting
 - DAM will provide reporting of their activities specific to this ESF under the ESF #11 report.
 - All Member Agencies will provide their reporting of activities specific to this ESF under the ESF #11 report.
- Resource Management
 - DAM will provide the needed capabilities.
 - Member agencies will coordinate their capability through the DAM.

Level 2: Additional agencies would be added to the Level 3 activation list above:

Office of Mental Health (OMH), Department of Transportation (DOT) (ESF #1 Coordinating Agency), USDA/Farm Services Agency/State Emergency Board. At this level, the following actions may be taken:

- The initiation of Level 2 is based on information received from DAM and/or DHS/USDA.
- Mission Ready Packages may be developed and deployed to local/regional operations centers to assess the situation. One such component may be the State's Incident Management Team (IMT).
- Preparations may be made for preliminary isolation of infected places and mobilization of eradication operations, should the disease be confirmed.
- Suspected infected livestock may be evaluated, destroyed, and disposed of by Task Force team members.
- Suspected infected non-domesticated populations, such as wildlife, may be evaluated, destroyed, and disposed of by Task Force team members.
- Suspected infected places and animal transports must be satisfactorily decontaminated to prevent further amplification or dissemination of the agent.

Level 1: This level commences with the confirmation that a disease has been confirmed in New York State by laboratory tests.

Level 1 Full State/Federal Response: An incident requiring full State EOC activation with ESF activation, as well as Federal ESF integration and coordination. The remaining members of the ESF #11, including:

- DAM is activated and will assume the role of the ESF #11 Coordinator.
 - At the request of DAM, State OEM will activate ARC, DEC, DMNA, DOH, DSP, OPRHP, SED, ASPCA, and the NYSAHDC at Cornell support member agency Coordinators.
 - DAM will integrate into Federal ESF #11.
 - DAM will coordinate ESF #11 briefings and interface with the ESF #11 Federal Coordinator.
 - DAM will attend command and general staff meetings and coordinate with the Federal ESF #11 lead.
- Incident Reporting
 - DAM will provide reporting of their activities specific to this ESF under the ESF #11 report.
 - All Member Agencies will provide reporting of their activities specific to this ESF under the ESF #11 report.
- Resource Management
 - DAM will provide reporting of their activities specific to this ESF under the ESF #11 report.
 - All Member Agencies will provide reporting of their activities specific to this ESF under the ESF #11 report.

Additional agencies:

Full ESF #1 Activation	Cornell Cooperative Extension
DHS/FEMA	Department of Labor (DOL)
NYS Farm Bureau	Farm Services Agency
New York State Humane Association	State Animal Response Team
Tribal Relations Representative	

At this level, the following actions may be taken:

- The restriction zones and compartments are legally defined.
- Movement into, from, and within the zones in the control area may be restricted.
- Infected livestock are evaluated, destroyed, and disposed of by Task Force members.
- Infected places and animal transports are cleaned and disinfected.
- Information on health-related matters, movement controls, and eradication is provided to the public, industry, and local government.
- The origin of the disease is traced, and potential spread monitored and controlled.

B. Response Agency Roles/Responsibilities

This Appendix endorses the development of one response organizational structure that will include all responding agencies. State agencies will be organized under the framework of the National Incident Management System (NIMS) Incident Command System as required by Executive Order 26.1 of 1996 and Homeland Security Presidential Directive (HSPD)-5. A MAC Group may be established to define response policy, and will be the oversight for the incident priorities, goals, and objectives of the State response.

Based on incident specifics, the State may utilize and deploy the State's IMT to the area of impact. The IMT will serve to support on-scene and State EOC interagency coordination between responding disciplines, local governments, the MAC, the State Veterinarian, and the Principal Federal Official (PFO).

1. ICS Command and General Staff

- **State Commissioner of Agriculture and Markets**
The DAM shall be the Lead State agency for emerging infectious diseases in non-human populations. As such, the State Veterinarian or designee will act in support of the command element.
- **State Coordinating Officer (SCO)**
The State Coordinating Officer (SCO) will be the Director of State OEM and will have overall responsibility for coordination of State resources and Federal assistance in support of the State and local response to the incident.
- **Joint Information Center (JIC)/Public Information**
The Joint Information Center (JIC) will serve as the sole source of official information regarding all incident activities (local, State, federal). The JIC will provide a forum for the

coordinated release of all information. The DAM will serve as the lead spokesperson. JIC operations will be coordinated as stated in the Public Information Annex to the State CEMP.

- **Safety**

A Safety Officer will be appointed to assess hazardous and unsafe conditions relative to eradication procedures and develop measures for assuring personnel safety. The Safety Officer will coordinate with the DAM/State Department of Health personnel to assess exposure risks to State response personnel.

- **Liaison**

A Liaison Officer may be appointed to serve as a point of contact for agency representatives assisting with quarantine, eradication, and decontamination of facilities and equipment.

- **Legal**

A Legal Officer, supported by appropriate State agency legal staff, will advise the Commissioner of Agriculture and Market, and the SCO relative to legal questions and issues involving response operations.

2. Operations

State response activities will be directed from the State EOC in Albany. State Operations may be organized using geographical divisions and utilize State OEM Regional Offices or State Regional Operations Center (ROCs) as coordinating locations. The State EOC will support field operations through the Incident Command System, as appropriate.

3. Planning

The State EOC Planning Section will be appropriately staffed to collect, evaluate, and disseminate information regarding the incident. The State EOC Planning Section will assist with the following:

- Prepare the Incident Action Plan.
- Identify and track resources.
- Determine the status of eradication efforts, and the effectiveness of the operation.
- Identify all incident related sites, including eradication sites, cleaning and disinfecting stations, and isolation zones.
- Prepare the situation report for the Governor's Office.
- Utilize technical specialists, including weather, to determine the impact on response operations.
- Coordinate with State and federal agencies in developing Geographic Information System (GIS) data to support the incident response.
- A Demobilization Unit may be established within the State EOC Planning Section to coordinate the release of incident resources to their home base or next assignment. Demobilization will be based on incident priorities, objectives, and the tactical needs of the incident. The Demobilization Unit is responsible for the preparation of the

demobilization plan and assisting sections/units in ensuring that an orderly, safe, and cost-effective movement of personnel and equipment is accomplished. The Demobilization Unit will coordinate activities with the Command Staff and Section Coordinators. The approved and implemented demobilization plan will be distributed to on-site and State EOC staff.

4. Logistics and Finance

The Logistics and Finance Section will assist with the following:

- State agency communications resources will be deployed to support response efforts.
- State assets will support, as required, transportation operations.
- Disaster mental health support will be made available for incident personnel. The State Office of Mental Health will assist in the coordination of mental health counseling if capabilities are exceeded. Follow-up physical and mental health issues will be addressed, as necessary.
- Coordinate logistical facilities; identify any regular or specialized equipment and supplies in support of the operation.
- Coordinate the authorization of emergency purchases.
- Establish contracts and agreements with supply vendors.
- Coordinate with compensation/claims unit for processing claims.
- Coordinate with the USDA to determine compensation to owners of destroyed animals.

C. Assignment of Responsibilities

This section reviews identifies agency roles, responsibilities, and capabilities during an EIDNHP event.

1. Local Government

Local emergency management officials will be actively involved in the response and should be utilized where capable. Each county, and many local governments, has a CEMP which provides the framework for the jurisdiction's response to emergencies and disasters. Further, some counties have developed a hazard-specific annex to their CEMP that addresses planning and response issues for Emerging Infectious Diseases in Non-Human Populations. County and local governments may utilize their resources, including County Emergency Boards, and provide an additional line of communication with local farmers, and the local Cooperative Extension.

2. Tribal Relations

A representative from Tribal Relations may assist in the coordination of response activities in areas that may potentially impact Tribal lands.

3. State Emergency Support Functions and Federal Integration

The State response includes many components and capabilities, both State EOC-based and field level. Under the State CEMP, the State possesses 14 ESFs that provide the utility for a host of

capabilities, and full integration with each of the Federal ESFs. State ESF #11 missions and capability-based assignments are as follows.

Disaster Preparedness Commission (DPC)

The DPC is comprised of multiple State agencies, the American Red Cross, and local representatives. Following a declaration of a State Disaster Emergency, State OEM will coordinate with the DPC for assistance including:

- Utilizing, lending, or giving to political subdivisions, with or without compensation, equipment, supplies, facilities, services of State personnel, and other resources, other than the extension of credit;
- Distributing of medicine, medical supplies, food, and other consumable supplies through any public or private agency authorized to distribute the same;
- Performance of temporary emergency work on public or private lands that is essential for the protection of public health and safety, clearing debris and wreckage, making emergency repairs to and temporary replacements of public facilities of political subdivisions damaged or destroyed as a result of such disaster; and
- Preparation of State agency facilities, equipment, supplies and personnel as may be necessary to assist in coping with the resulting disaster or emergency.

ESF #11 Agencies

State Office of Emergency Management (State OEM)

State OEM activates and operates the State EOC in Albany, provides liaisons to affected jurisdictions, prepares situation reports for the Governor and receives and acts on requests for assistance from county emergency managers. State OEM coordinates State response activities with local governments, coordinates with the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) via the National Response Framework (NRF) and may assist in the coordination of disaster-related public information.

Department of Agriculture and Markets (DAM)

The DAM may assist with the following:

- Quarantining, eradicating, and promulgating emergency regulations.
- Distribution of scientific, procedural, and diagnostic information to veterinarians practicing in the State.
- Providing diagnostic and laboratory support.
- Providing information on local agricultural conditions, producers, and resources.
- Defining the size and boundaries of restricted zones or compartments to limit the dissemination of the disease.
- Coordinating efforts of local veterinarians as well as any veterinary medical assistance teams.

Department of Health (DOH)

NYS DOH may assist with the following:

- Providing advice regarding public health aspects of eradication operations.
- Providing public health technical assistance to DEC in approving disposal sites within local jurisdictions.
- Provides guidance/education, support in, and coordination with local or Federal partners regarding of food related safety concerns or outbreaks, including laboratory testing services and epidemiological activities such as surveillance, case investigation, and contact tracing.
- Ensuring that special medications, if required, are available to the local medical facilities.

Department of Labor (DOL)

The DOL may assist with the following:

- Monitoring eradication operations, to ensure that the health and safety of workers are being protected.
- Providing information on safe practices for handling toxic substances.
- Ensuring that the public is advised regarding potential health effects of the outbreak.

Department of Environmental Conservation (DEC)

The DEC may assist with the following:

- Providing technical advice on disposal impact on ground water and air, vector control, and locations of cleaning and disinfecting stations.
- Providing emergency access to appropriate landfills and other disposal sites to avoid dissemination of the agent and expansion of the outbreak.
- Providing technical advice to disposal teams regarding regulations on environmental impact.
- Providing the resources to assist in the diagnosis of an animal disease.
- Conducting surveillance within susceptible wild animal populations as required.
- Reducing infected or potentially exposed wildlife populations as required.
- Assisting with communications and public information by utilizing the DEC Website, publications, video, and radio public service announcements (PSA's), as requested.
- Establishing prohibitions on game, bird, and fish products in controlled areas.
- Assisting in providing temporary accommodation and emergency feeding for field operation teams.
- Conducting security patrols of forestry areas.
- Identify/approve regulated disposal and treatment activities.

Division of State Police (DSP)

The DSP may assist with the following:

- Providing security, law enforcement, and traffic control, as required.
- Supporting response operations and controlling access and movement.
- Supporting eradication activities under the supervision of the New York State Department of Agriculture and Markets.

- Assisting local police services, if required.
- Support rapid and secure transport of specimens.
- Serve as the primary State agency for any criminal investigation into an intentionally caused food tampering/or disease outbreak.

Division of Military and Naval Affairs (DMNA)

The DMNA may assist with the following:

- Providing traffic control and controlling access and movement.
- Supporting response operations with specialized, heavy equipment.
- Supporting eradication activities under the supervision of the New York State Department of Agriculture and Markets.
- Providing equipment to haul cargo or personnel.
- Providing air transportation support.

Office of Parks, Recreation, and Historic Preservation (OPRHP)

The OPRHP may assist with the following:

- Aiding with vector control and may assist in identifying locations of cleaning and disinfecting stations.
- Conducting surveillance on susceptible wild animal species as required.
- Providing limited support in reducing infected wildlife populations.
- Assisting in providing temporary accommodations for field operation teams.
- Provide technical assistance in creating maps of the impacted areas.

ESF #1 Agencies

Department of Transportation (DOT)

The DOT may assist with the following:

- Providing guidance for re-routing of traffic in and around the affected area.
- Traffic control issues and/or needs.
- The transport of soil, carcasses, or debris.

In the event of a State disaster declaration, DOT may be able to identify potential sources of outside assistance, i.e., contractors, equipment sources, etc.

Thruway Authority (TA)

The TA may assist with the following:

- Providing guidance for re-routing of traffic in and around the affected area.
- Traffic control issues and/or needs.

ESF #8 Agencies

Office of Mental Health (OMH)

The OMH will assist in coordinating the appropriate personnel to assist with the emerging psychological and mental health needs of all those impacted by the emergency within New York State. OMH should be included in the response at the incipient phase, rather than being engaged at a later point in the response.

4. Integration with Federal ESFs

Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)

The FEMA may implement the NRF, which provides a mechanism for organizing, coordinating, and mobilizing federal resources to augment State and local resources.

Under the NRF, FEMA may employ ESF 11 (Agriculture and Natural Resources) for coordinating Agriculture and Natural Resources response and recovery activities. The lead agency for ESF #11 is the U.S. Department of Agriculture, with other agencies as support agencies based on their resources to support a functional area.

Department of Homeland Security (DHS)/United States Department of Agriculture (USDA)

The USDA may assist with the following:

- Direct all eradication activities including quarantine, evaluation, slaughter, disposal, cleaning and disinfecting, epidemiology, trace-back, vector control, and transportation permit systems.
- Collect, collate, analyze, and disseminate technical and logistical information.
- Define training requirements for casual employees or support agencies involved in eradication operations.
- Issue the declaration of the disease and define the infected area and control zones.
- Prepare information for dissemination to the public, media, producers, processors, and transportation industry.
- Allocate funding for compensation to the owner of destroyed animals.
- Restrict payment of compensation in cases of violation.
- Consult with State and local authorities regarding eradication operations.
- Post restrictions on interstate commerce.

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Emergency Support Function (ESF) #11
Appendix for Emerging Infectious Diseases in Non-Human Populations

Section IV: Recovery/Demobilization

A. Recovery Overview

The response to an outbreak of a disease that impacts the agricultural community may be short-lived or could extend for some period of time. Emergency response activities may include control measures that have been rapidly employed and may result in a slow demobilization of response agencies and activities.

A variety of forces may influence the direction of the recovery process. The State will endeavor to assist local governments, businesses, and citizens in recovering from the impacts of any emergency, including an infectious disease that impacts the State's animal population. The DAM and other agencies will demonstrate, through surveillance and monitoring systems that the disease outbreak has resolved. Where possible, hazard mitigation measures will be incorporated into recovery activities in order to reduce the impact of recurrence or eliminate it entirely.

1. Assessment of Eradication Activities

To assess the effectiveness of response activities, sentinel animals may be placed and closely monitored at contaminated or suspected areas. These animals should have contact with all parts of the premises and objects that might have been contaminated with a pathogen. In some cases, sentinel animals may be maintained on the suspected contaminated areas for 60 days, and then collected for evidence of a disease.

The timing of sentinel placement may be governed by local disease status and would normally not commence until all identified contaminated and suspected areas have been decontaminated. The removal of a quarantine restriction and restocking of a clean premise should only be permitted after a thorough examination has deemed the area safe to inhabit.

2. Social and Economic Effects

The economic effects of an outbreak of a disease, even on a small scale, may be enormous to individuals, the farming industry as a whole, and to subsidiary and support industries. Employment may be affected over a wide range of industries, from the farming and subsidiary industries, to rural townships and governments. The impact on local and State economy may have a cascading effect. The potential exists for all businesses that rely upon the agriculture industry to be severely impacted, including local businesses, distributors, processors, and any reliant business, market, or industry. All exports of susceptible animals and their products would cease for an undetermined period of time. The export of grain and other foodstuffs would also be affected by an occurrence of some diseases, such as Foot and Mouth Disease (FMD). The prices of animal products may be erratic, depending on the extent of an outbreak, and the supply and demand. The producers most affected will be those that have no alternative industry activities

other than livestock. Further, consumer confidence may fall if consumers feel that the safety of their food has been jeopardized.

- **Funding and Compensation**

Some diseases, such as FMD are included in the list of diseases for which compensation for losses may be available. Where an epidemic is spreading, the rapid approval of funds may be required to support operations and compensation.

In addition to disaster relief funding and programs that are outlined in the State CEMP, there are provisions under State and federal law for compensation to response agencies and farmers. Appraisal teams composed of Federal and State officials and industry representatives will assemble and coordinate with the USDA/APHIS Appraisal and Marketing Officers. Provisions for compensation are as follows:

1. The State Agriculture and Markets Law (AML) section 88(5) authorizes the payment of indemnity of up to \$200 per animal to owners of animals killed pursuant to Article 5 of that law.
2. The United States Code and subsequent regulations promulgated pursuant thereto authorize payment of federal indemnity as set forth in 21 U.S.C. § 114, 114a, 134a, and 9CFR53.
3. A Memorandum of Understanding (MOU) with the National Animal Rescue and Sheltering Coalition (NARSC) will need to be executed for reimbursement. The NARSC can also work at the State level but will engage only with State agencies having authority over animal issues. The NARSC only deploys when officially activated by a State authority and a current MOU.

Federal statutes allow for fair market value compensation for animals and carcasses, as well as products and articles that were destroyed in an effort to effectively control or eradicate a disease. In addition, federal law also allows for compensation of milk and milk products, feedstuffs, board fences, feed racks, and contaminated buildings.

In 2002, Federal officials revisited the provisions in 9CFR53 and have identified amendments to the regulations pertaining to the control and eradication of FMD and other serious diseases, including for both cooperative programs and extraordinary emergencies. The changes also include specific indemnity provisions related to FMD. The proposed changes are prompted, in part, by a review of the regulations in light of the series of outbreaks of FMD disease in the United Kingdom and elsewhere around the world. Federal officials contend that these changes are necessary to ensure the success of a control and eradication program in the event of an occurrence of foot-and mouth disease in the United States.

The State will track the indemnity and operational costs incurred for this incident as it would for any other disaster. The State can request federal reimbursement once the Secretary's Declaration of Emergency is declared or a Presidential emergency is declared. Once the Secretary's Declaration of Emergency is signed, all indemnities paid for animals or animal products are paid for by the USDA. This Declaration of Emergency could be effective before

the commencement of the State's activities. USDA will pay all operational costs incurred after the Declaration of Emergency is signed. If no emergency is declared, the USDA may enter into cooperative agreements to pay 50 percent (and in the case of some diseases, 100 percent) of the expenses of purchase, destruction, and disposition of animals and materials required to be destroyed because of being contaminated by or exposure to disease (9CFR53.2).

At this time, there is no mechanism to pay recovery costs for lost business opportunity to producers or affiliated industries, such as downtime after depopulation or inability to move animals to markets, but these situations are being explored. However, liability could be incurred by governments in situations involving the "taking" of valuable private property for a public purpose.

- **Zone Designation**

Zone designation is a measure that may help reduce the adverse economic effects as a result of an endemic disease. If a disease is only established in a portion of a State, it may be possible to establish infected and disease-free zones in order to retain some economic benefit.

Disease-free zones may be identified as a 'free zone' which must be effectively sealed off from disease-affected zones by extremely tight movement and quarantine controls. In the long term, it may be possible to eradicate a disease from an impacted zone.

While zone designation could lessen the impact on the economy, it would still impose ongoing movement restrictions on livestock industries. State and local boundaries may provide the most acceptable limits to establish zones because the case can be argued that these are distinct geographical boundaries.

3. Risk Reduction in Recovery

- **Tracing**

Tracing may play an important role in identifying infected and in-contact animals to determine if the disease is still present. Trace-back and trace-forward procedures that have been employed in the response may identify possible future or potential threats, but this is only possible if a premises and animal identification system has been deployed prior to the animal health emergency. Tracing may include:

- Livestock and other animals.
- Animal products: Meat, offal, milk, wool, skins, hides, semen, or embryos.
- Vehicles: Milk tankers, livestock transport vehicles, feed trucks, or visitors' cars.
- Materials: Hay, straw, crops, or grains;
- People: Veterinarians, task force members, sales and feed representatives, technicians, farmers, or visitors.

This activity may also include inspection and sampling of animals, investigation of reports of suspect disease, and a serological survey. The level and direction of surveillance will be driven by the epidemiological information being collected.

- **Surveillance**

Surveillance after an outbreak should be carefully coordinated to optimize the available resources. Many factors, such as potential spread by wind or wildlife, could warrant increased surveillance in some areas. The intervals between inspections and surveys may depend on the observed incubation period, the resources available, and the level of exposure risk. In addition, efforts must be made to educate producers about the clinical signs of a disease and to report such information to veterinary officials. Surveillance within an area will be primarily by inspection and sampling of animals. Surveillance may involve abattoir surveillance, serological surveys, and investigation of reports of suspected disease.

- **Vaccination**

In some cases, vaccination may be an effective risk reduction measure. Consideration should be given to strategic vaccination around outbreaks (ring vaccination) to help contain a disease, or a general vaccination over a wide area (blanket vaccination) where other disease control methods may be infeasible. However, vaccination is not always practical. With some diseases, such as FMD, vaccination is not a preferred option due to the nature of the pathogen, and its potential to disrupt the economy.

- **Public Awareness**

A media campaign may be conducted to reemphasize the importance of farmers inspecting susceptible animals regularly and of reporting suspicious lesions and unusual deaths promptly. Further, information and education materials may be disseminated to sportsmen's groups to reinforce the goals of the media campaign. The importance of movement controls and what this means to individuals needs to be strongly emphasized. In addition, coordinated media releases should address issues regarding the safety of food, and attempt to reassure the general public that the food is safe to consume.

Attachments:

Attachment 1: Applicable Authorities

Attachment 2: Guidelines for Personal Protective Equipment

Attachment 1

Applicable Authorities

Authority and Duties of the Commissioner and Agriculture and Markets Relative to the Control, Suppression and Eradication of Infectious or Communicable Animal Diseases, Including Foot and Mouth Disease

Article 2 – Department of Agriculture and Markets; Jurisdiction; General Powers and Duties

§16.1, 16.20, 16.41(a), 16.50: General powers and duties of department the department through the commissioner shall have power to:

1. Execute and carry into effect the laws of the State and the rules of the department, relative to agriculture, horticulture, farm, fruit, and dairy products, aquaculture, and the production, processing, transportation, storage, marketing and distributing of food; enforce and carry into effect the provisions of the laws of the State relative to weights and measures.

20. Act as mediator or arbitrator in any controversy or issue that may arise between producers and distributors of food.

41(a). Establish and maintain New York State domestic animal health assurance programs, voluntary, on-farm, integrated disease prevention programs, directed at improving animal health and promoting a safe and wholesome food supply. Such programs may include but are not limited to the New York State cattle and horse health assurance programs. To carry out such programs, the department may contract with public, private, and academic entities and shall encourage such entities to seek federal and private sources of funds for such programs.

50. Develop, in consultation with the commissioner of the department of health and the New York State land grant university, best-practice recommendations for treatment, prevention and management of livestock and farm property to protect against Asian long horned ticks. Such recommendations shall be based upon scientific data and shall include, but not be limited to, the use of landscape techniques demonstrated to be safe for livestock, people, pets and the environment, methods to discourage rodent activity, and, the effective use of pesticides, as defined in subdivision thirty-five of section 33-0101 of the environmental conservation law, including usage information and any label warnings or caution statements. The commissioner, in consultation with the department of environmental conservation and the New York State land grant university, shall develop and distribute to farmers information on Asian long horned tick treatment, management, and prevention. Such information and recommendations shall also be made available on the department's website.

§17(b). Delegation of powers

(b) The commissioner, except when it is otherwise provided in this chapter or the context otherwise requires, may also delegate to an officer or employee of the United States department of agriculture, engaged within this State in joint or cooperative state-federal programs, any of the powers invested in him by article five of this chapter for the control, suppression or eradication of communicable diseases in domestic animals or domestic fowls, any of the powers invested in him by article five-B of this chapter relative to ante-mortem and post-mortem inspection of animals slaughtered for food purposes and processing inspection of meat, meat by-products and meat food products, any of the powers invested in him by article five-D of this chapter relative to ante-mortem inspection of poultry slaughtered for human food, post-mortem inspection of poultry

carcasses and inspection of poultry and poultry products, any of the powers invested in him by article fourteen of this chapter in the control or eradication of injurious insects or plant diseases, and any of the powers invested in him by subdivisions four and five of section sixteen of this chapter relative to the collection, analysis and publication of primary statistical data relating to agricultural products of this state. Such delegation shall be in writing and shall state the specific limits of the powers so delegated.

Article 3 – Investigation, Practice and Procedure; Violations; Penalties

§32.1-32.4: Investigations and proceedings

- 1.** The commissioner, or any officer of the department when authorized by the commissioner, may investigate and report as to all matters within or pertaining to the powers and jurisdiction of the department, and for the purposes of carrying into effect the provisions of this chapter or of any other law relative to matters within its jurisdiction and the rules of the department.
- 2.** Proceedings may be instituted before the commissioner against a corporation, association or person upon the written complaint of any person or corporation aggrieved complaining of practices in the production, sale, transportation, purchase, storage, marketing and distribution of foods, in violation of any provision of law or the rules of the department or of the terms of an order issued pursuant to law by the commissioner, under the provisions of this chapter or of any other law the enforcement of which is within the jurisdiction of the department, or the rules of the department, made in conformity therewith.
- 3.** Upon the presentation of such complaint the commissioner may cause inquiries to be made as to the matters alleged therein and if such complaint appears to present a sufficient cause for investigation a copy of such complaint shall be forwarded to the person, association or corporation complained of and answer may be made thereto in accordance with the rules of the department.
- 4.** The commissioner shall thereupon cause the charges presented by such complaint to be investigated as herein provided, and such action shall be taken as the facts justify and as may be authorized by law.

§36.1: Orders and service thereof

- 1.** If it be ascertained after an investigation or hearing conducted as herein provided, that any person, association or corporation has failed to comply with or is guilty of a violation of the provisions of this chapter or of a rule of the department, or of any other general or special law relative to any matter within the jurisdiction of the department, an order may be made by the commissioner, under the seal of the department, compelling a compliance with such law or rule.

§38: When injunction may be obtained

In an action in the supreme court or county court for the recovery of a penalty or forfeiture incurred for the violation of any of the provisions of this chapter, or of any other law the enforcement of which is within the jurisdiction of the department, or of the rules of the department, an application may be made on the part of the people to the court or any justice thereof or to the county judge if the defendant be a resident of such county for an injunction to restrain the defendant, his agents and employees from the further violation of such provisions. The court or justice to whom such application is made, shall grant such injunction on proof, by affidavit, that the defendant has been guilty of the violations alleged in the complaint, or of a violation of any such provision subsequent to the commencement of the action. No security on the part of the plaintiff shall be required, and costs of the application may be granted or refused

in the discretion of the court or justice. If the plaintiff shall recover judgment in the action for any penalty or forfeiture demanded in the complaint, the judgment shall contain a permanent injunction, restraining the defendant, his agents and employees from any further violation of such provision of this chapter or of any other law the enforcement of which is within the jurisdiction of the department or of the rules of the department. Any injunction, order or judgment obtained under this section may be served on the defendant by posting the same upon the outer door of the defendant's usual place of business, or where such violation was or is committed, or in the manner required by the civil practice act, and the rules and practice of the court. Personal service of the injunction shall not be necessary when such service cannot be secured with reasonable diligence, but the service herein provided shall be deemed enough in any proceeding for the violation of such injunction.

§39. Penalties for violation of chapter or other laws

Every person violating any of the provisions of this chapter, or of any other law the enforcement of which is within the jurisdiction of the department shall, except where other penalties are hereinafter prescribed, be subject to a penalty in the sum of not more than six hundred dollars for the first violation, nor more than one thousand two hundred dollars for the second and each subsequent violation and provided further, however, that for a violation of subdivision thirteen or fifteen of section two hundred of this chapter, the minimum penalty shall be five hundred dollars and the maximum penalty shall be one thousand dollars and that for the second and subsequent offenses such person may also be subject to an administrative order suspending the manufacture and/or sale of such confectionery for a period of time up to three months for each such violation. When such violation consists of the manufacture or production of any prohibited article, each day during which or any part of which such manufacture or production is carried on or continued, shall be deemed a separate violation. When the violation consists of the sale, or the offering or exposing for sale or exchange of any prohibited article or substance, the sale of each one of several packages shall constitute a separate violation, and each day on which any such article or substance is offered or exposed for sale or exchange shall constitute a separate violation. If the sale be of milk and it be in cans, bottles or containers of any kind and if the milk in any one of such containers be adulterated, it shall be deemed a violation whether such vendor be selling all the milk in all of his containers to one person or not. When the use of any such article or substance is prohibited, each day during which or any part of which such article or substance is so used or furnished for use, shall constitute a separate violation, and the furnishing of the same for use to each person to whom the same may be furnished shall constitute a separate violation. When the storage of any article is prohibited beyond a certain period, each day during which or any part of which any article is so stored beyond the period provided for by this chapter, shall constitute a separate violation. A right of action for the recovery of, or a liability for, penalties incurred as provided in this chapter, or in any other law the enforcement of which is within the jurisdiction of the department, may be released, settled or compromised before the matter is referred to the attorney general as provided in section forty-four of this article, and thereafter may be released, settled or compromised by the attorney general, either before or after an action is brought to recover such penalties.

§40. Penalty for violation of rule or order

Every person, association or corporation, and all agents, officers, and employees thereof, shall obey every order made as provided in this chapter, so long as such order shall be in force. A person, association or corporation who shall fail by himself, itself or through his or its agents, officers and employees, to obey any order of the commissioner, or who shall violate any rule of

the department shall be subject to a penalty not exceeding the sum of four hundred dollars for each and every first offense, and a penalty not exceeding the sum of eight hundred dollars for a second and each subsequent offense. Every violation of such order, or of the rules of the department, shall be a separate and distinct offense, and in case of a continuing violation, every day's continuance thereof shall be a separate and distinct offense.

§41. Violation of chapter a misdemeanor

Except as otherwise provided by the penal law, a person who by himself or another violates any of the provisions of this chapter or of any other law the enforcement of which is within the jurisdiction of the department, is guilty of a misdemeanor, and upon conviction shall, except as otherwise provided in this chapter, be punished by a fine of not less than twenty-five dollars, nor more than two hundred dollars, or by imprisonment for not less than one month, nor more than six months, or by both such fine and imprisonment, for the first offense; and by not more than one year's imprisonment for the second offense.

Article 5 – Diseases of Domestic Animals; Calves and Veal; Pure Bred Stock; Certificates Registry

§72.1 – 72.4: Control and suppression of disease.

- 1.** The commissioner may cause investigations to be made as to the best method for the control, suppression, or eradication of infectious or communicable disease affecting domestic animals or carried by domestic animals and affecting humans. Whenever any infectious or communicable disease affecting domestic animals or carried by domestic animals and affecting humans shall exist or shall have recently existed outside this State, the commissioner shall take measures to prevent such disease from being brought into the State. Whenever any such disease shall exist or be brought into or break out in this State, the commissioner shall take measures promptly to suppress the same and to prevent such disease from spreading.
- 2.** He may issue and publish a notice stating that a specified infectious or communicable disease exists, may exist or has recently existed in the State, or in any designated county or other geographical district thereof, and warning all persons to seclude, in the premises where they maybe at the time, all animals within this State, or within such county or district, or an adjoining county or district, that are of a kind susceptible to contract such disease; and ordering all persons to take such precautions against the spreading of the disease as the nature thereof may, in his judgment, render necessary or expedient and which he may specify in such notice. Such notice shall be published in such manner as the commissioner may designate. The commissioner may cause such notice to be posted on buildings where animals are harbored which are believed to be diseased or exposed to disease, or on poles, gates, or fences within an area in which diseased or exposed animals are harbored or kept. No person shall tear down, mutilate, deface, or destroy any such notice or order issued by the commissioner and posted, as provided herein, during the pendency of such notice or order. The commissioner may alter or modify, from time to time, as he may deem expedient, the terms of any notice or order issued or made pursuant to this article and may at any time cancel or withdraw the same.
- 3.** The commissioner may adopt and enforce rules and regulations for the control, suppression or eradication of communicable diseases in domestic animals or for the purpose of preventing the spread of infection and contagion among such animals, or from such animals to humans, and may, in behalf of the State, accept, in whole or in part, rules and regulations adopted by the secretary of agriculture of the United States under any act of congress providing for the control, suppression or eradication of communicable diseases in domestic animals. The commissioner

may cooperate with the authorities of the United States government within this State in the carrying out of such rules and regulations and the enforcement of the provisions of any such act so passed which are not in conflict with the statutes of this State. Whenever the commissioner finds that an emergency exists in relation to the prevention or control of communicable disease among domestic animals, or from such animals to humans, the commissioner may by regulation require that all domestic animals of any designated species be immunized against any designated disease. Such regulations may specify the immunizing agent to be used and the method of immunization. The regulations may prescribe that such immunization shall be performed by the agents of the department or require that all owners or harbors of the designated species shall cause such immunization to be performed by a licensed veterinarian.

4. Whenever a program for the control, suppression or eradication of a disease of domestic animals has been adopted and instituted by the commissioner pursuant to this article, the owner or harbored of each domestic animal of the species involved shall, on or at the premises where such animal is kept, present and restrain such animal for tests, examination, immunization, or identification at such times as the commissioner on not less than forty-eight hours' notice shall direct.

§72-a: Feeding of garbage

1. Feeding of garbage, offal or carcasses to cattle, swine or poultry prohibited. Garbage fed to cattle, swine, or poultry contributes to the spread of vesicular exanthema, cholera, erysipelas, foot and mouth disease, trichinosis, and other infectious animal diseases. Meat from animals so afflicted, when consumed by human beings, is a primary source of trichinosis and other human sickness. It is therefore declared to be the public policy of this State to prohibit the feeding of garbage, offal, or carcasses to cattle, swine, or poultry to assist in the eradication of animal diseases and for the protection of the public health and public welfare.

§73: Report of disease

Every person shall immediately report to the commissioner the existence among animals of any infectious or communicable disease coming to his knowledge. Every report shall be in writing and shall include a description of the diseased animal or animals, the location thereof, the name of the disease suspected, and, if known, the name and address of the owner or person in charge of such animal or animals.

§73-a Unlawful sale of tuberculous cattle

A person who knowingly sells, except under the supervision of the commissioner of agriculture and markets, any bovine animal in which tuberculosis shall have been indicated as a result of the tuberculin test, is guilty of a misdemeanor.

§74.1, 74.2, 74.5, 74.6, 74.7, 74.9: Regulations Relating importation

1. No person shall knowingly bring into this State any domestic or feral animal which has an infectious or communicable disease, except in the case of pure bred registered bovine animals which have been removed from this State and have reacted to the tuberculin or other recognized test subsequent to such removal, may be returned to this State upon written permission from the commissioner subject to such rules as he may prescribe in relation thereto.

2. Any person bringing into this State domestic or feral animals for any purpose other than immediate slaughter without taking precaution to ascertain whether such animals have an infectious or communicable disease shall be presumed to have brought them in knowingly in violation of this section, if they are found to have such disease.

5. Persons bringing into this State or receiving domestic or feral animals from without the State shall give such other information to the department as it may from time to time request relating to such animals.

6. The commissioner may order all or any animals coming into the State to be detained at any place or places for inspection and examination, and if any of them after due examination be found affected with any infectious or communicable disease, such animals shall be condemned and slaughtered or held in strict quarantine.

7. Each animal brought into the State in violation of any of the provisions of this article shall constitute a separate and distinct violation.

9. The commissioner is hereby authorized, after public hearing, to adopt and promulgate rules and regulations to implement and give full effect to the provisions of this section, including rules and regulations requiring a permit for the importation of domestic or feral animals into the State.

§75: Sanitary regulations

The commissioner may adopt and enforce rules regulating the sanitation and physical requirements of tables, livestock auction buildings or other buildings used for the housing of domestic animals for the purpose of preventing the spread of infection and contagion among such animals and may provide for the inspection and examination of such stables and buildings. The commissioner may adopt and enforce rules concerning the equipment for and the method of the sanitary production of milk and may provide for the examination and scoring of dairies in accordance with such rules. He may also prescribe such rules as may be necessary for disinfecting and cleaning premises, buildings, railway cars, boats, and their objects, from or by means of which infection or contagion of animals may be spread or conveyed. Vehicles used for the transportation of livestock shall be cleaned and disinfected at least weekly, or as otherwise directed by the commissioner, with a disinfectant approved by the commissioner. Vehicles used by a farmer in transporting his own livestock need not be cleaned and disinfected as prescribed by the preceding sentence unless directed by the commissioner.

§76.1, 76.2, 76.3: Quarantine on Animals or Premises

1. The commissioner, any department employed veterinarian authorized by the commissioner, any veterinarian in the employ of the United States department of agriculture who is working in this State in connection with disease control programs cooperatively conducted by the United States department of agriculture and the department, or, when acting under the direction of any department employed veterinarian authorized by the commissioner to provide such direction, any accredited veterinarian and any licensed veterinary technician in the employ of the department may order any animal to be put in quarantine if such animal (a) is affected with communicable disease, (b) has been exposed to a communicable disease, (c) is believed to be suffering from or exposed to a communicable disease, or (d) is suspected of having biological or chemical residues in its tissues which would cause the carcass or carcasses of such animal, if slaughtered, to be adulterated within the meaning of this chapter, and may order any premises or farm where such disease or condition exists or shall have recently existed to be put in quarantine so that no domestic animal shall be removed from or brought to the premises quarantined during the time of quarantine. The commissioner shall prescribe such regulations affecting animals, persons, or property as he may deem necessary or expedient to prevent the dissemination of the disease or condition from the premises so quarantined.

2. Any employee of the department so authorized by the commissioner may impose pursuant to subdivision one hereof a quarantine (a) upon cattle, swine or poultry whenever there is a reasonable cause to believe that such animals have been fed garbage, offal or carcasses in

violation of section seventy-two-a of this chapter and (b) upon any horse required to have been tested in accordance with section ninety-five-c of this chapter if the custodian of such animal does not produce for examination a negative test certificates.

3. Whenever the owner of any bovine animal refuses or neglects to have any such animal tuberculin tested or whenever the owner of any domestic animal of a species for which a disease control program has been adopted and instituted by the commissioner pursuant to this article refuses or neglects to subject such animal to such tests or examinations as may have been established under such disease control program, the commissioner may order the premises or farm on which such animal is harbored to be put in quarantine so that no animal of the same species shall be removed from or brought to the premises quarantined, and so that no product of such animals on the premises so quarantined shall be removed from the said premises. Nothing provided in this section shall prevent the addition of new animals to a herd under quarantine or the removal for immediate slaughter of any animals from the premises or herd quarantined if such addition or removal is by written permission of the commissioner and pursuant to rules and regulations adopted by him.

§77: Examination by veterinarian prerequisite to destruction of animal

No animal shall be destroyed by the commissioner or by his order unless first examined by a veterinarian in the employ of the department, or whose work is approved by the commissioner, nor until such veterinarian renders a certificate to the commissioner, to the effect that he has made such examination, that, in his judgment, such animal is infected with a specified infectious or communicable disease, or that its destruction is necessary in order to prevent or suppress, or to aid in preventing or suppressing such disease.

§78.1 & 78.2: Examination of domestic animals

1. The commissioner shall cause a physical examination and a tuberculin test to be made by competent and authorized veterinarians of all bovine animals, irrespective of age or sex, and cause all such bovine animals to be subjected to periodic retests when deemed necessary by the commissioner. The commissioner may also cause a physical examination and a tuberculin test to be made by competent and authorized veterinarians of any domestic animal or herds of domestic animals, irrespective of age or sex, when deemed necessary in his or her judgment to prevent or suppress disease. If, from such examination or test, any animal be deemed by the commissioner to be infected with tuberculosis or any other communicable disease or its condition be such as to render it undesirable for the production of milk or meat, or a menace to the health of other animals or persons, such animal shall be immediately removed from the herd, slaughtered or otherwise disposed of as the commissioner may prescribe.

2. No person shall possess, maintain, transport, or otherwise handle farmed deer except under conditions by which such animals are biologically segregated from bovine animals in a manner prescribed by the commissioner, provided however that such separation shall not be required with respect to any farmed deer maintained under circumstances where contact with bovine animals would not pose a threat to the State's cattle population as determined by the commissioner pursuant to regulation For purposes of this subdivision: (a) "farmed deer" shall mean members of family Cervidae which are raised or bred in confinement; and (b) "bovine animals" shall mean cattle and bison. This subdivision shall take effect on the one hundred eightieth day after it shall have become a law.

§79.1-79.6: Examination at request of owner; segregation; grading of herds

The owner of a herd of cattle kept for dairy or breeding purposes within the State may apply to the commissioner for examination of his herd by the tuberculin, or other approved tests, subject to the following regulations:

- 1.** The application therefor shall be upon a blank form provided by the commissioner and shall include an agreement on the part of the owner of the herd to improve faulty sanitary conditions, to disinfect his premises if diseased cattle be found, and to follow directions of the commissioner designed to prevent the reinfection of the herd and to suppress the disease and prevent the spread thereof.
- 2.** The commissioner shall cause such cattle to be examined accordingly, subject to the provisions of this article, and if any animal responds to such test, he may cause it to be slaughtered or held in strict quarantine.
- 3.** If after examination an animal be found to be suffering from tuberculosis such animal shall be slaughtered under the provisions of this article, or the commissioner may enter into a written agreement with the owner for keeping such animal in segregation or the commissioner may, if the condition of such animal warrants it, consign such animal to any one of the experiment stations or farms owned or controlled by the State, or by any county of the State, or to the farms of such public institutions in the State as the commissioner shall approve, or to hospitals, sanitariums or other institutions existing in whole or in part for the purpose of suppressing tuberculosis, there to be kept and used for breeding, dairy or experimental purposes under regulations to be prescribed by the commissioner.
- 4.** Subject to the rules of the commissioner, an animal found to be diseased after such examination may continue to be used for breeding purposes, but the milk from such animal shall not be used for any purpose until pasteurized at such temperature and for such period as the commissioner may prescribe.
- 5.** The young of any such diseased animal shall immediately be separated from its mother and shall not be permitted to receive or be fed the milk from such affected animal until such milk has been pasteurized as provided in subdivision four of this section.
- 6.** The commissioner may make rules for classifying herds tested under this section and for the purpose of giving recognition to herds which are in a healthy condition, he is hereby authorized to issue such certification as he may deem proper in relation to such herds. If such rules and such certification provide for periodical retests of accredited herds, or other herds not yet accredited, the cost of such retests, after January first, nineteen hundred and thirty, shall be borne by the State and there shall be appropriated annually to the department a sum sufficient to defray the expense of the veterinary service for such required retests.

§80: Certificate to healthy herds

For the purpose of giving recognition to other than segregated herds which are certified to him, after competent examination satisfactory to him, to be in a healthy condition, the commissioner is hereby authorized to issue such certificates as he may deem proper to the owner of such herd; to use such terms to designate such herds as will harmonize with federal designations of such herds and to adopt such rules as he may deem proper for the tagging, branding or marking of any animal or animals affected or believed to be affected with any communicable disease, or exposed thereto. If such animals are branded it shall not be construed as cruelty to animals within the meaning of article twenty-six of this chapter.

§81: Sale, removal or slaughter of animals affected with tuberculosis

No animal showing physical evidence of tuberculosis or in which such disease shall have been indicated as a result of the tuberculin test shall be sold, except under the supervision of the commissioner. No such animal shall be removed from the premises where examined, or from any other premises, except upon the written permission of the commissioner. No such animal shall be slaughtered except under the supervision of a veterinarian designated by the commissioner as provided in section eighty-six of this chapter.

§82: Appraisers

The commissioner may employ from time to time appraisers of condemned animals. The chief or any assistant veterinarian shall have all the powers of any appraiser of condemned animals under this article.

§83: Appraisal of diseased animals

Each animal directed to be slaughtered shall be appraised at its market value. The appraiser shall make and transmit to the commissioner a certificate of appraisal and shall deliver to the owner a copy of such appraisal certificate. If the owner is dissatisfied with the amount of the appraisal he may, within ten days after the delivery of the copy of appraisal certificate, make written application to the commissioner for a review of the appraisal. Upon receipt of such application, the commissioner shall cause an investigation to be made as to the market value of the animals referred to in the application for a review. Upon completion of such investigation, the commissioner shall render a decision either confirming the appraisal or modifying it by an increase or a decrease of the amount of the appraisal as justice may require, and shall state in his decision the reasons therefor and shall transmit a copy of the decision to the owner. The decision of the commissioner may be reviewed by a proceeding under article eight of the civil practice law and rules.

§85: Destruction of animals; disposition of carcasses

The commissioner may prescribe rules for the destruction of animals affected with infectious or communicable disease, and for the proper disposal of their hides and carcasses and all objects which might carry infection or contagion. Whenever in his judgment necessary for the more speedy and economical suppression or prevention of the spread of any such disease he may cause to be slaughtered and afterward disposed of, in such manner as he may deem expedient, any animal or animals which by contact or association with diseased animals or other exposure to infection or contagion may be considered or suspected to be liable to contract or communicate the disease sought to be suppressed or prevented. The commissioner may seize and cause to be destroyed a carcass or any portion thereof affected with any communicable disease.

§86: Post-mortem examination of animals The carcass of every animal duly condemned and killed under the provisions of this article shall be examined by a veterinarian designated by the commissioner for the purpose of determining whether or not disease existed in such animal and the person making the examination shall file promptly with the commissioner a report of the examination, in a form prescribed by the commissioner; but such an examination, and the filing of such a report thereof, by an inspector of the United States government engaged in meat inspection service may be accepted by the commissioner in lieu of an examination and report by a designated veterinarian.

§87: Payments for animals killed

The commissioner shall determine all claims which may be presented to him for indemnity to owners of animals killed by the State under the provisions of this article, and shall file in his office a certificate of his determination and, provided the claim is determined complete, shall within five days of having received the claim, issue his order for the amount due to the comptroller for payment. All claims allowed shall bear interest computed as provided in section one hundred seventy-nine-g of the State finance law. A claim shall be considered an invoice within the meaning of the provisions of article eleven-A of the State finance law. Anyone having a right of reimbursement pursuant to the provisions of this article shall be deemed to be a "contractor" having a "contract" with a "State agency" as such terms are defined in section one hundred seventy-nine-e of the State finance law. The commissioner shall issue his order for the amount due as determined by the certificate, which amount shall be paid from the treasury, on the warrant of the comptroller, out of moneys appropriated therefor.

§88.1- 88.7: Indemnity

The following provisions shall govern the payment of indemnity to owners of animals killed pursuant to the provisions of this article:

1. In the case of a bovine animal so killed to prevent the spread of tuberculosis, the owner shall be entitled to receive the net proceeds of the sale of the animal, and in addition thereto shall be paid indemnity in a sum sufficient to secure to the owner the full appraised value of the animal, but not exceeding the sum of six hundred dollars for a registered pure bred animal or for a pure bred animal less than three years of age, not registered but eligible for registry, for which a reasonable time shall be granted for the presentation of registration papers to the department, and not exceeding the sum of five hundred dollars for any other bovine animal. In the case of a pure-bred animal three years of age or over not registered at the time of appraisal, such animals shall be appraised at grade value, and in computing indemnity to be paid for such animal any other appraised value shall be excluded. The total amount receivable by the owner from the net proceeds of the sale of the animal and indemnity from the federal government and indemnity from the State shall, in every case except as otherwise specifically limited by this subdivision, equal but not exceed the full appraised value of the animal. If a bovine animal for which indemnity has not been paid is slaughtered at an establishment under State or federal meat inspection and the carcass thereof is found upon post mortem examination and laboratory analysis to contain tubercular lesions and such carcass is condemned and destroyed pursuant to State or federal regulations, the owner thereof shall be entitled to receive as indemnity four hundred dollars for carcasses weighing four hundred pounds or less, and six hundred dollars for carcasses weighing more than four hundred pounds.

2. No indemnity shall be paid to any person who shall have made any false representation, oral or written, in applying to the commissioner for an examination of his or her animals, or who shall have violated any agreement with the State regarding such animals, entered into pursuant to a provision of this chapter, or who shall have failed to comply with any instructions or directions given by the commissioner in respect to the control or eradication of any infectious or communicable diseases among animals, or who shall have failed to comply with any provision of this article or rule or regulation promulgated pursuant to such article, relating to the prevention, control, suppression or eradication of such disease; provided that indemnity may be allowed when payment is deemed by the commissioner to further the public interest in preventing, controlling, suppressing, or eradicating the disease with respect to which indemnity is sought.

- 3.** If upon post-mortem examination of an equine animal evidence of glanders be found, and such animal shall not have exhibited physical symptoms of such disease, indemnity equal to ninety per centum of the appraisal value, or so much thereof as shall not exceed the sum of one hundred and twenty-five dollars, shall be paid. If the animal shall have exhibited such physical symptoms of glanders, indemnity equal to twenty-five per centum of the appraised value, or so much thereof as shall not exceed the sum of one hundred and twenty-five dollars, shall be paid.
- 4.** No indemnity shall be paid unless the animal, if an equine, shall at the time ordered destroyed, have been within the State of New York for at least twelve months; and if a bovine shall at the time ordered destroyed have been within the State for at least three months, except that in the discretion of the commissioner, indemnity may be paid for a bovine which has not been within the State three months, provided that the animal at the time of entry into the State was accompanied by a tuberculin test chart, authenticated by the chief livestock sanitary official by whatever name known of the State or province from which the animal was brought, showing that the animal had originated in a herd under official supervision, and that such herd, including the animal in question, had been subjected to a tuberculin test under the regulations of the accredited herd plan and had passed such test negatively within one year preceding the order of destruction.
- 5.** If animals are slaughtered or property destroyed by order of the commissioner to control, suppress or eradicate the disease known as apthous fever, or foot and mouth disease, compensation shall be made to the owners of the animals slaughtered or the property destroyed, but not more than two hundred dollars shall be paid on account of any bovine animal.
- 6.** In the case of any poultry, or all or part of any flock which has been exposed to salmonella enteritidis and which the commissioner has ordered to be slaughtered pursuant to section eighty-five of this chapter, the owner shall be entitled to receive, within the amount appropriated for such purpose, indemnity for each poultry, in a sum equal to the full appraised value of the poultry, or to not more than three dollars per poultry, whichever is less. Final payment of State monies due to the owner of poultry slaughtered as set forth in this subdivision shall be made within sixty calendar days after the order is signed by the commissioner. In the event payment is not made within such period, interest thereafter at the rate of eight per centum per annum on the amount of the said monies owed shall be paid to the owner in a single lump sum calculated from the end of the sixty day period until the final payment is made.
- 7.** In the case of any farmed deer, or all or part of any herd which has been exposed to tuberculosis and which the commissioner has ordered to be slaughtered pursuant to sections eighty-one and eighty-five of this article, the owner shall be entitled to receive the net proceeds of the sale of the animal, and in addition shall be paid indemnity in the sum sufficient to secure to the owner the full appraised value of the animal, but not exceeding the sum of two hundred fifty dollars. The total amount receivable by the owner from the net proceeds of the sale of the animal and indemnity from the federal government and indemnity from the State shall, in every case except as otherwise specifically limited by this subdivision, equal but not exceed the full appraised value of the animal. Indemnity payments shall be subject to the provisions set forth in section eighty-seven of this article. The amount of indemnity payments made by the State for testing and owner indemnification related to tuberculosis in animals by the department shall be limited to the amount of funds appropriated for such purposes by the legislature, and, notwithstanding any other provision of law to the contrary, shall represent fulfillment of the State's obligation for this program. For purposes of this subdivision, the term "farmed deer" shall mean members of family Cervidae which are raised and bred in confinement.

§89.3, 88.5-88.7: Control of vaccines, serums, and other preparations

For the purpose of detection, prevention, control or eradication of infectious or contagious diseases of domestic animals and fowls, the commissioner may make such exemptions and promulgate such orders, rules and regulations as he may deem necessary for the proper control, use, and distribution of any and all therapeutic preparations of microbiological origin used in the detection, prevention, control or eradication of such diseases within the State. The following provisions shall govern the disposition and use of such preparations.

3. Such preparations, except those prepared by a federal or a designated State agency, prepared within or brought into the State to be retained, sold or given away within the State, for use in the detection, prevention, control or eradication of infectious or contagious diseases of domestic animals or fowls, or for the administration thereto for whatever purpose, shall be reported to the commissioner unless exempted by him. Such reports shall be made by the individual, firm, corporation, or institution preparing or selling such preparations within the State or receiving such preparations within the State to be retained, sold, or given away. The reports shall show the character and purpose of the preparation, the quantity, the name and address of the manufacturer and the name and address of the person or firm to whom the product was sold or given away.

5. Legally qualified veterinarians using such preparations, except those preparations exempted by the commissioner, in the detection, prevention, control, or eradication of infectious or contagious diseases of domestic animals or fowls shall make a report of such use to the commissioner immediately after the application or administration of such preparation. The report shall include the name and address of the owner or custodian of the animals, the character and purpose of the preparation employed, the amount used, and, if required by the commissioner, the identification of each animal and/or other necessary information.

6. No person shall treat with or inject into any domestic animal any preparation, material, or substance for the purpose of or with the effect of fraudulently interfering in any manner with a normal reaction to an officially prescribed test.

7. No veterinarian shall certify or make a statement showing or tending to show that any domestic animal has been tested or examined and found free from an infectious or contagious disease, unless such certification shall show the character of the test, and bear a statement that the test was made by an officially accepted method, and that upon such test or examination the animal failed to give evidence of such disease.

§90.1–90.6: Examination of cattle for Bang's disease

1. The commissioner, within the amounts appropriated for such purpose, may cause an appropriate test for ascertaining the presence or absence of bovine infectious abortion, commonly known as and hereafter termed "Bang's disease," to be made by competent and authorized veterinarians and cause such bovine animals to be subjected to periodic retests when deemed necessary by the commissioner. If, from such examination or test, any animal be deemed by the commissioner to be infected with Bang's disease and its condition be such as to render it undesirable for the production of milk or a menace to the health of other animals or persons, such animal may be immediately removed from the herd, slaughtered or otherwise disposed of as the commissioner may prescribe.

2. If after examination an animal be found to be suffering from Bang's disease such animal may be slaughtered under the provisions of this section, or the commissioner may enter into a written agreement with the owner for keeping such animal in segregation, or the commissioner may, if the condition of such animal warrants it, consign such animal to any one of the experiment stations or farms owned or controlled by the State, or by any county of the State, or to the farms

of such public institutions in the State as the commissioner shall approve, or to hospitals, sanitariums or other institutions existing in whole or in part for the purpose of suppressing such bovine disease; there to be kept and used for breeding, dairy or experimental purposes under regulations to be prescribed by the commissioner.

3. No animal showing evidence of Bang's disease as a result of the official test shall be sold, except under the supervision of the commissioner. No such animal shall be removed from the premises where examined, or from any other premises, except upon the written permission of the commissioner. No such animal shall be slaughtered except under the supervision of a veterinarian designated by the commissioner as provided in section eighty-six of this chapter.

4. In the case of a bovine animal killed on account of positive reaction to Bang's disease, the owner shall, in the discretion of the commissioner, and within the amount appropriated for such purpose, be entitled to receive indemnity in a sum equal to seventy-five per cent of the difference between the full appraised value of the animal and the total of the amounts received by the owner from the federal government as indemnity and from the sale of the animal as salvage, but not exceeding the sum of one thousand five hundred dollars for a registered pure bred animal and not exceeding the sum of five hundred dollars for any other bovine animal. The commissioner may, in his discretion at the request of the owner, order the slaughter of non-reactor animals if he finds that they have been exposed to Bang's disease as a member of an infected herd and that the entire herd should be depopulated to control the spread of the disease. In such case, the owner shall be entitled to receive, within the amount appropriated for such purpose, indemnity in an amount equal to the difference between the full appraised value of the animal and the total of the amounts received by the owner from the federal government as indemnity and from the sale of the animal as salvage, but not exceeding the sum of three hundred dollars for a registered pure bred animal or one hundred seventy-five dollars for any other bovine animal. The commissioner may, in his discretion, order the slaughter of any animal, or of all or part of any herd, which he finds has been exposed to Bang's disease by association with a positive reactor or by any other manner of exposure which he finds may make the animal or herd liable to contract or communicate the disease. In such case, the owner shall be entitled to receive, within the amount appropriated for such purpose, indemnity for each reactor animal and for each non-reactor animal as set forth in this subdivision unless the commissioner finds that such owner has failed to comply with any laws, rules or regulations relating to the control or eradication of brucellosis. Final payment of State monies due the owner of animals slaughtered as set forth in this subdivision shall be made within sixty calendar days after the order is signed by the commissioner. In the event payment is not made within such period, interest thereafter at the rate of eight per centum per annum on the amount of the said moneys owed shall be paid to the owner in a single lump sum calculated from the end of the sixty day period until the final payment is made. For purposes of this section, the term "registered pure-bred animal" shall include a pure-bred animal less than three years of age, not registered but eligible for registry, for which application for registry has been duly made prior to the appraisal. Pure bred animals three years of age or over, not registered at the time of appraisal, shall be appraised at grade value.

5. No indemnity shall be paid unless the animal shall, at the time ordered destroyed, have been within the State for at least three months, and provided further that the animal came into the State in accordance

with the then existing laws and regulations relative to Bang's disease.

6. The commissioner, within the limits of the amount appropriated for such purpose or purposes, may initiate an official program of calf hood vaccination, may cause blood samples to be taken, may have such samples tested, and may make necessary rules and regulations relative thereto, and provide for identifying and recording all vaccinated animals in order that all such animals may

be properly and officially supervised. The commissioner may cooperate for such purpose or purposes with federal or county officials upon such terms as he approves.

§90-a: Declaration of policy and purposes

Infectious and communicable disease affecting domestic animals continues to exist in this State, and the existence thereof endangers the health and welfare of the people of the State. Despite the moneys pent to control, suppress and eradicate such infection and disease its incidence is the concern of the legislature. The powers of quarantine and condemnation held and exercised by the department of agriculture and markets tend to suppress but do not constitute an adequate control. It is hereby declared to be a matter of legislative determination that a more exacting supervision of those who as a business deal in, handle and transport domestic animals is needed in the public interest and that in the exercise of the police power such persons be required to hold a permit before engaging in such activities.

§90-b (1-23): Definitions

As used in this article unless otherwise expressly stated:

1. The term "wholesale cattle dealer" means any person who buys or sells cattle as a business enterprise. The term shall not include a person who buys or sells cattle as part of his or her own bona fide breeding, feeding or dairy operation, nor to a person who receives cattle exclusively for slaughter on his or her own premises.
2. The term "auctioneer" means a person who sells, or makes a business of selling cattle, swine, or horses, at auction.
3. The term "auction" means a public sale of cattle, swine, or horses to the highest bidder.
4. The term "horse" means the entire family of Equidae.
5. The term "horse dealer" means any person who buys or sells horses as a business enterprise. This term shall not include a person who buys or sells horses as part of a bona fide breeding, farming, or racing operation or for personal use by his or her own family nor to a person who receives horses exclusively for slaughter on his or her own premises.
6. The term "swine dealer" means any person who buys or sells swine as a business enterprise. The term shall not include a person who buys or sells swine as part of a bona fide breeding, feeding, or farming operation, nor to a person who receives swine exclusively for slaughter on his or her own premises.
7. The term "swine" means the entire super family of subdivide, both feral and domestic.
8. The term "cattle" means the entire family of Bovidae.
9. The term "deer" means any member of the family of Cervidae.
10. The term "deer dealer" means any person who buys and sells deer as a business enterprise. The term shall not include a person who buys and sells deer as part of a bona fide breeding, feeding, or farming operation, nor to a person who receives deer exclusively for slaughter on his or her own premises.
11. The term "camelid" means the entire family of Camelidae.
12. The term "camelid dealer" means any person who buys and sells camelids as a business enterprise. The term shall not include a person who buys and sells camelids as part of a bona fide breeding, feeding, or farming operation, nor to a person who receives camelids exclusively for slaughter on his or her own premises.
13. The term "ear tag" means a unique, tamper-resistant device which, when affixed to the ears of cattle, deer, swine, or camelid, identifies and distinguishes such animals.

14. The term "registration number" means the number assigned to and that identifies a domestic animal, which number and the identifying characteristics of such domestic animal are set forth in a registry maintained by a breed association recognized by the department.

15. The term "official backtag" means a unique device which, when affixed to cattle, deer, swine, or camelid, identifies and distinguishes such animals.

16. The term "poultry" means a domesticated fowl including chickens, turkeys, waterfowl, guinea fowl and game birds commonly used to produce meat and eggs. It does not include pigeons.

17. The term "poultry dealer" means any person who buys or sells poultry as a business enterprise. The term shall not include a person who buys or sells poultry as part of a bona fide breeding, feeding, or farming operation, or a person who receives poultry exclusively for slaughter on his or her own premises.

18. The term "poultry transporter" means any person who transports poultry as a business enterprise. The term shall not include a person who transports poultry as part of a bona fide breeding, feeding or farming operation, or a person who receives poultry exclusively for slaughter on his or her own premises, provided, however, that the term shall include any person who transports poultry to a live poultry market.

19. The term "live poultry market" means any premises where poultry are assembled and held for sale and slaughter. It does not include livestock auction buildings.

20. The term "goat" means any member of the genus *capra*.

21. The term "goat dealer" means any person who buys or sells goats as a business enterprise. The term shall not include a person who buys or sells goats as part of a bona fide breeding, feeding, or farming operation, or a person who receives goats exclusively for slaughter on his or her own premises.

22. The term "sheep" means any member of the genus *ovis*.

23. The term "sheep dealer" means any person who buys or sells sheep as a business enterprise. The term shall not include a person who buys or sells sheep as part of a bona fide breeding, feeding, or farming operation, or a person who receives sheep exclusively for slaughter on his or her own premises.

§90-c. (1-3): Prohibitions

1. It shall be unlawful for any person to purchase, or deal in, or sell cattle, swine, horses, deer, camelids, sheep, goats or poultry at wholesale, or for any person to operate or conduct an auction where cattle, swine, horses, deer, camelids, sheep, goats or poultry are sold, or for any person to transport poultry, unless such wholesale cattle, swine, horse, deer, camelids, sheep, goats or poultry dealer or auctioneer or poultry transporter holds a domestic animal health permit granted by the commissioner.

2. No person who holds or is required to hold a domestic animal health permit shall purchase, sell or otherwise deal in cattle, deer, swine, camelids, sheep or goats unless and until an ear tag is securely affixed to the ear of such animal or unless such animal is otherwise identified by a registration number, distinctive tattoo, electronic identification device or other unique permanent mark or, for an animal that is moved directly to slaughter, an official backtag.

3. No person shall deface, obliterate, or remove an ear tag or other identification mark affixed to an animal under his or her control, or shall affix an ear tag to the ear of an animal that has previously been affixed to the ear of another animal.

§90-d: Application and permit fees

Application for an animal health permit shall be made to the commissioner. The application shall be on a form prescribed by the commissioner and shall be accompanied by an animal health permit fee of fifty dollars. The applicant shall satisfy the commissioner of his character and responsibility and shall set forth such information as the commissioner shall require regarding the past record of infection or contagion among domestic animals dealt in, or handled, or sold by him during the past five years. A permit shall be issued for a two-year period and a renewal application shall be submitted to the commissioner on or before the thirtieth day prior to the expiration of the permit.

§90-e: Refusing and revoking permits

The commissioner after due notice and opportunity of hearing to the applicant or permittee may deny an application for or revoke or refuse to renew a permit when he or she is satisfied that the applicant or permittee has:

- 1.** violated the statutes of the State of New York or of the United States or the official regulations of the commissioner governing the interstate or intrastate movement, shipment or transportation of cattle or horses, swine, camelids, deer, sheep, goats, or poultry;
- 2.** made false or misleading statements in his or her application for an animal health permit or has made false or misleading statements as to the health or physical condition of cattle, horses, swine, camelids, deer, sheep, goats, or poultry; regarding official tests;
- 3.** knowingly sold for purposes other than slaughter cattle, horses, swine, camelids, deer, sheep, goats, or poultry which were affected with a communicable disease;
- 4.** failed to observe sanitary measures in barning, stabling premises or vehicles used for the stabling, holding or transportation of cattle, horses, swine, camelids, deer, sheep, goats, or poultry;
- 5.** engaged in a course of dealing of such a nature as to satisfy the commissioner of his or her inability or unwillingness properly to conduct the business for which an animal health permit has been issued;
- 6.** been convicted of a felony;
- 7.** had his or her animal health permit terminated or revoked;
- 8.** ceased to operate the business for which the animal health permit was issued; or
- 9.** failed to comply with any of the provisions of this chapter or the rules and regulations promulgated pursuant thereto.

§90-f: Proceedings to review

The action of the commissioner in denying an application or revoking an animal health permit may be reviewed in the manner provided by article seventy-eight of the civil practice law and rules and the decision of the commissioner shall be final unless within thirty days from the date of service thereof upon the applicant or permittee affected thereby the court proceeding is instituted to review such action. The pleadings upon which such review proceeding is instituted shall be served upon the commissioner or upon an assistant commissioner, personally, in the manner provided for the personal service of a summons in an action unless a different manner of service is provided in an order to show cause granted by a justice of the supreme court.

§90-g: Records

All records as now required by the commissioner respecting the health of domestic animals shall be continued and the commissioner may require such other and further records as from time to time may seem to him to be necessary or desirable in his enforcement of disease control.

§90-h: Violations; remedies

The commissioner may institute such action at law or in equity as may appear necessary to enforce compliance with any provision of the statutes, rules and orders committed to his administration in regard to animal health permits and infectious or communicable disease affecting domestic animals, and in addition to any other remedy under article three of this chapter or otherwise may apply for relief by injunction if necessary to protect the public interest without being compelled to allege or prove that an adequate remedy at law does not exist. Such application may be made to the supreme court in any district or county as provided in the civil practice law and rules, or to the supreme court in the third judicial district.

§91.1-91.5: Hog cholera and pseudorabies control; indemnity

- 1.** The commissioner, to control, suppress or eradicate hog cholera and pseudorabies, may cause to be made appropriate examinations or tests for ascertaining the presence or absence of such diseases in swine. If, from such examinations or tests, any swine be found to be infected with or exposed to hog cholera or pseudorabies and such condition be such as to cause the swine to be a menace to the health of other animals the commissioner may order such swine to be immediately slaughtered or otherwise disposed of as he may prescribe.
- 2.** No swine infected with or exposed to hog cholera or pseudorabies shall be sold or removed from the premises where examined, or from any other premises, except upon written permission of the commissioner. No swine so infected or exposed shall be slaughtered or killed except under the supervision of the commissioner.
- 3.** The commissioner, within the appropriation for such purpose, may cause blood samples of swine to be taken and tested.
- 4.** Swine killed on account of hog cholera or pseudorabies shall be appraised and indemnity shall be paid to the owner as provided in this article, except as otherwise specifically limited by this section. The owner shall be entitled to receive the net proceeds, if any, of the sale of the swine, and in addition thereto, within the appropriation for such purpose, shall be paid indemnity in a sum not exceeding one hundred dollars for a registered purebred, inbred or hybrid swine, and not exceeding forty dollars for any other swine. A purebred swine is any breeding swine upon which a certificate of pure breeding has been issued by a purebred swine association; an inbred or hybrid swine is any breeding swine upon which a certificate or registration has been issued by a recognized inbred or hybrid registry association. Certificates of pure breeding or registration for inbred or hybrid swine shall be presented at the time of appraisal or such swine will be appraised as grades, provided, however, that in the absence of such certificates or registrations the commissioner may grant a reasonable time for the presentation of such certificates or registrations to the appraiser. The total amount receivable by the owner from the net proceeds of the sale of the swine and indemnity from the federal government and indemnity from the State shall, in every case, except as otherwise specifically limited by this section, equal but not exceed the full appraised value of the swine.
- 5.** The commissioner may adopt and enforce rules and regulations and may cooperate with the authorities of the United States government and with local officials, to implement the provisions of this section.

§96-c (1-6): Examination of horses for equine infectious anemia

1. The commissioner or his authorized agent may cause to be administered to any horse within the State any test he finds appropriate for ascertaining the presence or absence of equine infectious anemia, also known as "swamp fever." Upon order of the commissioner or his authorized agent, the owner, custodian or harbinger of any horse shall confine, present, control and restrain such animal or animals for the examinations, tests and identification procedures the commissioner deems necessary and if exposure to equine infectious anemia is apparent, the commissioner shall order confinement for a period up to sixty days or until a negative test can be obtained. During the period of such test, and until the commissioner or his agent shall otherwise direct, the owner, custodian or harbinger of any animal being tested shall keep such animal in segregation or confinement as the commissioner's agent shall direct, and no person shall remove a horse under test from the premises where the test is being conducted, nor remove from the horse, or alter or deface any temporary identification marks or devices affixed for the purpose of the test, except with the written consent of the commissioner's authorized agent.

2. (a) Any horse found by the commissioner after testing to be infected with equine infectious anemia may be freeze branded in a manner prescribed by the commissioner. Upon notification of the results of such test, the owner, custodian or harbored of any animal found by the commissioner to be infected with equine infectious anemia shall confine, present and restrain such animal for freeze branding by any duly authorized agent of the commissioner at such time as he may direct. (b) Notwithstanding any other provisions of law, the owner, harbinger or custodian of any horse freeze branded pursuant to this section shall not be indemnified for any loss in value of such animal. (c) The term "horse" as used throughout this section shall apply to the entire family of Equidae. The commissioner may by regulation exclude from the provisions of this section horses within defined age categories.

3. No person shall import or bring into the State any horse unless such horse has been tested for equine infectious anemia and reacted negatively within a period prior to entry, and in a manner, prescribed by the commissioner in regulations.

4. No person shall transport on any public highway within this State any horse unless such horse has been tested for equine infectious anemia and reacted negatively within a period prior to such transportation, and in a manner, prescribed by the commissioner in regulations.

5. No person shall sell, exchange, barter or give away any horse unless such horse has been tested for equine infectious anemia and reacted negatively within a period prior to such transfer of ownership, and in a manner, prescribed by the commissioner in regulations.

6. Subdivisions three, four and five of this section shall not apply to horses which are imported, sold, exchanged, bartered, given away or transported under permit from the commissioner or his authorized agent for immediate slaughter, research or such other purposes as the commissioner finds are consistent with the control and eradication of equine infectious anemia, as prescribed by the commissioner in regulations.

§105(f): Review by commissioner

If the claimant desires to appeal the county treasurer's disapproval of his claim or if he is dissatisfied with the amount of the damage as set forth in the assessor's report, he may, within ten days after the receipt of the report, present to the commissioner a request for a review. The county treasurer may, within ten days after receiving the report of the assessor, if dissatisfied with the damages stated in the report, present to the commissioner a request for a review. Upon receipt of such request, from either the claimant or the county treasurer, the commissioner shall

cause an investigation to be made of the facts surrounding the death of the animal or animals described therein and the amount of damage incurred thereby for which indemnification should be made in accordance with the intent of this article. The claimant shall permit the commissioner or his duly authorized representative to enter the premises where the animal or animals for which indemnification is claimed were kept, harbored or pastured, and shall furnish to the commissioner or his duly authorized representative whatever information and proof may be available to the claimant and deemed necessary by the commissioner or his representative to complete the investigation. After the completion of such investigation the commissioner shall make his decision in writing as set forth in the preceding section.

§258-cc.2: Prohibitions

2. It shall be unlawful for any person to sell or distribute in the State of New York any dry milk powder originating from any area outside the continental United States including Alaska and Hawaii that has not been designated by the commissioner as being rinderpest and foot-and-mouth disease free.

New York State Environmental Conservation Law 11-0325

§ 11-0325. Control of dangerous diseases.

1. Whenever it is jointly determined by the Department of Environmental Conservation and the Department of Health or the Department of Agriculture and Markets, and certification is made to the Commissioner of Environmental Conservation by the Commissioner of Health or the Commissioner of Agriculture and Markets, that a disease, which endangers the health and welfare of fish or wildlife populations, or of domestic livestock or of the human population, exists in any area of the State, or is in imminent danger of being introduced into the State, the department shall adopt any measures or regulations with respect to the taking, transportation, sale, offering for sale or possession of native fish or feral animals it may deem necessary in the public interest to prevent the introduction or spread of such disease. The department may undertake such fish or wildlife control measures it may deem necessary to eliminate, reduce or confine the disease.
2. Whenever it is determined by the Department of Environmental Conservation that an epizootic disease which endangers the health and welfare of native fish or feral animal populations only, exists in any area of the State, or is in imminent danger of developing or being introduced into the State, the department may adopt any measures or regulations with respect to the taking, transportation, sale, offering for sale or possession of native fish or feral animals deemed necessary in the public interest to prevent the development, spread or introduction of such disease.

Sec. 134a. Seizure, quarantine, and disposal of livestock or poultry to guard against introduction or dissemination of communicable disease

- (a) Authority of Secretary
The Secretary, whenever he deems it necessary in order to guard against the introduction or dissemination of a communicable disease of livestock or poultry, may seize, quarantine, and dispose of, in a reasonable manner taking into consideration the nature of the disease and the necessity of such action to protect the livestock or poultry of the United States:
 - (1) any animals which he finds are moving or are being handled or have moved or have been handled in interstate or foreign commerce contrary to any law or regulation administered by him for the prevention of the introduction or dissemination of any communicable disease of livestock or poultry;
 - (2) any animals which he finds are moving into the United States, or interstate, and are affected with or have been exposed to any communicable disease dangerous to livestock or poultry; and (3) any animals which he finds have moved into the United States, or interstate, and at the time of such movement were so affected or exposed.
- (b) Determination of extraordinary emergency due to dangerous communicable disease; seizure, quarantine, and disposal of animals; action authorized only if adequate measures not taken by State or other jurisdiction; notice to State or other jurisdiction
Whereas the existence of any dangerous, communicable disease of livestock or poultry, such as foot-and-mouth disease, rinderpest, or European fowl pest, on any premises in the United States would constitute a threat to livestock and poultry of the Nation and would seriously burden interstate and foreign commerce, whenever the Secretary determines that an extraordinary emergency exists because of the outbreak of such a disease anywhere in the United States, and that such outbreak threatens the livestock or poultry of the United States, he may seize, quarantine, and dispose of, in such manner as he deems necessary or appropriate, any animals in the United States which he finds are or have been affected with or exposed to any such disease and the carcasses of any such animals and any products and articles which he finds were so related to such animals as to be likely to be a means of disseminating any such disease: Provided, That action shall be taken under this subsection only if the Secretary finds that adequate measures are not being taken by the State or other jurisdiction. The Secretary shall notify the appropriate official of the State or other jurisdiction before any action is taken in any such state or other jurisdiction pursuant to this subsection.
- (c) Notice to owner to quarantine or to dispose of animal, carcass, product, or article; action on failure to comply; costs
The Secretary in writing may order the owner of any animal, carcass, product, or article referred to in subsection (a) or (b) of this section, or the agent of such owner, to maintain in quarantine, and to dispose of such animal, carcass, product, or article in such manner as the Secretary may direct pursuant to authority vested in him by such subsections. If such owner or agent fails to do so after receipt of such notice, the Secretary may take action as authorized by said subsections (a) and (b) and recover from such owner or agent the reasonable costs of any care, handling, and disposal incurred by the Secretary in

connection therewith. Such costs shall not constitute a lien against the animals, carcasses, products, or articles involved. Costs collected under this section shall be credited to the current appropriation for carrying out animal disease control activities of the Department.

- (d) Compensation of owner; fair market value; payments from State or other source; availability of funds Except as provided in subsection (e) of this section, the Secretary shall compensate the owner of any animal, carcass, product, or article destroyed pursuant to the provisions of this section. Such compensation shall be based upon the fair market value as determined by the Secretary, of any such animal, carcass, product, or article at the time of the destruction thereof. Compensation paid any owner under this subsection shall not exceed the difference between any compensation received by such owner from a state or other source and such fair market value of the animal, carcass, product, or article. Funds in the Treasury available for carrying out animal disease control activities of the Department of Agriculture shall be used for carrying out this subsection.
- (e) Restriction on payment of compensation in cases of violation of law or regulation No such payment shall be made by the Secretary for any animal, carcass, product, or article which has been moved or handled by the owner thereof or his agent knowingly in violation of a law or regulation administered by the Secretary for the prevention of the interstate dissemination of the communicable disease, for which the animal, carcass, product, or article was destroyed or a law or regulation for the enforcement of which the Secretary enters or has entered into a cooperative agreement for the control and eradication of such disease, or for any animal which has moved into the United States contrary to such law or regulation administered by the Secretary for the prevention of the introduction of a communicable disease of livestock or poultry.

Attachment 2

Guidelines for Personal Protective Equipment (PPE)

Attachment 2: Personal Protective Equipment Guidelines for a Response to a Non-Human Infectious Disease Incident

Non-human infectious disease incidents may be classified into three general categories regarding risk of disease transmission to personnel involved in the response; an incident where the identity of the disease agent is unknown, an incident where the disease agent is identified but the zoonotic potential of the agent is unknown, and an incident where the disease agent is identified and it is a known zoonotic agent. For all three situations, the following basic PPE guidelines will apply:

- In all situations **Basic PPE** should be employed:
 - **Coveralls** – preferably disposables such as Tyvek that can be left on the premise.
 - **Boots** – either disposable boot covers that can be left on the premise or rubber boots or over boots (Tingley) that can be completely disinfected before leaving the premise.
 - **Gloves** – disposable surgical-type gloves.
 - **Head Covers** – surgical type hair nets or hoods.
 - **Eye Protection** – if splashing of potentially infected material is likely, safety glasses or face shields should be used.

In addition, the following guidelines apply to the categories listed above:

Disease Agent Unidentified

- **Basic PPE.**
- Face mask – minimum surgical type mask, N-95, or N-100 disposable mask.
- Eye Protection – safety glasses or face shield.

Disease Agent Identified/ Zoonotic Potential Unknown

- **Basic PPE.**
- Face mask – minimum surgical type mask, N-95, or N-100 disposable mask.
- Eye Protection – safety glasses or face shield.

Known Zoonotic Disease Agent Identified

- **Basic PPE.**
- Other equipment (face mask, eye protection) based on known mode(s) of transmission of the agent and level of risk.
- Known agents can be divided into three Risk Levels: Limited, Moderate and Serious. Table 1 shows the appropriate PPE for each Risk Level and examples of diseases that would fall into each category.

In all cases, responders should check with either the Office of the State Veterinarian, New York Department of Agriculture and Markets, and/or the Zoonoses Program Veterinarian, New York Department of Health for specific recommendations to fit the disease, animal, and situation.

The use of PPE must be balanced with safety considerations, particularly when working with large or dangerous animals, including freedom of movement, obstruction of vision and overheating during strenuous activity handling such animals.

Zoonotic Risk: LIMITED		Zoonotic Risk: MODERATE		Zoonotic Risk: SERIOUS
<ul style="list-style-type: none"> ▪ Respiratory protection (can range from none to N-95) ▪ Disposable Coveralls & boots ▪ Gloves ▪ Disinfectant 		<ul style="list-style-type: none"> ▪ Respiratory protection (N-95 to PAPR) ▪ Disposable Coveralls & boots ▪ Gloves ▪ Eye Protection ▪ Disinfectant ▪ Taped joints 		<ul style="list-style-type: none"> ▪ Respiratory protection (PAPR or SCBA) ▪ Double gloving ▪ Water-resistant disposable coveralls & boots ▪ Cut-resistant gloves ▪ Taped joints ▪ Cut resistant apron ▪ Disinfectant
<p style="text-align: center;"><u>Examples</u></p> <p>African Swine Fever Foot and Mouth Disease Pseudorabies Brucellosis BSE/CWD/Scrapie Low Path Avian Influenza Heartwater Rinderpest Exotic Newcastle Disease Classical Swine Fever Q-Fever Vesicular Stomatitis Rabies Food/Waterborne Agents Leptospira Chlamydia psittaci</p>		<p style="text-align: center;"><u>Examples</u></p> <p>Anthrax High Path Avian Influenza West Nile Virus EEE Hantavirus Monkeypox Virus Tularemia Plague Glanders Tuberculosis Herpes B Unknown Zoonoses</p>		<p style="text-align: center;"><u>Examples</u></p> <p>Hendra/Nipah Virus Rift Valley Fever Viral Hemorrhagic Fevers</p>
<i>Table 1. Zoonotic Risk Levels</i>				

New York State Comprehensive Emergency Management Plan

Emergency Support Function #7

Volunteer and Donations Management Appendix



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)	Completed by:
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Section I: General Considerations and Planning Guidelines

A. Introduction

It is accepted that during times of large-scale emergency events, public and private sector entities both from the affected area(s) and from outside of the affected area(s) are led by compassion to help those affected. Donations of goods, services, time, and financial donations should be anticipated and prepared for. While the type and quantity of supplies needed will vary by event, a process should be in place to prepare for the acceptance and distribution of human and material resources at the local, state, and federal response levels. Many non-governmental agencies utilize volunteers and donations on a day-to-day basis, and it is recognized that the State level guidance will not replace such individual agency efforts.

B. Purpose

The Volunteer and Donations Management Appendix is intended to coordinate the processes used by New York State Office of Emergency Management (State OEM) to ensure the most efficient and effective use of donated resources, including donations of goods, services, and/or financial donations. This is a cooperative effort among various state, county, and local governments, and non-governmental agencies to ensure that donated items are utilized and distributed in an efficient and effective manner. This Appendix will provide guidance and a process for the solicitation, receipt, and management of donated goods and services at the State level and will include the close coordination of State agencies to ensure the most effective use of items received.

C. Scope

The Volunteer and Donations Management Appendix will serve as a functional appendix to the Emergency Support Function (ESF) #7 Logistics Annex of the State Comprehensive Emergency Management Plan (CEMP) – Volume 2. As such, this Appendix:

- Will apply to all incidents that require volunteer and donations management in response to a disaster or emergency at a State level.
- This Appendix outlines the operating structure, duties, and responsibilities, and the pre-planning and facilities that are established for a volunteer and donations management organization. The concept of operations defines how federal, state, and local governments prepare in advance to establish an effective management system.
- The Volunteer and Donations Management Appendix describes the basic process for managing donated goods and services during a disaster. It identifies the basic assumptions of the management strategy, the concept of operations, planning considerations, and the roles and responsibilities of the major government agencies and volunteer and donations management organizations.
- New York State's volunteer and donations management goals are to provide victims of disasters with as much support as possible by effectively channeling offers and goods from the public.
- This document is intended to address State-level response activities related to volunteer and donations management and does not address individual non-governmental entities who routinely utilize volunteers and donations for response activities at an agency level.

D. Situation

Disaster response and short-term recovery activities begin and end at the local government level. The local government is responsible for coordinating and managing all response and short-term recovery activities and services. County and local government emergency management plans developed in

accordance with Executive Law Article 2-B outline the local government's response within its borders to ensure that all local resources are fully committed before requesting assistance from the State. At such time as a local government has exhausted local resources required to protect the population from further injury or devastation resulting from a disaster situation, the State CEMP may be activated. If the State is unable to coordinate volunteer and donations management activities, requests for assistance may be made through an Emergency Management Assistance Compact (EMAC) request or request through the Federal Emergency Management Agency (FEMA).

However well intended, volunteers and donations of goods that are not coordinated with the response activities can quickly become overwhelming. Donations of items can become an unnecessary obstacle when there are no plans for the receipt, storage, and/or distribution within the affected areas. Unnecessary or impractical items can also lead to concerns about appropriate disposal and waste. It has been documented that unsolicited donations and volunteers can have negative impacts if the items are unnecessary, inappropriate, and when the donations and volunteer efforts are not coordinated with the response activities, as indicated in the examples below.

- Following Hurricane Katrina in 2005, collection sites along the Gulf Coast area were inundated with unnecessary items that there were no distribution plans for. Truckloads of items were simply left on the side of the road, causing concerns about the removal of items that had been left in a hot, humid climate. Although well intentioned, these goods were damaged by the weather and ultimately disposed of as they were no longer useable.
- In December 2014, a mass shooting at the Sandy Hook Elementary School in Newtown, Connecticut left 28 dead and 2 injured, resulting in an inundation of approximately 67,000 donated teddy bears. Ultimately, a public request was made through the media that no additional donations be sent due to the lack of warehouse space.
- In 2015, wildfires in Lake County, California destroyed over 76,000 acres of land and displaced many from their homes. One local evacuation center received such an overabundance of unnecessary items that 18 semi-trailers were required to remove the unused donations.

As evidenced in the cases above, the receipt of unnecessary or inappropriate items, or the delivery of items that are not coordinated with the response efforts, can cause an unintentional burden on the affected area(s) and the responding agencies to sort and distribute the items, delegate the items to a community level agency, or dispose of items that are not able to be distributed.

E. Assumptions

State OEM has developed a strategy for collecting, managing, and distributing donated goods and volunteer services during a disaster, based on the assumptions below:

- The successful management of disaster commodities requires a united, cooperative, and coordinated effort by local, State, tribal, and Federal agencies, nongovernmental organizations, business and industry, public, and private institutions, and the public.
- There is a verified need for volunteers and successful recovery efforts in a community impacted by a disaster require a volunteer workforce to supplement traditional responder roles.

- Voluntary Organizations Active in Disasters (VOAD) groups must be collaborative and depend on one another for resources and referrals, therefore a strategic and coordinated distribution of volunteers is necessary.
- All volunteers must be screened as part of an on-going process. Screening is done by individual agencies/organizations to various degrees per individual agency/organization standards. The State assumes no responsibility or liability for volunteer screening activities.
- Large-scale/catastrophic disasters will likely overwhelm existing local and State resources, requiring the procurement of necessary items through additional avenues. The supplemental items may be procured through State and Federal government channels, and/or the private sector, filled through voluntary disaster donations, or both.
- New York State does not currently have any one entity that has the capability to oversee the volunteer and donations management activities. In a large-scale event, it is anticipated that these activities will be supported by a request from the State as an EMAC request or by a request to FEMA.
- The volunteer and donations management strategy must be flexible. State and local governments are ultimately responsible for the success of the volunteer and donations management system, including coordinating with the volunteer community, and may implement those parts of the Volunteer and Donations Management Appendix that meet the needs of the response and recovery operations.
- Full use of existing local resources to include private sector involvement and donations, should occur before State assistance is requested.
- Offers of assistance from citizens and the private sector will be made to all levels of government as well as to nongovernmental organizations (NGOs).
- In anticipation of a catastrophic incident, FEMA may elect to pre-stage disaster commodities at designated locations to ensure the rapid distribution of needed life-sustaining commodities to disaster survivors in the immediate aftermath of the incident.
- In the immediate aftermath of a catastrophic incident where there is a clear need for disaster commodities, FEMA may elect to deliver life-sustaining disaster commodities to designated locations for rapid distribution to disaster survivors.
- Federal government, international, and volunteer activities must always support the efforts of state and local governments, and existing volunteer and donations management networks or systems are a critical link to an effective program and should be used to the extent practicable.
- NGOs involved in the relief effort will coordinate their relief actions through the State Emergency Operations Center (EOC) or the local EOC. Such coordination is necessary to ensure maximum efficiency of the logistics management operation, and to ensure that the needs of the affected population are being adequately met.

- Unusable or inappropriate donations should be anticipated. Usable surplus commodities will be properly disposed of upon completion of response and recovery operations, or once the items are known to be unnecessary.
- Individuals and organizations will feel compelled to go to the disaster area to offer material goods and/or services. These activities may occur with or without coordination with an entity actively involved in the event.
- Close coordination with ESF #15 External Affairs will be necessary to publicize appropriate needs that will supplement operational response efforts and discourage unsolicited items.
- Offers of donations and volunteer services are typically managed at the local level.
- The State will only request and receive specific donations through an online portal, as identified by operational needs. Such items include Conex boxes, debris removal services, fuel cells, generators, light towers, special utility vehicles, sandbags, sheltering facilities, transportation services, traffic control equipment, trash pumps, and water.
- Unsolicited volunteers will be coordinated by local entities as needed.

F. Concept of Operations

During most events, the volunteer and donations strategy will be addressed within ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services. As the operational needs increase, ESF #7 Logistics and the EOC Manager may identify a need for a Volunteer and Donations Management element. Once this occurs, the Volunteer and Donations Management Team will be activated.

The State's management of donations encompasses two distinct sourcing pathways - pre-designated items and items being offered up that are not already pre-designated or sourced. Donations that are pre-designated are sourced immediately to the appropriate entity upon receipt. For non-pre-designated items, the State may use the assistance of federally designated vendors for intake and stage the items until a time when the resource is needed.

Initially, the State will make a request of State agencies and private entities to determine if the activities can be either managed by an agency or private entity, or if the responsibilities may be managed by a contracted source. It is anticipated that in large events, the State will make an EMAC request for assistance, and/or the State will request Federal assistance to ensure that volunteer and donations management activities are appropriately staffed and managed.

G. Volunteer and Donations Team Responsibilities

New York State does not micro-manage the process by which donations are collected. Volunteer organizations are considered the experienced primary receivers, managers, and distributors of donated goods and services. However, the State is ultimately responsible for managing disaster response and recovery, including donations, and it has the oversight responsibility to ensure that transportation routes are communicated, that its citizens receive every opportunity to recover, and that useful goods and materials donated out of generosity are matched with those in need and not wasted. A primary goal is to support the affected community in the short-term and delegate the donations function when the community can accept it. It is the State's intention to:

- Coordinate with involved agencies and volunteer organizations to determine those goods and donations most needed for disaster relief.
- Work with ESF# 15 to communicate clearly to the public that unsolicited goods or previously unaffiliated volunteers can overwhelm an already stressed infrastructure and create “the second disaster.”
- Publicize, in concert with involved agencies and volunteer organizations, the items and assistance needed and provide a hotline for those who wish to donate or volunteer, as appropriate.
- Facilitate a prompt response to donors and the prompt allocation of donated equipment, goods, services, and financial donations to the victims of the disaster.
- Where necessary and appropriate, train the affected government and/or a VOAD in anticipation of handing over volunteer and donations management responsibilities.

While a Volunteer and Donations Management Appendix is clearly needed for very large or catastrophic events, disasters of a lesser scope can also trigger an outpouring of donations that must be managed. This plan is designed primarily for large-scale disasters but is flexible and can be scaled back for moderate or smaller events that result in fewer donations.

H. Legal Authorities

This authority to develop this Appendix and implement specific response actions can be found in a variety of New York State laws, regulations, and federal authorities, including:

State

- NYS Executive Law, Article 2-B

Federal

- Public Law 93-288, as amended, the Robert T. Stafford Disaster Relief and Emergency Assistance Act
- National Response Framework (NRF), ESF #5 (Emergency Management), ESF #6 (Mass Care, Emergency Assistance, Housing, and Human Services Annex), ESF #7 (Logistics Management and Resource Support Annex), Private-Sector Coordination Annex, and Catastrophic Incident Annex
- FEMA Handbook: Public Assistance Applicant Handbook (323)
- 44 CFR: Emergency Management and Assistance (Parts 13 and 206)

I. Plan Evaluation, Maintenance, and Update

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, each plan shall undergo an annual review, update, and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also

be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

Section II: Preparedness

A. Planning

The State's Volunteer and Donations Management Appendix is active in each phase of emergency management - Mitigation, Preparedness, Response, and Recovery - as described below.

- Through ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services, agencies and volunteer organizations will collaborate to develop and maintain a list of available support services, including an inventory of warehouse facilities and their attributes.
- The NYS VOAD, in conjunction with the American Red Cross (ARC) will maintain a listing of active organizations, as well as the organizations capabilities in terms of both human and material resources.
- Adventists Community Services (ACS) maintains a regional network of community-based volunteers that are trained and prepared to provide volunteer and donations management assistance during a disaster or emergency.
- The Division of Homeland Security and Emergency Services (DHSES) will work with other State agencies to initiate a central 800 number telephone service for handling inquiries and donations at a statewide level, as required.
- DHSES will work with other agencies to establish procedures for accepting financial donations at a State level, as required. DHSES will determine on a case-by-case basis whether financial donations will be accepted or if callers will be encouraged to contact the relief organization or charity of their choice.
- When there is a Federal Declaration, DHSES will work with a federally authorized vendor to utilize the National Donations Management Network (NDMN) program to accept, direct, and track donated monies, goods, and volunteer services, although other entities may manage the various components. Information about these donations and offers will be provided to local, state, and federal government agencies and volunteers, as appropriate. If necessary, DHSES may work with the Office of Information Technology Services (ITS) for further database development and maintenance to aid in volunteer and donations management.
- DHSES and ACS will establish a policy for distributing those goods remaining after the relief effort ends and disposing of those that have no utility to the community or the State.

B. Training and Exercise

ACS maintains a regional network of community-based volunteers that are trained and prepared to provide donations management assistance during a disaster or emergency. ACS shall provide leadership and training for community-based volunteers to coordinate the flow of incoming undesignated goods.

The NYS VOAD hosts an annual conference for members, which encompasses information sharing, training, and networking opportunities to facilitate better communication and coordination among the VOAD members.

DHSES will attempt to test and exercise the Volunteer and Donations Management Appendix during statewide exercises when the opportunity to address an event of the magnitude that would warrant the activation of the Appendix arises.

C. Logistical Support

Logistical support needs will vary based upon the type and quantity of donations received, as well as the determination of whether volunteer services will be readily utilized. Warehouse space and support (i.e. forklift capabilities, pallet jacks, etc.) would be determined as identified by operational needs.

DHSES maintains multiple stockpile locations throughout the state. These stockpiles can be a resource for logistical support materials including but not limited to warehousing equipment and potential staging areas.

Section III: Response

A. Alert, Notification, and Activation

Upon receipt of notification of any emergency in the state, a determination will be made to activate the State Emergency Operations Center (State EOC). If warranted, the appropriate ESFs will be identified and requested to send a representative to State EOC.

The State EOC will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating the State EOC and associated ESFs. Not all incidents are the same, and not all activations will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF construct may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. These are:

- **Level 4 Enhanced Monitoring:** A small, isolated, or potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.
- **Level 3 Partial Activation:** An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.
- **Level 2 Full Activation:** An incident requiring full activation of the State EOC with ESF activation.
- **Level 1 Full State/Federal Response:** An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

B. Response Organization/Direction and Control

The overarching structure of State command and control will be organized as stated in the Volume 2 of the State CEMP, *Response and Short-Term Recovery*. The State will also be represented at the Joint Field Office (JFO), when established, to assist in the local/State/Federal coordination of Federal assets.

DHSES will determine activation and staffing levels based on the location, scale, and type of event and the ability of the affected community to manage donations.

C. Roles and Responsibilities

- State OEM and DHSES will implement the Volunteer and Donations Management Appendix, advise affected local and county governments, assist State agencies and the Federal government through established channels, and notify the volunteer community through the VOAD network.
- State agencies and local governments will play an active role in supporting the community through Volunteer and Donations Management. The role of State agencies and local government will be to leverage any existing warehouse space, personnel, or contracts to support the Volunteer and Donations Management operational needs.

- ACS shall provide leadership and training for community-based volunteers to coordinate the flow of incoming undesignated goods, provide management of a multi-agency warehouse, and supervise local volunteers and other staff in receiving, sorting, packing, and inventorying donated goods and services.
 - DHSES will place the Volunteer and Donations Team on stand-by depending on the location, scale, and type of event. The Volunteer and Donations Team Leader may begin to:
 - Establish the short and long-term staffing and support needs for a Volunteer and Donations operation and identify the roles and responsibilities of staff and other assisting agencies that may participate.
 - Coordinate with assisting agencies to identify warehouse space and staging areas available for donated goods and secure agreements, if necessary.
 - Search the database and inventories to identify on-hand goods or previous offers that may be useful in this event.
 - Coordinate with ESF #15 External Affairs to encourage the media to request that goods and services be held locally until further notice.
 - State OEM may activate an online donations management portal within the State OEM website when the need is determined in coordination with State OEM Executive Staff.
 - DHSES will initiate an 800 line and phone bank for donated goods and services, as needed.
 - The Volunteer and Donations Team will maintain continuous coordination and communication with all involved and assisting agencies and organizations to ensure a smooth flow of goods and services to stricken areas. Depending on the size and severity of the incident, daily or regular coordination meetings and/or conference calls may be necessary. During a federally declared disaster, the FEMA VOAD Coordinator and FEMA Donations Coordinator should become part of the Volunteer and Donations Coordination Team.
 - To the extent practicable, the Volunteer and Donations Team Coordinator will monitor news accounts and confer with the FEMA VOAD and Donations Coordinators and emergency managers in other states to anticipate the number and type of goods that may arrive and divert them to other parts of the state or country, where appropriate. This may require close coordination with ESF #15 External Affairs and issuing of press releases to educate the public about the challenges associated with unsolicited donations.
 - The Volunteer and Donations Team will prepare daily status reports that document the issues discussed in the conference calls and tracking the number of truckloads or pallets in and out of the warehouses.
 - The Volunteer and Donations Team will maintain records of all purchases, rentals, loans, and agreements to facilitate possible future reimbursement from FEMA.
- 1. National Voluntary Organizations Active in Disaster (NVOAD), New York State Voluntary Agencies Active in Disaster (VOAD), and Community Organizations Active in Disaster (COADs)**

NVOAD is the national consortium of recognized VOADs. Its mission is to provide a forum promoting cooperation, communication, coordination, and collaboration while fostering more effective delivery of services to communities affected by disaster. The NYS VOAD is chartered by NVOAD and collaborate in accordance with national precedents. The VOAD consists of organizations active in disaster response throughout the state. Many members are human services providers who seek to prepare for events that may impact their clients and stakeholders.

The VOAD's role is to bring organizations together and enable them to understand each other and work together during times of disaster preparedness, response, relief, and recovery.

Local COAD groups with national affiliations are especially helpful and can form the core of an effective Volunteer and Donations Management Team. There are more than 20 recognized agencies, with decades of experience, using volunteers in emergency response and recovery. Each agency has established procedures for managing, recruiting, training, and utilizing volunteers and common among them are systems which may include written enrollment, liability arrangements, formal training programs, command and supervision, and reserves planning and organization.

The State's policy is to encourage the use of voluntary agencies that have a method to screen and track volunteers, including previously unaffiliated volunteers, to document liability. The State may request a letter from each voluntary agency/organization, documenting liability coverage for all volunteers. The Volunteer and Donations Team should be familiar with the State's Good Samaritan Law and applicable volunteer liability laws.

It is the State's policy that VOADs bringing donated goods into the disaster area or accepting donations are responsible for:

- Accepting only donations needed, or for which they have an identified use.
- Securing warehouses and distribution centers for agency/VOAD usage.
- Off-loading, sorting, repackaging, storing, and distributing any donations accepted by the VOAD.
- Informing the State of any needs and unexpected shortfalls they experience.
- Redistribution or disposal of any items donated to the agency which are deemed unusable during and after the response and recovery efforts.

2. Networking with Local Government Agencies

It is the State's policy to support and assist local government, when requested and as appropriate. The local government's role, based on available resources, is to:

- Assist the VOADs in reporting the needs to the Volunteer and Donations Team.
- Assist with security at local distribution centers.
- Communicate with community-level initiatives.
- Inform Volunteer and Donations Team of volunteer or donations challenges in the field.

3. Federal Emergency Management Agency (FEMA)

The federal government's role is to assist the State with additional Federal resources, to facilitate coordination among the State and the VOADs, and to discourage unsolicited donations that are not coordinated with the response efforts. Specifically, FEMA's role is to support the State, as requested and required, by:

- Assessing existing/proposed warehouses and other operational facilities, helping to establish a volunteer and donations management system after disaster strikes, and supporting the Disaster Field Office volunteer and donations coordination team.
- Providing technical assistance, managerial support, enhanced voluntary agency coordination, donations intelligence, facility support, and support for international donations.
- Communicating and reinforcing to the public through the media the donations policy of state government, FEMA, and NVOAD to avoid inappropriate appeals of goods and services.

4. Volunteer Resource Types

It is vital to recognize that various types of volunteer efforts, based upon previous affiliation status, licensing requirements, and screening, should be approached and managed in different ways. Most resources will be addressed under one of the following groupings:

- **Professional:** This group includes emergency personnel and professionally licensed/certified individuals. If arriving from outside of the affected area, they may be attached to emergency operations in their home regions. Confirmation of required license or certifications are the responsibility of the agency utilizing the individuals. Often regulatory agencies within the affected area may waive or relax local certification requirements when there is a need for professional skill sets.
- **Traditional Affiliated:** These volunteers are attached to a recognized voluntary agency. They are pretrained for disaster response by the agency with which they are affiliated and form the core cadre for paraprofessional and nonprofessional volunteers. They are typically prescreened and will not require additional State resources in order for their skills to be utilized by an individual agency. Typically, these individuals are already coordinated by the affiliated agency and assimilated into the individual agency's response and recovery efforts.
- **Spontaneous Personnel Arriving from Within the Affected Area:** Living in the affected area, these volunteers feel motivated by a degree of community ownership. They have no association or previous affiliation with recognized voluntary agencies and may have no formal training in disaster-related operations or relevant skill sets. These individuals will require additional screening and training efforts.
- **Spontaneous Personnel Arriving from Outside the Affected Area:** These volunteers are not from the impacted area and have no prior affiliation with recognized voluntary agencies. They may or may not have relevant skills and may arrive as individuals or in groups. Often these are grassroots efforts which will require screening, training, and coordination within established outlets to ensure efforts are coordinated and consistent with the goals of the response and recovery operations.

5. Staffing for Small-Scale Events

These events are small, limited, or localized in nature. It is anticipated that volunteer and donations activities will be coordinated through ESF #6 Mass Care, Emergency Assistance, Housing and Human Services and will not require additional State support.

6. Staffing for Large-Scale Events

These events occur when a State and/or Federal disaster declaration is likely. Volunteer and donations activity could be significant but may not require the activation of all components of this Appendix, and some functions may be combined.

- ESF #7 Logistics leadership, in coordination with the EOC Manager, will determine appropriate staffing levels based on the Volunteer and Donations Team Leader's reports regarding donations activity and staff, space, and other identified requirements. The Volunteer and Donations Team Leader will manage the donations function in proximity to ESF #6 Mass Care, Emergency Assistance, Housing and Human Services, with the following additional staff added for support, as necessary:
 - Phone Operator/Data Entry: answer calls and inputs data regarding offers or canvasses volunteers and agencies regarding the need for donations, assists in compiling status reports for State OEM and other agencies.
 - Coordinator/Logistician: If activity levels warrant, supervises phone and data functions and oversees coordination between donors and receiving agencies or organizations and coordinates with local, county, state, and federal government agencies, and other emergency management, private, voluntary, and support organizations.

7. Staffing for Catastrophic Events

Catastrophic events are anticipated to generate significant media attention or public interest. Volunteers and donations can be overwhelming and may not correspond to the needs of the victims or the community. This plan is generally written to manage the donations triggered by events of this magnitude.

Catastrophic events will require full implementation of the Volunteer and Donations Management Appendix and full activation of the Volunteer and Donations Team, warehouses facilities, a dedicated 1-800 phone line, and a volunteers and donations database system. The Volunteer and Donations Team is responsible for integrating volunteer and donations management into the larger local, state, and federal disaster relief effort.

During a catastrophic event, the Volunteer and Donations Team operates from the State EOC. State EOC staff will manage all requests for assistance, provide resources, track damage and fatality reports, and issue public statements.

ESF #7 Logistics will determine appropriate staffing levels based on the Volunteer and Donations Team Leader's reports regarding donations activity and staff, space, and other requirements. Staffing for Catastrophic Events may include:

- **Volunteer and Donations Team Leader:** a designated staff person who oversees all volunteer and donations efforts. This person may have other duties when there is no event to respond to, but should have knowledge of local, state, and federal emergency management systems, as well as the services and capabilities of a variety of volunteer and social service

agencies. During the activation of the State EOC, the Leader will serve as the Volunteer and Donations Team's liaison. The Volunteer and Donations Team Leader will:

- Represent the Team in all State EOC coordination issues and speak on behalf of volunteer and donations policies in all State OEM decisions.
 - Communicate all policy decisions to the Team and communicate the Team's needs to the State EOC staff.
 - Coordinate with ESF #6, the FEMA Donations Coordinator, the Statewide Volunteer Coordinator, and VOADs.
 - Provide ESF #15 External Affairs with information appropriate for news releases.
- **Phone Bank Group:** The Phone Bank Group will consist of phones and operators whose numbers will depend on the magnitude of the disaster and the available facilities. There should be a separate 800 line dedicated to incoming donations calls to facilitate their tasks.
 - **Coordination Group:** serves as point of contact for requests from ESF #7 and VOAD groups, maintains record of donations and needs referrals, and makes connections or referrals to fulfill those requests. The Group will match a donation of goods and/or services with an existing need or anticipated need or refer a donation to another area or state where it can be used. The State should determine on an event-by-event basis the policy for donations of goods for which there is no identified need.
 - The Coordination Group will liaison with State OEM Operations, any State warehouse, or staging facilities, involved VOADs, and representatives of State and Federal agencies, including FEMA. The Coordination Group may include the positions below:
 - **Supervisor:** oversees the Warehouse, IT, and Volunteer Coordinators.
 - **Warehouse Coordinator:** responsible for ensuring the smooth operation of the warehouse or staging facilities.
 - **Information Technology (IT) Coordinator:** oversees IT issues and liaisons with the ITS.
 - **Volunteer Coordinator:** manages donated volunteer labor.
 - The Coordination Group may also include representatives of the VOADs who give advice, perform tasks, or both. The Group should conduct regular meetings or a daily conference call to discuss donations and volunteer issues, strategies, and new ideas and to anticipate potential problems.
 - **Financial Donations Group:** serves as point of referral for callers offering financial donations and should consist of representatives of the State agencies accepting financial donations contributions. This may be contained within the Phone Bank Group. Callers who identify a specific volunteer organization for financial donations will be referred directly to that group. Callers with no preference will be provided a list of volunteer organizations accepting financial donations.
 - **Support Group:** provides or coordinates all logistic, technical, administrative, and security assistance for the Donations Team for the warehouse and staging areas. The size and specific functions of this group will depend on the needs of the team and the size and scope of the disaster.

8. Volunteer and Donations Team Facilities for Catastrophic Events

The number and type of facilities will be determined by the location, scale, and type of event and the ability of the affected community to manage donations, and may include:

- **Volunteer and Donations Coordination Center:** will be located at the State EOC, with the possibility of a Disaster Field Office (DFO) presence for large-scale or prolonged events. It serves as the central location for the Donations Team and supports the functions of the staff, participating volunteer groups, and the State and FEMA volunteer and donations coordinators. The Volunteer and Donations Center functions as the central point of direction and control.
- **Phone Bank Center:** will be located at an existing 800 phone facility for most events and will take advantage of that facility's equipment, its staff, and their training to expedite implementation.
- **Warehouse:** will be located outside of the immediate disaster area to keep the anticipated traffic congestion in the disaster area to a minimum, and should be located close to highways, air, rail, and water transport routes when possible.
 - Depending on the scale of the event and the anticipated and duration of the warehouse function, the Volunteer and Donations Team may want to consider the access to local labor sources and the availability of parking, shuttle buses, and feeding for warehouse staff. The site should have a first aid station and a Safety Officer responsible for monitoring all activities, including those involving heavy equipment. Adequate sanitation facilities for volunteers and staff are required.
 - Waste disposal operations and procedures should be defined since there may be considerable amounts of cardboard, paper, metal, and spoiled or unsafe containers of goods that require proper disposal.
 - The warehouse's organizational structure will reflect the Incident Command System (ICS) whereby operations, logistics, planning, and finances are separate functions so that all personnel may enter the system at any time and be familiar with the organizational structure.
- **Local Distribution Center:** may be a church, community-based organization, or volunteer agency facility, or a local, state, or federal government site from which goods are dispersed directly to disaster victims or service agencies.

9. Other Factors for Consideration

While others in the organization may have primary responsibility for the items below, the Volunteer and Donations Team Leader should be cognizant of them, understand their importance, and be prepared to assist others with collecting information or maintaining records relating to them.

- **Risk Management:** The Volunteer and Donations Team will comply with State and local laws and understand how flexibility in these laws can be used to support the operations. Subjects such as insurance, medical coverage, bonding of workers, worker safety, workmen's compensation, and other liability issues should be addressed. Similarly, local or State laws applicable to disposal of waste, sanitation facilities on site, feeding facilities on site, storage of food and hazardous materials on site, and child labor practices should be made available to all risk management staff and followed appropriately.

- **Security:** Prepare for security of all personnel and each donations management facility. Each facility is likely to be a 24-hour operation and will require appropriate security. Special security for certain incoming goods such as medicines and syringes, hazardous materials, and firearms may be necessary.
- **Awareness of the Affected Community:** To appropriately gather intelligence and inform the affected community through the use of appropriate communication mechanisms (e.g., faith-based centers, established community programs, and leaders). All volunteers should be oriented to the area, particularly addressing guidance to respect local customs, sensitivities, and religious traditions. All materials used for volunteer intake should be translated into multiple languages based upon the local population.
- **Local Economy Impacts:** One goal of disaster relief and recovery is the restoration of the local economy. Care must be taken to ensure relief contributions do not impede local economic recovery. Where possible and practical, purchases should be made from local vendors, thereby boosting local economy recovery efforts. Large quantities of donated goods purchased outside of the affected area can potentially have a negative impact on local businesses as they attempt to reopen and recover.
- **Environmental Impacts:** Disposal of donated goods and environmental concerns must be considered in establishing a Donations Center. Disposal of some items may require a contract with a hazardous material company. In isolated situations, a request for waiver of a specific law may be necessary. Center managers must be familiar with local and state requirements and remain aware of environmental cleanup work that remains after the response phase has ended.
- **Accountability:** Accountability is key. While a record of goods dispatched on a daily basis to the disaster area should be maintained, it is understood that perfect accountability of goods may not be possible in situations where there is high volume flow in and out. The top priority is always to immediately deliver critically needed items to the disaster area.

10. Financial Donations

There are many advantages to making financial donations to aid relief efforts. Financial donations allow agencies meet the precise needs of the disaster victims in the community and supports the reestablishment of local economy by purchasing items in or near the affected area(s) when possible. Sending financial donations rather than truckloads of goods avoids the labor-intensive logistical tasks such as offloading goods, sorting, storing, repacking, and reshipping the goods, and avoids the financial costs associated with shipping.

Consistent with one of the most important underlying principles in donations management, the government role is to support, strengthen, and build upon the existing network or capacity of the VOADs response and recovery. Donors contacting a government sponsored phone bank should be given a list of the well-established voluntary organizations that are confirmed to be fully involved in the disaster operation, to ensure that donors may support the agency or activities of their choice.

The State may accept financial donations in a fund strictly for disaster response and recovery, when directed to do so by the Governor. It should be clearly stated that not all disaster events will require a disaster and recovery fund. If activated, it is imperative that there is a documented plan for accounting, distribution, and accountability to occur. It should be considered that the development of a State fund for disaster relief may compete directly with the efforts of the traditional voluntary

agencies which depend largely on donations of all kinds from the public and will typically only be activated in large-scale or catastrophic events.

11. Warehouse Considerations

The facility should include a staging area for trucks ready to unload, and for staff to inspect the cargo to determine the requirements and strategy for unloading. It will be critical to maintain an inventory listing of available goods at each center so that the Volunteer and Donations Coordination Team can match the goods with requests from the affected community.

Locked and secured areas will be needed for controlled items like medicines, syringes, and firearms, and hazardous substances like paint and chemicals. In some circumstances, refrigeration may be a requirement. The coordination of an appropriate warehouse location will be dependent upon the type of goods received and the anticipated storage needs, taking into consideration any special storage requirements that may exist.

Section IV: Recovery/Demobilization

A. Overview

Dependent on the type of destruction and damage caused to the communities and individuals, the response may be short-lived or could extend for a prolonged period of time, perhaps even years. Regardless of the extent of damage, the State of New York will strive to assist local governments, businesses, and citizens in recovering from the impacts of any emergency.

A variety of forces may influence the direction of the recovery process. Considerations that must be analyzed for an effective response and prompt recovery include the safety of responders, repair and reopening of critical transportation routes, remoteness of areas, and the needs and requirements for the restoration of utility systems. As the response begins to transition from the response phase to the recovery phase, the focus begins to shift to rebuilding a community and demobilizing State response activities and resources. The recovery process typically includes both short-term and long-term actions that can be taken restore a community to a state of self-sustainment.

During the recovery process, the Volunteer and Donations Management activities will continue and the need for such activities may increase. As individuals begin to return to the affected area(s), the cleanup and rebuilding of homes and community can continue indefinitely as the community as a whole begins to define a new sense of normal. It is during this time that volunteer activities may commonly be coordinated to provide direct assistance to those affected, particularly in terms of manual and skilled labor including activities such as cleaning up debris or repairing existing structures.

B. Demobilization of the State Response

Demobilization is the downsizing of the State's role in the donated goods and services operation, which should be shorter than the involvement of the voluntary agencies. Demobilization involves the State reducing and ultimately transitioning activities and support in terms of facilities, coordination, and other activities that can be transitioned to the affected local government or a voluntary agency group. State demobilization should begin once the affected volunteer groups are able to handle the flow of goods and services, and the affected local government has the capacity to oversee all aspects of the donations management program. Ultimately, the State decides when to demobilize or reduce its support and will do so with input from other involved entities to determine the most appropriate time and plan for the transition of responsibilities.

During the demobilization of State support, outgoing personnel should receive a safety briefing, particularly addressing any items that they may have been exposed to and the long-term effects, if applicable. During the briefing, information regarding challenges and lessons learned should be gathered for future updates to planning efforts as appropriate, and a report should be made to ESF #7 to ensure that all information is gathered and shared appropriately.

Multiple steps are taken during the demobilization of State-level assets. If EMAC has been activated, the personnel and equipment associated should be released from the response activities. Volunteers should be debriefed and released from their responsibilities. Facilities used during the response phase should be returned to pre-event conditions and turned back over to the owner.

Upon demobilization, it should be anticipated that there may be donated or perishable items that should be disposed of appropriately. Items may be turned over to local government for ongoing recovery activities. Every effort should be made to provide any surplus of donated perishable items to local food pantries or other non-profits that can quickly utilize such commodities.

New York State
Comprehensive Emergency Management
Plan

EMERGENCY SUPPORT FUNCTION #6
MASS CARE, EMERGENCY ASSISTANCE, HOUSING,
AND HUMAN SERVICES ANNEX

Mass Care Appendix



Disaster Preparedness
Commission

Prepared by the New York State Disaster Preparedness
Commission

March 2021

Plan Revision History/Record of Distribution

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1999-2017	Human Services Branch Annex/ Mass Care Appendix		Human Services Branch
2018	Incorporate ESF Construct	All, as warranted	OEM Planning
2019	Update Plan Components with EMAP Standards, updated Agency information in Attachments	All, as warranted	OEM Planning
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Executive Summary/Policy

The mission of the State of New York, the Disaster Preparedness Commission (DPC), and Emergency Support Function (ESF) #6 are to provide leadership, coordination, and support for efforts to prepare for, respond to, and recover from incidents that require a State mass care response. ESF #6 consists of 16 DPC agencies, as well as numerous non-DPC agencies and Non-Governmental Organizations (NGOs), which function under a hierarchical management structure. In times of disaster, State agencies will be used to augment local resources by providing and administering programs with the focus of responding quickly and compassionately to the needs of disaster survivors.

Comprehensive Approach

At the State level, coordinating the delivery of mass care, emergency assistance, housing, and human services are vital roles in the State's response. The objective of ESF #6 and the Mass Care Appendix is to minimize the impact of disasters on populations by quickly and efficiently providing comprehensive services through the integration of the Whole Community approach, therefore maintaining the focus on individual preparedness and community engagement to enhance resiliency.

Management Responsibilities and Authority

Disasters have the potential to exhaust resources at the local level, which warrants support from the State to effectively respond to the event. Local government mass care resources will likely be overwhelmed, and the State may need to provide additional assistance to support local efforts, including sheltering for all populations, feeding, bulk distribution of relief items, and family reunification. Federal assistance may be required to augment local and State efforts in providing mass care relief, as the need for assistance may surpass both local and State resources.

Section I: General Considerations and Planning Guidelines

1. Introduction

The State of New York experiences a wide variety of disasters and emergencies that may result in loss of life, damage, destruction of property, and negatively affect community members. Potential community disasters can be a result of natural or human-caused emergencies which pose challenges in sheltering, feeding, family reunification, and distributing emergency supplies to people who have been impacted by an emergency or disaster. Disasters have the potential to exhaust resources at the local level and warrant support from the State, or possibly the Federal government, to effectively respond to the event. At the State level, coordinating mass care operations include sheltering, feeding, distribution of emergency supplies, and family reunification. This Mass Care Appendix is intended to provide information, guidance, and a process for coordinating available State, Federal, and NGO resources to support local mass care operations through the response and recovery phases.

2. 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

The purpose of the State 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. The State CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other functional and hazard-specific annexes are built upon. These annexes address a broad range of consequences to respond to the State's highest rated hazards and include ESF #6. This is an Appendix to the ESF #6 Functional Annex.

The purpose of this Appendix is to ensure that ESF #6 can adequately prepare for and provide mass care support to an affected population; inclusive of life-sustaining and human services resources such as hydration, feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergencies supplies. Further, this Appendix identifies the key mechanisms in coordinating with the local response and identifies the lines of coordination to interoperate with the Federal ESF #6 via the National Response Framework (NRF).

3. Scope

This Appendix applies to any incident that warrants mass care support from the State of New York. This Appendix applies to ESF #6 and authorities that may be directed to respond to such

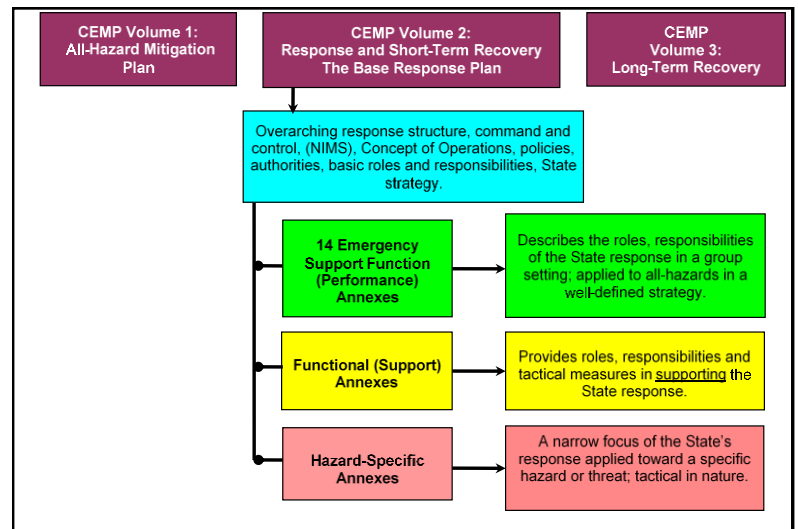


Figure 1: Structure of the State Comprehensive Emergency Management Plan

an incident. Response operations requiring mass care resources will encompass the efforts identified in this appendix and utilize existing state capabilities. Further, this Appendix acknowledges that local and State ESF #6 response capabilities and this plan may be exceeded, necessitating the use of Federal ESF #6 agencies and resources.

4. Situation

New York State experiences many natural and human caused disasters annually. From coastal storms, flooding, winter storms, or pandemics, the State must be prepared to respond to assist with mass care operations when local government mass care resources are overwhelmed. Over 19 million people reside in New York State, with many demographic profiles spanning both rural and urban areas of the State. The State, and/or the Federal government, depending on the severity and scope on the incident(s), may need to provide additional assistance to support local efforts, including sheltering for all populations, feeding, bulk distribution of relief items, and family reunification.

Past events in the State of New York have required large-scale mass care operations. These events have become lessons and examples on how to improve response and recovery efforts for future incidents.

- On September 11, 2001, a series of coordinated terrorist attacks occurred throughout the United States. Two hijacked planes crashed into the North and South towers of the World Trade Center in Manhattan, resulting in the towers collapse. The toxic chemical cloud and dust from the collapse and burning at ground zero became a major decontamination concern of hospitals and shelters for potential victims.
- In June 2006, storms and flooding in Central and Southeastern New York resulted in significant power outages, destruction of hundreds of homes, evacuations of thousands of residents, and the closure of hundreds of miles of roadways.
- In August 2007, severe storms and tornadoes caused more than three inches of rain within a few hours in New York City and Staten Island, with tornadoes recorded in Brooklyn and Staten Island.
- In 2011, Hurricane Irene resulted in power outages in almost 640,000 homes and business in NYC, with approximately 3 million people without electricity in New York and Connecticut.
- Within one week of Hurricane Irene, Tropical Storm Lee hit New York State. Between the two storms, 198 shelters housed 18,000 citizens.
- During Tropical Storm Lee, over 20,000 residents were forced to evacuate Broome County.
- As a result of Hurricane Irene, several streams and rivers overflowed in Schoharie County, leaving over 1,000 residents displaced and public infrastructure destroyed. Schoharie County then sustained further damage a week later from Tropical Storm Lee. Flooding occurred again in 2013, where the school was cut off from transportation routes due to impassible roads. School children were sheltered in place in the school until it was safe.
- During Superstorm Sandy in 2012, fire stations and other public buildings became last resort shelters, with firefighters tasked to manage the shelters and provide mass care support in poorly equipped facilities for mass care needs or comfort while attempting to perform their first responder duties. Some facilities were too crowded or lacked basic services such as electricity, water, and sewer. Other facilities were within the flooded areas and needed to be evacuated, causing the loss of materials and resources.

- In October 2012, Superstorm Sandy displaced hundreds of thousands of people across New York State. The American Red Cross (ARC) provided more than 74,000 overnight stays in ARC shelters, 17 million meals and snacks, and delivered food, blankets, health care, emotional support, and critical relief supplies throughout the Greater New York region.
- In November 2014, heavy, wet lake effect snow in Western New York caused thousands of trees and powerlines to break and fall resulting in homes and business being without power for days, forcing hundreds of people to seek emergency shelter. Fire departments and police departments became last resort shelters. The combined 7 feet of snow, as a result of two storms, led to abandoned vehicles, thousands of stranded motorists, food and gas shortages, accounts of looting, and at least 13 deaths.
- A Halloween storm in 2019 dropped record-breaking rain across Western, Northern, and Upstate New York causing widespread flooding, while high winds knocked out power to over 200,000 residents. Several residents had to be evacuated from their homes and cleanup activities took several weeks.
- During the pandemic response to Novel Coronavirus COVID-19 in 2020, the need for non-congregate sheltering was considered. Many State and local partners worked with the State and Federal government to identify surge locations in the event non-congregate sheltering was required. It was determined that any shelter site can undergo augmentation, to include ensuring appropriate social distancing, sanitizing, temperature checks, etc.

Disasters are inclusive of diversity, affecting persons regardless of race, religious beliefs, ethnicity, age, gender, physical abilities, political beliefs, or socio-economic status. Additional social or physical barriers may exist for people that are considered at-risk populations. This includes individuals or groups whose needs are not fully addressed by traditional service providers or who feel they cannot comfortably or safely use the standard resources offered during preparedness, response, and recovery efforts. The Emergency Management Accreditation Program 2016 definitions identified at-risk groups to include people who are physically or mentally disabled (e.g., blind, deaf, hard-of-hearing, have learning disabilities, mental illness and/or mobility limitations), people with limited English language skills, individuals who are geographically and/or culturally isolated, people who are homeless, senior citizens, and/or children.

5. Planning Assumptions

- The identification, activation, operation, and demobilization of temporary emergency shelters in response to an emergency or disaster are primarily the responsibility of each county and local officials working in partnership with the ARC.
- Local government mass care resources will likely be overwhelmed, and the State may need to provide additional assistance to support local efforts, including sheltering for all populations, feeding, bulk distribution of relief items, and family reunification.
- Federal assistance may be required to augment local and State efforts in providing mass care relief, as the need for assistance may surpass both local and State resources.
- Based on the severity of the emergency or event, delays may occur at all levels of government in obtaining resources and supplies to support local sheltering and mass care operations.
- Should pre-designated local disaster shelter sites be destroyed or become inoperable by the disaster, alternate shelter sites will be identified that may need to be located outside the impacted area.

- Many pre-existing shelter facilities are public school buildings or community centers that are most readily accessible to populations within those communities. Facilities designated as shelters may or may not be equipped with an emergency generator to provide power to critical building systems.
- Shelters and other facilities utilized in mass care activities will be required to be compliant with the Americans with Disabilities Act (ADA) and meet the needs of individuals with Access and Functional Needs (AFN). Individuals and families may have specific needs which may not be immediately apparent or recognized at the time of the emergency, such as specific dietary needs, conditions that affect communication, limited English proficiency, disabilities, or chronic medical conditions that require a need to coordinate with ESF #8 to support medical or mental health needs. Most individuals with AFN, including individuals with disabilities, can be supported in a general population shelter environment through provision of materials.
- During an emergency, spontaneous and unanticipated shelters and/or feeding sites may open. The State will work with these local and not-for-profit partners to promote ADA-compliance. Spontaneous sites may not have adequate resources to sustain operations and request assistance through county or State resources.
- The State will work with local and not-for-profit partners to promote ADA-compliance. Upon arrival at the shelter, support and any additional resources (equipment, services, personnel, etc.) will be identified for populations with AFN to maintain health, safety, and independence.
- Family reunification activities may be necessary should family members become separated or should unaccompanied minors arrive at shelters or other service sites.
- Persons arriving at shelters may arrive with their service animals and/or domestic/companion pets. County government has the general responsibility for developing the capacity to provide appropriate veterinary/companion animal sheltering services during an emergency situation, with coordination from ESF #11.
- Person arriving at shelters may have been exposed to chemical, biological, radiological, or nuclear materials. Appropriate decontamination/treatment of individuals and pets may need to be addressed prior to entrance. Coordination may be needed with other ESFs, such as ESFs #4, 8, 10, and 11.
- Adequate food, water, sewer systems, and emergency supplies might not be available. It is the responsibility of the meal site to communicate what physical resources are available at that site. Food requirements will be identified by availability/delivery/consumption method. Congregate feeding sites or mobile feeding routes may need to be identified.
- Security may be required to support shelters and/or recovery centers, requiring coordination with ESF #13.
- ESF #6 will work with ESF #8 for recommended guidance for internal and external cleaning/disinfecting of shelter facilities, including any transportation to/from the shelter, to limit the spread of disease.
- There may be limitations to the types and availability of shelters. Congregate and non-congregate sheltering options may need augmentation for social distancing and spacing restrictions.
- Mass care response activities will continue until shelters are shut down when people either go home or transition to temporary housing.
- Mass care response activities may transition to recovery activities as the needs may change as people begin to repair the damage from the incident.

6. Concept of Operations

The concept of operations listed below is based on incidents that occur and warrants a response from the State. It follows the concept of a credible worst-case scenario of a significant disaster that initiates a mass care response.

- An incident occurs that warrants the activation of the State Emergency Operations Center (EOC) and has a potential mass care response.
- The identification, activation, and operation of temporary emergency shelters in response to an emergency is primarily the responsibility of county and local officials working in partnership with the ARC.
- State Office of Emergency Management (State OEM) will notify other appropriate DPC agency representatives, which may include the activation of ESF #6.
- If conditions warrant the activation of ESF #6, ESF #6 will augment local resources by providing food and shelter, temporary housing, family reunification, counseling and information services, links to financial assistance, distribution of emergency supplies, and/or support for unmet needs.
- The Governor could exercise his/her authority in declaring a State Disaster Emergency. In doing so, the Governor may direct any and all State agencies, including non-DPC agencies, to provide assistance under the coordination of the DPC.
- The State OEM will coordinate with the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) and other Federal agencies, as needed, and will coordinate with Federal ESF #6, as needed.
- Mass care response activities may transition to short or long-term recovery activities, or mitigation measures may be identified to reduce the impacts of future incidents.

7. Authorities or Policies

The authority to develop this Appendix and implement specific response actions to effectively respond to mass care needs can be found in a variety of New York State Laws, regulations, and Federal authorities, including but not limited to:

State Authorities

- NYS Executive Law – Article 2-B State and Local Natural and Man-made Disaster Preparedness
 - Section 21 State Disaster Preparedness Commission; powers a
 - Section 25 Use of Local Government Resources in a Disaster
 - Section 28 State Declaration of a Disaster Emergency
- NYS Executive Law – Article 18 NYS Uniform Fire Prevention and Building Code Act
- NYS Executive Law – Article 22 Office of Victim Services
- NYS Executive Law – Article 23 Fair Treatment Standards for Crime Victims
- 9 NYCRR 525 Practice and Procedure before the Office of Victim Services
- 18 NYCRR 491 Shelter for Adults
- 18 NYCRR 900 Shelter for Families
- 18 NYCRR 485 General Provisions
- 18 NYCRR 352.3 Rent Allowances
- Executive Order #26 of 1996 and #26.1 of 2006 as amended (NYS Adoption of the Incident Command System)
- NYS Civil Rights Law - Ag&Mkts 353B Appropriate shelter for dogs left outdoors

Federal Authorities

- The National Emergencies Act
- Section 319 of the Public Health Service Act
- Section 1135 of the Social Security Act
- Homeland Security Presidential Directive 5 (HSPD-5)
- Americans with Disabilities Act of 1990
- The Sandy Recovery Improvement Act of 2013
- 7 USC 2131-2156 Animal Welfare Act
- 42 USC Code 3001 Congressional declaration of objectives
- 42 USC Code 68 Disaster relief
- 42 USC Code 5151 Nondiscrimination in disaster assistance
- 42 USC Code 5177 Unemployment assistance
- 42 USC Code 5189(a) Appeals of assistance decisions
- 42 USC Code 10601 Crime victims fund
- 42 USC 5152, sec 309 (a) and (b) (Federally recognizes the Salvation Army as a Disaster Relief Organization)
- 2006 PETS Act
- Victims of Crime Act (VOCA) guidelines
- Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288
- Code of Federal Regulations, 20 CFR, Part 625 Disaster unemployment assistance
- Code of Federal Regulations, 44 CFR Emergency management and assistance
- National Disaster Recovery Framework (NDRF)
- National Response Framework (NRF)

8. Appendix Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, each plan shall undergo an annual review, update, and be posted online (if applicable) no later than March 31 of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

Section II: Preparedness

1. Mitigation

Volume 1 of the State CEMP is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to substantially impact the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State. CEMP Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The *State Multi-Hazard Mitigation Plan* was Federally approved by DHS/FEMA in December 2018. Each county has a FEMA-approved hazard mitigation plan.

2. Planning and Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of these ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York and New York City. Counties also participate in their own CEPA to help understand their risks. CEPA provides great insight as to the State's risk profile from a local level perspective. The CEPA does address each county's response capabilities for mass care and sheltering.

3. Testing, Training, and Exercising

The State of New York sponsors and conducts a variety of training to improve response capability. This includes varying levels of training in the Incident Command System (ICS) and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements. Additionally, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline. The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes. As a point of reference, the planning process that resulted in the creation of all of the State's ESF annexes included an exercise component. Agencies may conduct additional training on their own.

4. After Action Reports (AAR) and Corrective Actions Programs (CAP)

Following an exercise or an actual event, an After-Action Report (AAR) should be completed by all staff involved in the event. The information gathered in the AAR will provide insight into future refinement of this appendix. AARs will be completed as soon as possible following any relevant exercise and will be facilitated by the State OEM for plan updates, ideally at the end of the

exercise. The AAR should be completed as soon as possible following the of deactivation of the State EOC. For example, in response to the Halloween storms and flooding in 2019, State OEM coordinated an AAR with all staff and agencies involved, resulting in a Corrective Action Program initiated by State OEM.

5. Stockpiles, Supplies, or Specialized Equipment

In order for stockpiles, supplies, or specialized equipment to be assigned to a mission, a mission request needs to be put into New York Responds or by calling the State Watch Center. The mission is dependent on approval from OEM Executive and/or the State Chamber. It should be noted that upon assignment, staff is not deployed with equipment unless expressly stated. ESF #6 agencies have stockpiles, supplies, resources, and/or specialized equipment that directly support this ESF in the areas of statewide sheltering, statewide congregate and mobile feeding capability, family reunification, and distribution of emergency supplies.

6. Memorandums of Understanding (MOUs) and Letters of Agreement (LOAs)

The MOU with ARC/State is in the process of renewal.

The Salvation Army is specifically identified in The Stafford Act (42 USC 5152) as a Federally Recognized Disaster Relief Organization and has National Level MOUs in place with FEMA, the American Red Cross, National VOAD, Southern Baptist Convention, ARRL, America's Second Harvest, Mennonite Disaster Services, the Civil Air Patrol, Moose International, Kiwanis International, etc.

The 59 Area Agencies on Aging (AAA) signed and agree to Standard Assurances with State Office for the Aging (SOFA) affirming their participation in local disaster preparedness.

Section III: Response

1. Alert, Notification, and Activation

The response to an incident may be adequate using only local resources or it may be one that necessitates or warrants a State response. As such, State involvement may be initiated in a variety of ways as various mechanisms are in place to serve as conduits to the request, acquisition, and deployment of State assistance. Several State agencies continuously operate their own warning points, operational centers, dispatch centers, or reporting systems that receive field requests for State assistance in addition to the daily operating needs. Pursuant to Federal, State, executive, and agency-specific protocols, these systems are routinely used for notifications of significant or reportable events and/or make emergency notifications to State personnel. Included among these is the New York State Watch Center (SWC). State assistance is often provided through these reception points which become more centralized under an overall State response upon activation of the State EOC.

2. Emergency Response Levels

Mass care needs occur as a direct result of an incident. Local government serves as the front line of defense and has the primary responsibility to respond to emergencies within their jurisdiction. Such primacy exists at all levels of government throughout New York State, with jurisdictions dependent on the State to support response activities, as warranted. The State OEM, through consultation with the Governor's Office, will direct and implement State response activities as identified in the State CEMP. Depending on the nature and scope of the incident or event, participation from state agencies may vary.

The SWC serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in State response posture, the SWC will be used to notify agencies that the State EOC is activating.

As identified in the State CEMP Volume 2 and the ESF #6 Annex, the State EOC maintains several activation levels based upon event severity and the overall level or volume of State response operations. These levels are indicated in response to a specific hazard or threat and include a host of operational functions and mechanisms. Those functions may be broad in scope, or may be narrow, such as providing assistance in mass care management and support.

The following levels of activation outline the operational steps the State may take in responding to any event. The inclusion of mass care response mechanisms is identified, where indicated. In addition, mass care mechanisms for no-notice events (e.g. terrorism or transportation accident) are included in almost all response levels.

Steady State: The SWC actively monitors reports and incidents that occur across the State as part of their Daily Operations. Should an incident occur that meets the criteria as a mass care incident, the SWC will follow the reporting mechanisms noted in their Standard Operating Guide (SOG).

Level 4 Enhanced Monitoring: A small, isolated, or potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- Agencies may be asked individually to provide support through remote operations or report from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC, with ESF coordinating agency activation.

- ESF #6 agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC, with ESF activation.

- Most, if not all, ESF #6 member agencies will be activated.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC, with ESF activation, and Federal ESF integration and coordination.

- All ESF #6 member agencies will be activated.
- The activities of ESF #6 will be integrated with those of their Federal ESF #6 counterparts.

3. Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the National Incident Management System (NIMS) ICS as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD)-5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide the interoperability between the local and Federal response organizations.

The organizational structure of the State's ESF# 6 is similar to the Federal construct under the NRF. State ESF #6 will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC) or Human Services Branch Director, if established. The ESF Coordinator will be the primary interface with the OSC and the member agencies of the ESF. All requests for assistance will be managed through the OSC to the ESF Coordinator for availability of resources/missions. The ESF Coordinator will be given latitude to facilitate the best resource or solution set in response to the request that the State has received. Concurrence of that solution will be confirmed to the OSC to ensure the State maintains a centralized coordination of resources and direction for requests for assistance.

ESF #6 will provide incident management support and coordination under the coordinating ESF agency. The coordinating ESF agency will ensure the activities of the ESF are consistent with this Appendix, and that agencies are operating in unison to achieve the common goal or mission of the ESF.

ESF #6 core mission group facilitators will coordinate requests/missions and provide status reports related to the specific core mission they are facilitating.

4. Assignment of Responsibilities

This section reviews existing roles, responsibilities, and capabilities of local and state governments and agencies.

Local Government

Local government will be actively involved in mass care response and operations, to the fullest extent possible. Each county, and many local governments, has a CEMP which provides the framework for the jurisdiction's response to emergencies and disasters. Each locally developed plan will differ in its implementation, including in response capabilities, surge capacities, and in

the ability to exercise authorities. Each State OEM Regional Staff have pre-identified a local point of contact for each county that will coordinate local mass care efforts and act as a primary point of contact.

State Government

ESF #6 will coordinate mass care operations. Agencies may not have a specific role and responsibility in Mass Care, however responsibilities outside the Mass Care and ESF #6 framework may overlap with the agency's capabilities to assist in Mass Care operations.

5. Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Like New York State's ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State's Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, the State ESF #6 will serve at the primary integration point for Federal ESF #6 when coordinating mass care operational needs.

Section IV: Recovery/Demobilization

1. Overview

Dependent on the severity of the event or incident, type of destruction or damage, and the needs of the affected communities and individuals, the response to such an event may be short-lived or could extend for a prolonged period of time, perhaps even years. There is no clear delineation of when disaster response activities transition into short-term recovery activities. In general, disaster response addresses the immediate life-safety concerns and incident stabilizing efforts, while short-term recovery activities begin as the need for immediate life-saving activities diminish resulting in response activities focused on the individual and less toward the masses.

2. Short-Term Recovery

A variety of forces may influence the direction of the recovery process. Considerations that have to be analyzed for an effective response and prompt recovery include the safety of responders, repair and reopening of critical transportation routes, remoteness of areas, and the needs and requirements for the restoration of utility systems, housing, and food distribution.

Regardless of the extent of damage, the State of New York will strive to assist local governments, businesses, and citizens in recovering from the impacts of any emergency. The goals of recovery will be to provide mass care services, as warranted, to meet the disaster-caused needs of the local government, businesses, and citizens. This may be done by helping to build resilience, connecting individuals with community or personal resources, and helping others understand the recovery process. ESF #6 has agencies that may be able to provide financial assistance, resources, mass care items, advocacy, information, services, in the field resources, multi-agency resource centers, or help people in shelters transition to short or long-term housing options.

Where possible, hazard mitigation measures will be incorporated into recovery activities to lessen the impact of reoccurrence or eliminate it entirely.

3. Demobilization

All efforts will be made to transition from the State's support to shelters and feeding operations back to local and county emergency response partners and/or work to merge spontaneous shelter operations with pre-identified shelter locations.

Demobilization of agencies and ESF #6 from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and the ESF #6 Coordinator. Based upon the needs of the mass care operation, ESF #6 agencies may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for reactivation of ESF #6, if needed, based upon operational needs. There may be instances where ESF #6 can be partially demobilized, allowing member agencies to be released as the need for their representation and capability in that ESF is no longer necessary.

In the process of demobilizing ESF #6, all member agencies must ensure that any open or ongoing activities that require cross-coordination with other ESFs are closed out prior to demobilizing. This must be done in a manner to ensure that any dependencies or interdependencies of that ESF are properly and effectively communicated across the response organization. In addition, each agency must ensure that they coordinate their demobilization with their agency-specific counterparts that are represented on other ESFs.

If a Joint Field Office (JFO) activation occurs, the Federal government will transition out of the ESF construct and implement the Recovery Support Functions (RSFs). As the Federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, State agencies will transition from their assigned ESF role to the appropriate RSF, as warranted.

New York State Comprehensive Emergency Management Plan

Fatality Management Annex



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)	Completed by:
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December, 2011	All content	All (edits re: acronym application, document format)	State M/F Working Group
March, 2012	All	All (edits re: SWP to SWC, EOC operational levels)	OEM/Plans Section
March, 2013	All	All (annual review)	OEM/Plans Section
April, 2014	All	All (annual review)	OEM/Plans Section
March, 2015	All	All (annual review)	OEM/Plans Section
March, 2016	All	All (annual review)	OEM/Plans Section
April, 2017	All	All (annual review)	OEM/Plans Section
November, 2017	All, ESF Updates, Activation Timeline	All	OEM/Plans Section
February, 2018	All	All (annual review)	OEM/Plans Section
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March, 2021	All	All (annual review), State Mortuary Affairs Task Force	OEM/Plans Section

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New York State Comprehensive Emergency Management Plan

Fatality Management Annex

Section I: General Considerations and Planning Guidelines

A. Introduction

The State of New York is subject to a wide variety of natural, technological, and human-caused hazards. The occurrence of such hazards has the potential to impact public and private property and critical infrastructure. They can also cause great economic hardship, and a significant toll to human lives. The crash of Trans World Airlines (TWA) Flight 800, the September 11 terrorist attacks, and Hurricane Katrina are several of the more notable incidents where the country has endured a significant loss of life. More recent incidents have shown that mass fatality incidents are an all too common occurrence.

While fatalities of any number are disturbing, note that the incidents above are single, isolated incidents within a defined geographical area. Other incidents, such as a pandemic, have the potential to cause more death and illness than any other public health threat.

There are more common characteristics than differences among mass fatality incidents. Depending on the nature of the incident, some characteristics require more focus than others. For example, an illness outbreak incident has a less intensive requirement for identifying human remains than an airplane crash. The most significant differentiator may be in how a mass fatality incident is managed. In most mass fatality incidents, counties can plan for assistance from outside resources from neighboring counties, from State resources, and if necessary, from Federal resources. The nature of a widespread illness outbreak like a pandemic will require counties to be self-sufficient because typical outside resources will not likely be available.

In New York State, fatality management is primarily a local/county responsibility. As such, State and Federal assistance is supplemental to local/county efforts. Some planning for mass casualties/fatalities already exists at the local level. Counties vary in their level of readiness to respond to a mass fatality incident due to differences in basic capabilities and/or levels of preparedness. Some localities/counties possess a wealth of resources, public and private, that could be called upon to support mass fatality management, while other areas would be quickly overwhelmed. Mass Fatality Incidents (MFI) are not defined by number of decedents, but rather the capacities and capabilities of the affected jurisdiction to manage fatalities prior to requesting assistance. The State must be prepared to provide whatever level of supplemental assistance is required. This functional annex to the New York State Comprehensive Emergency Management Plan (CEMP) provides an overview of the local/county response to mass fatality incidents and the State and Federal role supporting the response.

During the 2020-21 Novel Coronavirus response, New York State Office of Emergency Management (OEM), in collaboration with numerous partners, including Department of Health

(DOH), developed a task force with the sole responsibility of supporting the large-scale fatality management the State was experiencing. This response included pre-staged assets, deployment of personnel, and procurement of assets that were otherwise inaccessible. This task force managed multiple sites and staging areas across the State which housed refrigeration trucks, temporary morgue equipment, and other necessary resources for fatality management.

B. Purpose

The State 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 State 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 State CEMP identifies the lines of coordination and the centralized coordination of resources that will be used in directing the State's resources and capabilities in responding to and recovering from a disaster. Further, the State CEMP serves as the foundational framework for the State's response levels and serves as the operational basis upon which other functional and hazard-specific annexes will be built.

The purpose of this Annex is to ensure that the strategic and broad-based nature of the State CEMP is further defined to allow the State to adequately protect public health and prepare for, respond to, and recover from a mass fatality incident. This Annex establishes a concept of operations for response to a mass fatality incident and will use individual agency activities as well as the activities of the State's Emergency Support Functions (ESF), as appropriate. In addition, this Annex identifies key mechanisms in coordinating with the local response to provide for an effective and efficient multi-agency State response to a mass fatality incident, and will link local, State and Federal authorities when necessary to coordinate and/or implement State and Federal resources in response to a mass fatality incident in accordance with the State CEMP. This plan may be activated in conjunction with the implementation of the NYS Family Assistance Center Operations Guide.

C. Scope

This Annex applies to any incident that warrants a response beyond standard agency statutory obligations to a collective State Disaster Preparedness Commission (DPC) response. This Annex applies to all State agencies and authorities that may be directed to respond to such an incident and builds upon the process and structure of the State CEMP by addressing unique policies, situations, operating concepts, and responsibilities. Further, this Annex acknowledges that local and State response capabilities may be exceeded, necessitating the use of Federal agencies and resources.

Note that several other State plans, either agency-specific or multi-agency, may be used to support or augment the implementation of this Annex. For the purposes of redundancy, such plans are not reiterated here, but referenced. In addition, this Annex may be used to supplement or augment other State-level plans and annexes.

Figure 1 below identifies the structural relationship between the State CEMP, its annexes, and this Fatality Management Annex. In reviewing, note the linkage to other documents that fall under Volume 2. Additionally, several other documents exist in State OEM to manage the activities of the State Emergency Operations Center (State EOC) in response to the incident.

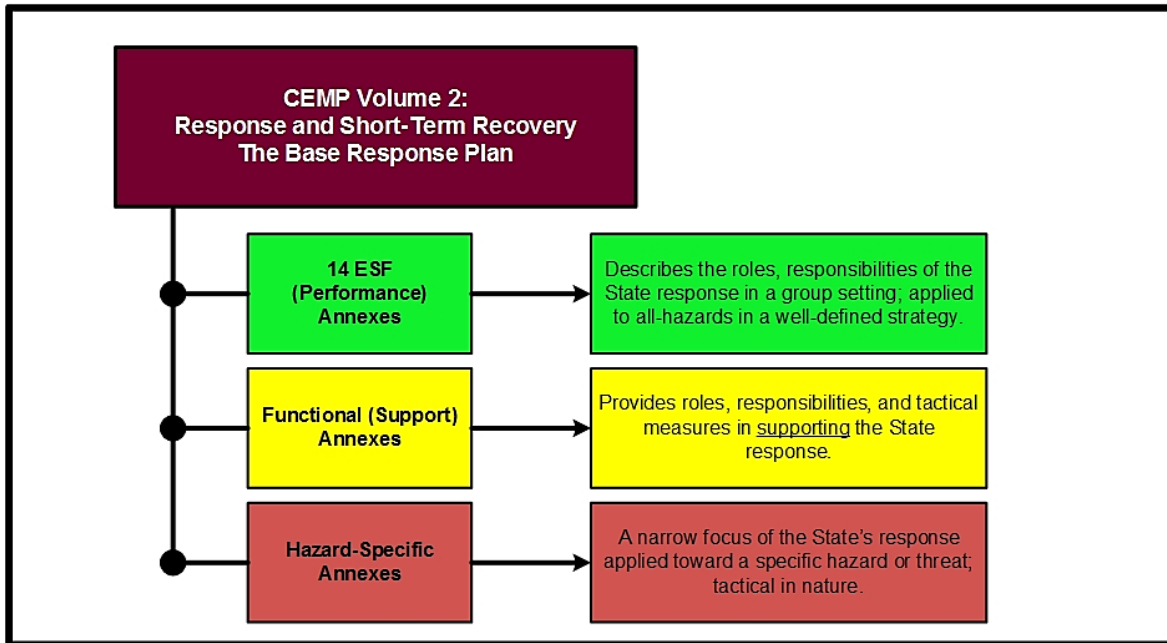


Figure 1: Structural Relationship of the State Comprehensive Emergency Management Plan and the NYS Fatality Management Annex

D. Situation

1. Overview

Most mass fatality incidents do not occur in isolation from a mass casualty incident, and often occur without warning. For most non-illness-based incidents, local emergency response agencies (fire, police, emergency medical services (EMS)) will be first on the scene of a mass casualty/fatality and will create the initial response organization in accordance with local/county plans and procedures. Most local/county response agencies use an incident management system such as the National Incident Management System (NIMS) to organize the response. For illness-based incidents, fatality management may need to be organized a large-scale, statewide focus. This could include pre-staged assets, mobilizing resources and personnel, and triaging resources to parts of the state, based on fatality rates and local capabilities.

2. Request Assistance

Local governments vary in their level of readiness to respond to a mass fatality incident due to differences in basic capabilities and/or levels of preparedness. When local/county resources are exhausted or specialized skills are required, a county can request assistance from outside resources such as other counties and the State. The assistance required may vary based on the type of incident. Some incidents may warrant an immediate State or Federal involvement, consistent with legal authority. Depending on the nature and complexity of the incident, for example in the incident of widespread biological incident, State and Federal mortuary assistance may be severely taxed and resources will be difficult to procure.

a. Assistance from other counties

- Counties may call on other counties through mutual aid agreements or through the Intrastate Mutual Aid Program (IMAP). Letters of Agreement/Memorandums of Understanding (LOAs/MOUs) may be put in place in advance of the incident.

b. Assistance available from New York State

State assistance is supplemental to local/county efforts.

- Counties should be prepared to:
 - Describe the type of assistance that is needed, e.g. transporting volunteers rather than requesting buses.
 - Counties will need to have the structure in place to coordinate and manage the incoming resources.
- All non-local mass fatality assistance is requested through State OEM. State OEM may identify sources of assistance from the State, other states, or the Federal government.
- A request for assistance from the State (to other states) would be processed through the Emergency Management Assistance Compact (EMAC).

c. Agencies with special authority during a disaster

Some incidents may warrant an immediate State or Federal involvement, consistent with legal authority, for including but not limited to:

- National Transportation Safety Board (NTSB) – Investigates every civil aviation accident in the United States, every commuter and passenger rail accidents, and significant accidents in other modes of transportation.
 - NTSB also has a mandate to establish and provide services in a Family Assistance Center (FAC) for aviation and passenger rail incidents
- Department of Defense (DOD) – Investigates when military resources are involved, including military aircraft.
- Federal Bureau of Investigation (FBI) – Investigates incidents that are the result of suspected or actual criminal activity.
- NYS Police - Lead State agency to investigate suspected criminal incidents.
- American Red Cross (ARC) – Identified, by NTSB, as the coordinating agency for mental health and spiritual care during any legislated incident or any other incident where NTSB has activated ARC.

3. Recover/Remove Remains

Depending on the type of hazard, removal/recovery of remains may be relatively routine or extremely complex. Removing remains from healthcare facilities and homes is substantially different than recovering remains from disaster sites.

When funeral firms exceed their capacity to transport remains, alternative means of transporting human remains will need to be deployed under the authority of the coroner/medical examiner (ME). When additional resources are required, local plans should provide for alternate vehicles and transport teams. These resources may be identified locally, or for some types of incidents they may be secured from other areas.

a. Recovery from Disaster Sites

When deaths occur at a disaster site, the on-scene response structure must establish a plan for the recovery operation managed through the incident command structure. This plan must assure the protection of evidence for investigative authorities unless disturbances are necessary to reach a survivor. Equipment must be acquired, documentation needs met, remains recovered, and remains transported to a morgue site.

Recovery and removal of remains will be under the auspices and oversight of the designated Coroner/ME, and as appropriate, in conjunction with local or other law enforcement or investigative units. No remains will be moved from their originally discovered positioning without the expressed permission of the agency/individual with the responsibility to lead or authorize remains recovery/removal from an incident and/or within the jurisdiction.

Transportation of remains will be in alignment with 10 NYCRR Part 13, section 13.1 allowing transportation of remains via common carrier within the designated precautionary measures defined within the regulation, and/or 10 NYCRR section 13.2 allowing funeral directors to designate agents for transportation purposes within the designated precautionary measures defined within the regulation. In such cases where alternative transportation mechanisms become necessary, resources may be requested from within the Mortuary Affairs Taskforce membership, however vehicles appropriate for remains transfer may need to be sourced locally, or through private sector partners.

4. Investigate Fatalities

a. Investigation

Crimes may be suspected for any type of mass fatality, but especially for unattended home deaths and deaths at disaster sites. The early isolation of a disaster site should be a priority objective of the local Incident Commander. Initial responding State agencies may be asked to assist with this effort. In some instances, the Division of State Police (DSP)

may be the primary resource available locally to implement site security and control and initiate preliminary investigative procedures.

Air crash scenes also have the potential to be crime scenes. All responders should keep this in mind upon arrival and treat the scene as such. No articles of personal property or parts of the aircraft should be unnecessarily disturbed or removed from the scene until authorized to do so by the NTSB (civilian aircraft) or military authorities (military aircraft).

The lead law enforcement agency will coordinate investigation efforts with other law enforcement agencies. State forensic support is primarily provided by the DSP. Other State agencies with specific investigative expertise, e.g. the Office of Fire Prevention and Control (OFPC) or the Department of Environmental Conservation (DEC), may be asked to participate in the investigation.

b. Morgue Site

The coroner/ME also plays a key role in investigation of the essential facts surrounding mass fatality deaths. Much of this investigation takes place at a morgue site. A decision needs to be made prior to the removal of the first body whether or not the regular morgue in the community is sufficient to handle the number of decedents from the incident and the associated additional number of workers.

New York State maintains equipment which can provide morgue surge with refrigerated trailers which include racking. In addition to the refrigerated assets, the State maintains a cache of mortuary supplies such as remains pouches, shroud kits, and other equipment.

A potential federal resource for additional morgue capacity is the Disaster Portable Morgue Unit (DPMU) maintained by the Department of Health and Human Services (HHS) Disaster Mortuary Operation Response Teams (DMORT) program. The DPMU is a depository of equipment and supplies for deployment to a disaster site. It contains a complete morgue with designated workstations for each processing element and prepackaged equipment and supplies. It is important to note that these assets are in limited quantities nationwide.

DMORT can also provide local/county authorities with technical assistance and personnel to recover, identify and process remains. There are ten teams positioned across the country consisting of coroners/MEs, pathologists, anthropologists, and other professionals. A team may be dispatched in part or in its entirety. This is also a limited resource as there are only 10 DMORT teams nationwide.

5. Temporarily Storage or Internment of Remains

The temporary storage of remains is a key component of mass fatality planning. This can be accomplished through refrigerated assets, refrigerated locations, and/or temporary internment. Locations which may be suitable for the temporary storage of remains should be identified at the State and local level. In addition, the State maintains a cache of refrigerated trailers along with identified contracts for refrigerated assets which can be deployed at the request of local government. These assets may be deployed to any location that is authorized to manage remains.

Temporary internment is also a method that should be considered at the local level. Most counties have plans for temporary internment. New York State's role in temporary internment is limited to any actions that would fall under their existing regulatory purviews.

6. Manage Information

a. Public Information

As soon as a mass fatality incident occurs, authorities will likely be expected to report the number of deaths and other information to designated authorities at specified intervals. At the request of local/county authorities, State agency communications resources may be called upon to support the emergency response organization. When requested, State OEM will provide logistical support in establishing a Joint Information Center (JIC), which will serve as the sole source of official information regarding all incident activities (Federal, State, county, local). The JIC will provide a forum for the coordinated release of all public information. The lead investigative agency, in conjunction with the coroner/ME, will determine when and what information is released to the media regarding all investigative activities. The coroner/ME, in conjunction with the lead investigative agency, will determine when and what is released regarding decedent information.

b. Family Information

The local coroner/ME or his/her designee is responsible for the release of all information to victims' families regarding the cause and manner of death and location of remains. Control and coordination of the release of the names of the decedents must be addressed by the investigating agencies and the coroner/ME.

7. Assist Families

FACs are typically established during a mass casualty/fatality incident to support families' information and bereavement needs. They facilitate the exchange of timely and accurate information with family and friends of injured, missing, or deceased disaster victims, the investigative authorities, and the coroner/ME. Types of services generally include: grief and/or crisis counseling, childcare, religious support, facilitation of family needs such as hotel,

food, and transportation, ante mortem data collection, and notification of death to the next of kin. FACs can be face-to-face or established remotely through virtual forms of communication.

- A Federal FAC may be established in a Federally managed mass casualty/fatality incident. Local and State agencies will support the operational functions of the FAC, providing those services essential to family assistance in a mass casualty/fatality incident.
- The NTSB has developed the Federal Family Assistance Plan for Aviation Disasters. This plan assigns responsibilities and describes specific procedures for family assistance after an aviation crash involving a significant number of passenger casualties/fatalities. Organizations assigned responsibilities under the plan will develop supporting agency plans and procedures.
- The New York State Funeral Directors Association and the ARC have the capability to operate virtual FACs. Both platforms are can be leveraged based on availability using the existing request process.

E. Planning Assumptions

1. A mass fatality incident results in a surge of deaths exceeding the jurisdiction's capacities and capabilities for fatality management.
2. Incidents resulting in mass fatalities may occur with little or no advance warning. The State may be requested to concurrently support multiple responses to various simultaneous or cascading incidents, including mass fatality responses.
3. Mass fatality incidents may be caused by an illness occurring under unsuspecting circumstances or may be human-caused and/or of a suspicious nature, creating a larger role for law enforcement.
4. Fatality management is primarily a local/county responsibility. As such, State and Federal assistance is supplemental to local/county efforts.
5. The local/county system will continue to experience daily deaths unrelated to the incident, as well as the case load from the mass fatality incident.
6. Some localities/counties possess a wealth of resources, public and private, which could be called upon to support mass fatality management, while other areas would be quickly overwhelmed.
7. Depending on the nature and complexity of the incident, State and Federal mortuary assistance may be unavailable.
8. In some incidents, fatality management may include the removal of remains in harmful environments, including floods, hurricanes, and incidents involving chemical, biological, radiological, nuclear, and/or explosive (CBRNE) materials. In such cases, removal may need to be delayed to avoid placing emergency workers at unnecessary levels of risk.
9. In cases of CBRNE incidents, the nature of the incident may put individuals that are called upon to support or implement mass fatality management activities at an increased level of risk. In addition, because of the nature of the materials, the processing of remains may be more complicated, possibly warranting different interment sites, handling procedures, and additional decontamination and storage safeguards.
10. Professionals who manage the dead, such as funeral directors and cemetery caretakers, will continue business as usual for as long as possible. In some mass fatality incidents, organizations ordinarily responsible for processing human remains may not have the

capacity to process the deceased in a typical fashion, and may run out of capacity, temporarily or for the duration of the incident.

11. During incidents resulting in mass fatalities there will be a demand for information from the public.
12. The request/assistance process for state assistance will be in tandem with the standard, day to day statutory obligations and mutual aid agreements currently in place.
13. The State Mortuary Affairs Task Force may be activated to provide guidance and assist with coordination.

F. Concept of Operations

The State may be engaged in providing mass fatality support in a multitude of ways. These mechanisms may include State involvement predicated on standard, day-to-day agreements, or statutory obligations, or they may be a component of a much larger overall State response.

If the Mass Fatality incident is a consequence produced by a concurrent incident, it is likely that the State CEMP or some component thereof, along with the State EOC has been activated in response to such an incident. In addition, availability of State and Federal resources may be limited if the mass fatality incident is very large in scope and/or coincides with a precipitous incident which has engaged local, State, and/or Federal agencies.

In some cases, State involvement in a Mass Fatality incident may be initiated through a typical concept of operations where local resources are unavailable or become exhausted and requests for assistance are received by the State. In other instances, the occurrence of an incident may warrant an immediate State (and Federal) response.

Therefore, for the purposes of this Annex, two potential concepts of operations are envisioned and identified below.

An incident that warrants a Local, State, and/or Federal response:

- a. A natural, technological, or human-caused incident occurs and warrants a local response. In response to such incidents, the impacted jurisdiction and local agencies typically follow standard protocols and statutory requirements in executing their missions. The incident may be limited in scope with a well-defined incident scene or may be of greater magnitude encompassing multiple jurisdictions. In addition, a host of operational needs may be required (e.g. shelter, evacuation, etc.) and may include managing emergency facilities.
- b. In response to the incident, local officials may incorporate various operational elements to effectively manage the incident. These elements may include establishing an Incident Command Post (ICP), activating the county EOC and response organization, declaring a local state of emergency and promulgating emergency orders to assist in the overall management of the incident. Local/county response efforts typically organize in a manner consistent with the NIMS.
- c. In response to such incidents, local coroners/MEs have primacy in fatality management and coordinate fatality management activities across several local agencies and organizations as well as the private sector, as appropriate.

- d. Local government serves as the front line of defense. When local resources are insufficient or exhausted, local government may request assistance from other jurisdictions and the State in an effort to manage the fatalities.
- e. State assistance will be supplemental to local efforts and may vary based on need and availability. The State may be asked to provide a single element of operational support to local government (e.g. law enforcement), or to provide all the resource support across a variety of areas and response functions as identified in this Annex including:
 - Removal of remains from healthcare facilities and/or homes, and recovery of remains from disaster sites.
 - Investigation of suspected crimes associated with the mass fatality incident.
 - Temporary storage or temporary interment of remains.
 - Assisting families of victims.
 - Supplementing supplies and/or equipment, facilities, and personnel support.
 - Providing security for mass fatality sites and/or processing human remains.
 - Decontamination of remains, rescue and recovery personnel, and facilities.
 - Decedent identification, decedent tracking, post-mortem/ante mortem examinations.
- f. If conditions warrant the activation of the State EOC, State OEM will notify other appropriate DPC representatives and activate several State agencies and/or ESFs, including ESF #6, Mass Care, Emergency Assistance, Housing, and Human Services, and ESF #8, Public Health and Medical Services. This may include the State Mortuary Affairs Task Force, which is comprised of numerous State and federal agencies, as warranted.
- g. The Governor may exercise their authority in declaring a State Disaster Emergency, directing any and all State agencies to provide assistance under the coordination of State OEM on behalf of the State DPC.
- h. In incidents of significant scope and impact which warrant a State request for Federal assistance (excluding NTSB driven transportation accidents), State OEM will coordinate with the Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) in implementing the activation of the National Response Framework (NRF) and Federal ESF #8 Public Health and Medical Services.
- i. Federal mortuary support may be provided under the U.S. Public Health Services (USPHS) via the DMORT. DMORT assets may be requested by the local coroner's/ME's office through the State, or on the State's initiative.

An incident that warrants an immediate State and/or Federal response:

- a. In certain no-notice type incidents, such as a transportation accident or terrorist incident (e.g. weapons of mass destruction (WMDs), improvised nuclear devices (INDs), or radiological dispersal devices (RDDs)), Federal agencies may respond and introduce Federal resources on their own initiative. In these Federally driven incidents, the State response structure will coordinate Federal response efforts and resources with those of local and State response organizations.
- b. In non-transportation incidents of significant scope and impact that warrant an immediate State response, State-level mass fatality support may be provided via day-to-day agreements or statutory obligations, or they may be a component of a much larger overall State response.
- c. State assistance being provided outside of day-to-day agreements or statutory obligations will be provided through the State EOC.
- d. In cases where mass fatality support is needed concurrent with State EOC activation, State support will be provided through the State EOC and the response structure in place.

- e. In cases where the State EOC is not activated, the State EOC will be activated and staffed to an operational response level that is appropriate for the magnitude of the incident.
- f. State assistance may vary in level and complexity, ranging from individual agency resource support to more encompassing resource support across a variety of areas and response functions.
- g. In providing assistance, the State response activities will be coordinated to work in support of local government, recognizing that local coroners/MEs will retain their primacy in fatality management.
- h. If Federal assistance is necessary, State OEM will coordinate with the DHS/FEMA in implementing the activation of the NRF and Federal ESF #8 Public Health and Medical Services.
- i. In the incident of a transportation accident that triggers a NTSB activation, the NTSB serves as the coordinator for the integration of Federal government resources in support of local and State response efforts. In addition, the NTSB plays the lead role in coordinating with the transportation carrier to meet the needs of accident decedents and their families. If a criminal act is believed to have caused the accident, the FBI becomes the lead investigative agency and is supported by the NTSB.
- j. Local authorities maintain the same jurisdictional responsibilities in regard to the initial accident response, recovery, security, site cleanup, and coroner/ME operations, while the NTSB leads the accident investigation.
- k. The NTSB will coordinate an appropriate response with the carrier based on the magnitude of the accident. Further, the NTSB possesses the authority to initiate Federal response activities and may solicit additional resources to support the overall Federal response. This notification may include the following Federal agencies:
 - ARC
 - Department of State (DOS)
 - HHS
 - FBI
 - DHS/FEMA
 - DOD
- l. The State response organization will play a pivotal role in serving as a facilitator and interoperating point for the influx of Federal assets. As such, the State may implement a variety of response components and structures to be in a position where it can best work in conjunction with incoming Federal resources and in support of local government. This may include activation of the State EOC and/or the State Mortuary Affairs Task Force.
- m. The NTSB will coordinate with the local coroner/ME and discuss the capabilities of the local coroner/ME staff regarding decedent identification and decedent processing. The local coroner/ME, State, and the NTSB will jointly examine the capabilities of local/State mass fatality resources, identify gaps given the particular incident, and determine how best to augment local government efforts in introducing DMORT resources and capabilities.
- n. State response activities will be coordinated via the multi-agency command structure in place at the time of the incident. Additional State resource support will be provided via the State EOC, as appropriate.
 - The transportation carrier has a fundamental responsibility to decedents and their families affected by an accident. In strict coordination with the NTSB, State, and the impacted jurisdiction(s), the carrier is primarily responsible for family notification and all aspects of decedent and family logistical support.

G. Legal Authorities

The authority to develop this Annex and implement specific response actions to effectively respond to a mass fatality incident can be found in a variety of New York State Laws, regulations, and Federal authorities, including the following:

1. Local Authorities

- **NYS County Law §673:** The coroner/ME has the jurisdiction and authority to investigate the following deaths within the county:
 - Violent death.
 - Unlawful act or criminal neglect.
 - Suspicious, unusual, or unexplained manner.
 - Unattended by a physician.
- **NYS County Law §674:** The coroner/ME:
 - Once notified of a death under the circumstances in §673 shall go to where the body is and take charge of it.
 - Has the authority to remove the body to the extent required for investigation
 - Shall investigate essential facts concerning the death, taking the names and addresses of witnesses, and before leaving the site, reducing the facts to writing.
 - Shall take possession of all portable objects, which in his/her opinion may be useful in establishing the cause of death.
 - Has the authority to perform an autopsy.
 - Has power to subpoena and question witnesses under oath as a magistrate holds a court of special session.
 - Has the authority to order and conduct an inquest.

2. State Authorities

- **Article 2-B of the New York State Executive Law:** Enacted in 1978, created the State DPC. It shifted emphasis from civil defense to all-hazards preparedness. This law provides that:
 - Local government and emergency service organizations continue their essential role as the first line of defense in times of disaster.
 - The State provides appropriate support services to the extent necessary.
 - Local government officials take an active role in the development and implementation of disaster preparedness programs.
 - State and local natural disaster and emergency response functions be coordinated in order to bring the fullest protection and benefit to the people.
 - State resources be organized and prepared for immediate effective response to disasters which are beyond the capability of local governments and emergency service organizations.
- **Executive Order 26:** Issued by Governor Pataki in 1996 established the National Interagency Incident Management System (NIIMS) as the State standard command and control system that will be used during emergency operations. This Executive Order was updated by Governor Spitzer via Executive Order 26.1 of 2006 to reflect

the change to the NIMS and has been continued by Governor Paterson's Executive Order No. 9 and Governor Cuomo's Executive Order No. 2.

- **Public Health Law 225(4) and 225(5) (a):** Provides that the Public Health Council, which exists within the DOH, shall have the power to establish, amend and repeal regulations known as the State Sanitary Code, which may deal with any matters affecting the security of life or health or the preservation and improvement of public health in the State of New York and with any matters as to which the jurisdiction is conferred upon the Public Health Council.
- **Public Health Law Sections 4140 – 4147:** In the incident of a declared state of emergency such as a mass fatality incident the Commissioner of Health may be given the authority to temporarily modify existing public health procedures. These modifications may include assignment of temporary authority to register death certificates, extension of filing deadlines and streamlined death certificate registration.
- **Executive Law, Section 223 (State Law Enforcement):** Providing authority to oversee peace and order, security and safety, and enforcement of criminal law.
- **Public Cemetery Law:** Not-for-profit Corporation Law, Article 15 regulates the interment, cremation and related documentation for human remains.

3. Federal Authorities

- **Federal Robert T. Stafford Disaster Assistance and Relief Act:** A United States Federal law designed to bring an orderly and systemic means of Federal natural disaster assistance for state and local governments in carrying out their responsibilities to aid citizens.
- **Homeland Security Presidential Directive (HSPD) 5:** Enhances the ability of the United States to manage domestic incidents by establishing a single, comprehensive NIMS.
- **Presidential Policy Directive (PPD) 8:** Requires the development of a national all-hazards preparedness goal which shall define the core capabilities necessary to prepare for the specific types of incidents that pose the greatest risk to the security of the Nation, and shall emphasize actions aimed at achieving an integrated, layered, and all-of-Nation preparedness approach that optimizes the use of available resources.
- **The Aviation Disaster Family Assistance Act of 1996:** Requires that if the incident is the result of a commercial airline crash, the airline is responsible for providing assistance to families. Once Federal, State, and local resources have been coordinated, a FAC will be established.
- **49 U.S. Code § 1131.General authority:** Requires that the NTSB will be the lead investigative agency when any civil aviation, rail, or other serious transportation incident results in fatalities.
- **49 U.S. Code § 1139.Assistance to families of passengers involved in rail passenger accidents:** Requires that the NTSB will establish and provide assistance through a FAC, including but not limited to mental health assistance, environment to grieve, the arrangement of memorial services, and meet and/or communicate with passengers' families.
- **49 U.S. Code § 41313.Plans to address needs of families of passengers involved in foreign air carrier accidents:** Requires that any foreign air carrier should develop and

submit plans to address the needs of families of passengers involved in an aircraft accident, which involved an aircraft under the control of a foreign air carrier and results in any loss of life. Establishes requirements of what the plans should include. These provisions include, but are not limited to, establishment and publication of a toll-free telephone number, notification of families, consultation of disposition of passenger remains with family, and return of possessions.

H. Annex Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world incidents, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

New York State Comprehensive Emergency Management Plan

Fatality Management Annex

Section II: Preparedness

A. State Level Planning Efforts

Volume 1 of the State CEMP is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the state. The mitigation plan outlines the State's overall strategic hazard and risk policies for natural hazards mitigation and provides a support basis for local governments to use in their individual and collective mitigation planning efforts for all hazards. Mitigation efforts which culminate in the reduction of a particular incident's impact on the population may by extension reduce the probability of a consequential mass fatality incident.

In 2019, a multi-agency working group assembled to develop a county level mass fatality guidance document. The Division of Homeland Security and Emergency Services (DHSES), DOH, and various State, local, and private partners produced the planning guidance. The guidance was based on evidence-based information, as well as anecdotal experiences during fatality management incidents.

The State also possesses a number of hazard-specific annexes. In developing these annexes, risk and vulnerability assessments identify at risk populations subject to specific hazards. These assessments provide the operational basis for formulating the State's response plans to such incidents. State hazard-specific annexes that detail such strategies include the Pandemic Influenza Annex and the Coastal Storm Annex.

Through several previous planning efforts, the State also possesses annexes that provide operational guidance in responding to a mass fatality incident. These documents are narrow in scope and application, designed to manage fatalities in response to a specific hazard or risk.

B. Training and Exercising

The State of New York sponsors and conducts a variety of training to improve response capability. This includes varying levels of training in the Incident Command System (ICS) and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements. Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline. State, county, and local planning representatives have attended a variety of State sponsored and endorsed training in support of their preparedness efforts. The State facilitates training for local planners and stakeholders who in turn support local plan development and decision making during an actual incident.

The State also conducts a variety of exercises to assess and improve upon its response capabilities. As an integral part of the planning process, an exercise component is used to test the effectiveness of an emergency management plan. In most cases, the State uses an exercise methodology consistent with the practices and principles identified in the Homeland Security Exercise and Evaluation Program (HSEEP). These exercises provide viable input into plan development and help to ensure that the plan is effective in its scope and application.

As part of a comprehensive planning, training, and exercise program, State OEM will endeavor to conduct training sessions, seminars, and briefings on this Annex with the appropriate stakeholders. The formal training and outreach process will be concurrent with each plan revision cycle.

1. Real World Incidents and After-Action Reports

a. New York State

The State of New York has practical experience in responding to mass fatality incidents, including support of response and recovery efforts for the following historical incidents:

- Superstorm Sandy: After striking the Caribbean and moving along the East Coast of the United States, Post-Tropical Cyclone Sandy combined with an Arctic cold front, producing a powerful “snowcane-style” storm. Superstorm Sandy made landfall in the greater metro-area of New York City and New Jersey, on October 29, 2012, causing severe coastal flooding, power outages, and extensive damage across the area. Sandy claimed 147 lives; 72 in the United States and 48 in New York alone.
- The American Civic Association Shooting: On the morning of April 3, 2009, a lone gunman entered the American Civic Association building in Binghamton (Broome County) and opened fire. Fourteen people were fatally wounded.
- Continental Airlines Flight 3407 crashed in a residential area on the night of February 12, 2009 in the Town of Clarence (Erie County) as it approached the Buffalo-Niagara International Airport and claimed 50 lives.
- The Ethan Allen, a 40-foot, glass-enclosed tour boat, operated on Lake George in Warren County: On the afternoon of October 2, 2005, with 47 passengers (mostly seniors) aboard, the Ethan Allen capsized and sank just south of Cramer Point in the Town of Lake George. Twenty passengers died.
- American Airlines Flight 587, an Airbus A300 jet which crashed in a residential neighborhood in the Belle Harbor area of Queens shortly after taking off from New York (JFK) on the morning of November 12, 2001. A total of 265 people were killed, including all 260 people aboard the aircraft and five persons on the ground.
- World Trade Center: On the morning of September 11, 2001, a total of 19 hijackers took control of four commercial airliners in route to San Francisco and Los Angeles from Boston, Newark, and Washington, D.C. (Washington Dulles International Airport). At 8:46 AM, American Airlines Flight 11 was crashed into the World Trade Center's North Tower, followed by United Airlines Flight 175 which hit the South Tower at 9:03 AM. The impacts, fires, and subsequent collapse of both buildings claimed the lives of more than 2,750 passengers, building occupants, and responders in New York City.

- TWA Flight 800, a Boeing 747 jet which exploded mid-air and crashed into the ocean south of Long Island shortly after taking off from New York (JFK) on the evening of July 17, 1996. All 230 people aboard perished.
- Schoharie Limousine Crash: In the afternoon of October 6, 2018, a limo crashed at the junction of New York State Routes 30 and 30A, north of Schoharie. There were 20 people killed including the driver, 17 passengers, and two pedestrians. The investigation revealed many pre-existing problems including two failed inspections due to deficient brakes and a lack of the required endorsement on the driver's license. The operator of the company was aware of these problems and charged and indicted with 20 counts of criminally negligent homicide and second-degree manslaughter.

Given the diverse nature of these incidents, the State has proven capable of an appropriate and effective emergency response. State support included the deployment of personnel and resources of multiple State agencies to the affected area(s) and State EOC activation to coordinate and support multi-agency response and recovery efforts. The after-action reports (AARs) produced from these and other incidents with similar loss of life provided tremendous insight into areas where the State and county governments could improve their respective plans, policies, and procedures.

b. Nationally

The U.S. have experienced a multitude of incidents with large loss of life. These incidents have varied between natural disasters, technological failures, and human caused incidents. Some incidents have resulted in immediate evidence of an immense loss of life, while others the death toll was unknown for months, if at all.

- Stoneman Douglas High School Shooting: On February 14, 2018, a 19-year-old former student opened fire with a semi-automatic rifle in Parkland, Florida. After killing seventeen people he was arrested and charged with 17 counts of premeditated murder and attempted murder, each.
- Las Vegas Shooting: During the Route 91 Harvest Musical Festival on the night of October 1, 2017 a man committed the deadliest mass shooting in the United States by killing 58 people and injuring 413 people from the 32nd floor of his hotel window. The man fired more than 1,100 rounds of ammunition with the help of bump stocks. He was found dead about an hour later with a self-inflicted gun wound.
- Pulse Nightclub Shooting: On June 12, 2016, a 29-year-old male initiated a stand-off and active shooter incident at Pulse, a gay nightclub in Orlando, FL. The result was 49 deaths and 53 people wounded. The incident was deemed a terrorist attack, and was the deadliest incident committed against the LGBT community in the US and deadliest terrorist attack since September 11th.

C. State Stockpiles of Supplies and Equipment

Caches of supplies and equipment are routinely maintained to support mass fatality incidents.

New York State has established stockpiles of mass fatality supplies to supplement local supplies. These include, but are not limited to:

- Human remains pouches.
- Shroud kits.
- Refrigerated assets with racking (racking can be used independent of the trailers).
- Cremation containers.
- Pinewood coffins.
- Trays.
- N-95 disposable respirators.
- Surgical masks.
- Nitrile gloves.
- Cremation compatible body bags suitable for EVD human remains disposition.

New York State Comprehensive Emergency Management Plan

Fatality Management Annex

Section III: Response

A. Alert, Notification, and Activation

Local government serves as the front line of defense and has the primary responsibility to respond to emergencies within their jurisdiction. Such primacy exists at all levels of government throughout New York State, with jurisdictions dependent on the State to support response activities, as appropriate.

Mass fatalities occur as a direct result of an incident. The response to that incident may be adequate using only local resources, or it may be one that necessitates/warrants a State response. As such, State involvement may be initiated in a variety of ways as various mechanisms are in place to serve as conduits to the request, acquisition, and deployment of State assistance. Several State agencies continuously operate their own warning points, operational centers, dispatch centers, or reporting systems that field requests for State assistance. Pursuant to Federal, State, executive, and agency-specific protocols, these systems are routinely used for notifications of significant or reportable incidents and/or make emergency notifications to State personnel. Included among these is the State Watch Center (SWC) at the State EOC. State assistance is often provided through these reception points which become more centralized under an overall State response upon activation of the State EOC.

As identified in the State CEMP Volume 2, Response and Short-Term Recovery, the State EOC maintains several activation levels based upon incident severity and the overall level or volume of State response operations. These levels are indicated in response to a specific hazard or threat and include a host of operational functions and mechanisms. Those functions may be broad in scope, or may be narrow, such as providing assistance in fatality management and support.

The following levels of activation outline the operational steps the State may take in responding to any incident. The inclusion of fatality management mechanisms is identified where indicated. In addition, fatality management mechanisms for no-notice incidents (e.g. terrorism or transportation accident) are included in almost all response levels. Note that the linkage of fatality management to State EOC levels listed below should serve only as a guide to readers. In a functional annex such as this, it is impossible to outline the pathway and activation mode that would be employed for every conceivable incident for every jurisdiction that could request mass fatality support. The four State EOC levels are as follows:

Level 4: This level is utilized for internal and external coordination only.

Goal: Coordinate situational awareness and the application of State agencies co-incident with a low-level activation. Agencies/ESFs will not be in position at the State EOC.

At this level, the following actions may be taken:

- At the discretion of the State OEM Director, the State EOC would activate with a limited staff to ensure effective response coordination.
- A Multi-Agency Coordination (MAC) Group call will be convened to discuss the scope and scale of the incident and the level of ESF involvement that is necessary.
- The State Mortuary Task Force may be activated.

Level 3 & 2: These levels may be initiated as conditions warrant. State ESFs and member agencies will be activated based upon the demands of the incident.

Goal: Increase State response efforts to provide the necessary support and services that may be needed during a mass fatality incident.

At this level, the following actions may be taken:

- A MAC Group call will be convened to discuss the scope and scale of the incident and the level of ESF involvement that is necessary.
- As warranted, the State EOC will activate and request ESF Coordinating and Support agencies as appropriate.
- At this time, the ability to provide available DHSES-based assets would be evaluated to ensure a state of readiness. This includes logistical facilities, emergency stockpiles, supplies, and equipment.
- The State Mortuary Task Force may be activated.

Level 1: This level will be activated when a Federal Disaster Declaration has been issued, and/or the incident is a Federally legislated incident that requires response from Federal resources, including, but not limited to:

- DHS/FEMA
- NTSB
- U.S. Department of Transportation (USDOT)
- U.S. Coast Guard (USCG)
- FBI
- Bureau of Alcohol, Tobacco, Firearm, and Explosives (ATF)
- HHS
- DMORT

Goal: Provide coordination between Federal, State, and local resources when responding to a mass fatality incident which warrants a Federal response.

At this level, the following actions may be taken:

- A MAC Group call will be convened to discuss the scope and scale of the incident and the level of ESF involvement that is necessary.

- Depending on the Federal response, actions could include, but are not limited to, the following:
 - Coordinate response efforts between local, State, and Federal resources,
 - Establish a JIC to ensure information dissemination is performed in a manner consistent with the need, authorization, and authentication, and
 - Provide investigative assistance with specialists in the fields warranted for the incident.
- Ensure an expedient and efficient response, in order to allow for a speedy recovery for the families and locations affected.

The following ESFs, and their corresponding agencies, may be activated as deemed necessary based on the situation, and the level of response required, as detailed above:

- **ESF #2:** Communications
 - Office of Interoperable Communications (OIEC)
 - Information Technology Services (ITS)
 - Division of Military and Naval Affairs (DMNA)
 - DSP
- **ESF #5:** Information & Planning
 - DHSES/State OEM
- **ESF #6:** Mass Care, Emergency Assistance, Housing, & Human Resources
 - DHSES
 - Department of Correction and Community Supervision (DOCCS)
 - Office of Children and Family Services (OCFS)
 - State Education Department (SED)
 - Office of General Services (OGS)
 - DOH
 - Department of Labor (DOL)
 - Office of Mental Health (OMH)
 - Office of Temporary and Disability Assistance (OTDA)
 - Department of Financial Services (DFS)
 - State Office for the Aging (SOFA)
 - Office of Victim Services (OVS)
 - Veterans Affairs (VA)
 - NYS Voluntary Organizations Active in Disaster (NYSVOAD)
- **ESF #7:** Logistics
 - DHSES/State OEM
 - DOCCS
 - OIEC
 - OGS
 - DMNA
 - Office of Parks, Recreation, and Historical Preservation (OPRHP)
 - NY Thruway Authority (TA)
 - Department of Transportation (DOT)

- **ESF #8:** Public Health & Medical Services
 - DOH
 - DOCCS
 - DOS
 - DEC
 - DOL
 - OMH

- **ESF #9:** Search & Rescue
 - OFPC
 - DEC
 - DMNA
 - OPRHP
 - DSP

- **ESF #10:** Oil and Hazardous Materials
 - DEC
 - DOH
 - DMNA
 - OFPC

- **ESF #13:** Public Safety & Security
 - DSP
 - DOCCS
 - DEC
 - DMNA
 - OPRHP

- **ESF #15:** External Affairs
 - DHSES/Public Information Office (PIO)
 - Public affairs staff from agencies that are responding to the incident may be asked to support ESF #15.

- **State Mortuary Affairs Task Force**
 - DHSES (Coordinating Agency)
 - State OEM
 - DHSES Finance
 - DOH
 - Office of Health Emergency Preparedness
 - Bureau of Funeral Directing
 - Bureau of Vital Statistics
 - Division of Legal Affairs
 - Department of State – Division of Cemeteries
 - DMNA
 - DOD (if federal assets are engaged)
 - FEMA (if federal assets are engaged)

B. Resource Management and Direction and Control

All State operations and response activities will be coordinated through the State EOC. Agencies requesting assistance from field locations will do so directly to the State EOC. Counties that are requesting assistance will do so through the traditional means by requesting resources support via New York Responds (NYR).

Information management and situational awareness is critical in responding to a large-scale emergency or disaster, and even more so when mass fatalities are involved. Command structures at all levels need an accurate, articulate, and continuous operating picture of the incident. This operating picture, combined with ongoing situational awareness, can provide local and State leadership with the specifics to make informed and accurate decisions. Timely, accurate, and verified information allows leaders at all levels to somewhat predict or prepare for response issues in advance, allowing them to contingency plan, and correct actions before executing operational plans. As conditions demand, the activities of the MAC Group will be a key resource in assessing the overall impacts of the incident, and will have the ability to ascertain, process and verify information received from the ESFs, Federal, State, and local coordinative lines, and from counterparts in the field, such as representatives in county EOCs or at forward coordinative points.

C. Response Organization

The State of New York endorses the use of one response organizational structure that will include all responding agencies: local, State, and Federal. State agencies will be organized under the framework of the ICS, as required by Executive Order 26.1 of 2006 and by HSPD-5. ICS will be incorporated at the local and Federal levels as well.

The overarching structure of State command and control will be organized as stated in Volume 2 of the State CEMP, Response and Short-Term Recovery. Specific to providing mass fatality support, the State will use a Unified Command structure to coordinate the overall State response. This may include the use of a MAC Group that will identify the policies and objectives for the State's response to the incident. New York State will be represented at multiple field locations, including on-scene, the county EOC, the FAC (if active), and the Joint Field Office (JFO) (when established), to assist in the local/State/Federal coordination of State and/or Federal assets.

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

The State Mortuary Affairs Taskforce may be activated to assist with the coordination of the State response and federal response and provide technical assistance or other help to localities. The State Mortuary Affairs Taskforce can manage the acquisition of necessary equipment and

the coordination of the appropriate resources. The Taskforce, during the COVID-19 response, provided an efficient and effective resource to managing the fatality response efforts.

D. Public Information and a Joint Information Center

In response to major incidents, local and State government typically work together in establishing a JIC. The overarching goal of a JIC is to provide timely, reliable, and effective communications regarding the incident. Its purpose is to provide a platform for media inquiries, rumor control, and to provide essential information to the general public. JICs are typically established in response to an incident and provide a venue for the centralized release of broad-based information, including the locations of shelters, protective actions, self-help measures, and the ongoing status of emergency operations. Information regarding fatalities would also be coordinated at a JIC.

In some cases, JICs are not activated as part of the overall response. In other cases, an isolated incident such as the Binghamton shooting can warrant the activation of a JIC. Historically, local or State-established JICs are capable of managing information in regard to mass fatalities. Agency representatives that comprise the JIC serve as the lead in providing information based on their authority or area of expertise. The release of fatality information is no exception and needs to be carefully vetted and processed through law enforcement and the coroner/ME to ensure accuracy as well as to ensure that next of kin notifications have been completed prior to any public release of decedent information.

In response to some incidents, the Federal government has the authority to establish a JIC or some facsimile thereof. This capability exists under the authority of the NTSB (for transportation accidents), as well as under Federal ESF #15 – External Affairs. In the case of the former, the NTSB has a lead role in facilitating the release of information in regard to the circumstances leading to the fatalities, not the fatalities themselves. This formal release of information typically occurs through briefings led by the NTSB. For the latter, the implementation of a federally established JIC under ESF #15 is more encompassing, covering broad areas of information in regard to the incident. In both cases, the Federal government can come into the state and establish the JICs with or without State/local support. This raises concerns for several reasons, including the fact that these JICs have a propensity to serve as a venue for releasing decedent information. Therefore, State and local agency participation and leadership are strongly encouraged.

E. Agency Roles and Responsibilities

This section reviews existing roles, responsibilities and capabilities of local government, State Agencies/ESFs, and provides an overview of the Federal response.

1. Local Government

Local government will be actively involved in the response and should be used to the fullest extent possible. Each county and many local governments have a CEMP that provides the framework for the jurisdiction's response to emergencies and disasters for all hazards. Many jurisdictions in the State do not possess a local mass fatality plan or annex to their CEMP. In addition, most jurisdictions have minimum mass fatality capabilities. Similar to State planning efforts, local government will be responding to the incident that has occurred and is warranting the local response. As such, local government will be responding to a host of operational needs, as well as attempting to manage fatalities. Therefore, many jurisdictions will quickly be overwhelmed in supporting such a response.

The local coroner/ME possesses the authority and responsibility for managing fatalities within his or her jurisdiction. That authority is not relinquished upon the involvement of State and/or Federal agencies. Rather, agencies operating in the jurisdiction work to support the coroner/ME in managing fatalities.

The establishment and continued operation of a FAC is pivotal in providing support to deceased family members. In most cases, local government has the lead in establishing a FAC. The purpose of the FAC is to coordinate information regarding those who may have perished, provide decedent identification capabilities, and support the surviving family members of the deceased. In NTSB-driven incidents, the Federal government takes a proactive lead in establishing and maintaining the FAC and does so with a wealth of operational support.

Regardless of the initiation of the facility, local resources would be used to support FAC operations. This support ranges from decedent identification and tracking, to ante mortem interview and testing, remains handling, security, working with funeral homes and cemeteries, and supporting grieving family members. As history has already demonstrated, the needs associated with maintaining a FAC will likely overwhelm local government. State agencies supporting the FAC will do so in a coordinative and cooperative manner, similar to the manner in which the State supports a Disaster Assistance Service Center (DASC) or Disaster Recovery Center (DRC).

2. State ESFs and Agencies Roles and Responsibilities

State response activities may be agency-specific to meet statutory obligations or may be performed under a multi-agency setting to meet common operating goals or objectives. The 14 ESF annexes to the State CEMP identify multi-agency activities in coordinating a collective State response in support of a specific function or activity. Each ESF is comprised of various agencies that are assembled to support the coordination of their agency's activities in support of the overall mission of an ESF. Agency-specific support of the ESF supplies an individual focus of that agency from the agency representative. In addition, dependent on the incident, agency representatives may also provide support to activities that fall outside the

parameters or mission of an ESF, thereby warranting an agency-specific focus on providing support. Moreover, some State Agencies support multiple ESFs.

State Agencies and ESFs that are activated in support of this Annex will collectively use the resources available to them pertinent to the operation. Coordinating agencies will coordinate such actions within the ESF to effectively respond to the demands of the incident. ESFs will coordinate their actions cognizant of over-arching policies and authorities, statutory or otherwise, as outlined in each ESF Annexes and the State CEMP.

Note that some of the capabilities that are identified in the following text may not be available in all incidents. In smaller, isolated incidents, State mass fatality resource support may be in ample supply and be available to provide resource support in various functions. However, in larger, perhaps catastrophic incidents, the agencies that comprise the list below may have other operational responsibilities, statutory and otherwise, that warrant a full commitment of their agency's resources. Those operational areas that State assistance is unable to support will be categorized as gaps that the State command structure will pursue filling with regional, Federal, or EMAC-based assets.

State

The following State ESFs may have the corresponding roles and responsibilities, as identified below:

- **ESF #2: Communications**
 - Provide emergency communications capabilities.
 - Provide mobile emergency coordination vehicles.
 - Provide technical expertise to assist in providing communications to response personnel on incident site, internment sites, processing sites, and FACs.
 - Establish communication systems for responders and personnel through deployment of resources, including Strategic Technology Reserves (STR).

- **ESF #5: Information and Planning**
 - Collect, process, analyze, and distribute information critical to guide response and short-term recovery efforts.
 - Prepare situation reports for the Governor.
 - Receives and acts on requests for information.
 - Provide staff support for, and coordination of, DPC activities.

- **ESF #6: Mass Care, Emergency Assistance, Housing, and Human Resources**
 - Establish and manage the FACs.
 - Provide counseling resources.
 - Provide interpreters.
 - Provide food and shelter to those who require it.
 - Provide necessary administrative/support staff for the FAC.
 - Coordinate efforts to provide necessary services, such as temporary assistance, housing and support services, and other similar aid.

- **ESF #7: Logistics**
 - Provide the services and resources needed that are not readily available through currently activated agencies, or that requires augmentation.
 - The OGS maintains many contracts, as well as an inventory of supplies readily available for immediate use.
 - Provide additional communications resources, as necessary, for all responders involved at the scene, processing and internment sites, and other locations involved.
 - Provide any necessary vehicles for the purpose of transporting personnel, equipment, and decedents.
 - Provide facility space through various agency resources and contracts.

- **ESF #8: Public Health & Medical Services**
 - Provide personnel and resources to assist in the identification, processing, and internment of decedents.
 - Assist in the process of producing Electronic Death Records.
 - Provide guidance on waivers to expedite the death record process.
 - Establish an Emergency Help Line for local and State resources to utilize.
 - Assist Funeral Directors by providing necessary resources, personnel, and assisting with any, and all, waivers for regulatory relief.
 - Redeploy cemetery resources as needed.
 - Provide the appropriate resources, personnel, and equipment to ensure the safety and well-being of all responders, i.e. Personal Protective Equipment (PPE).
 - Establish a safety plan, coordinate with the Safety Officer, and hold Safety Briefings.
 - Provide mental health support to those at the FAC, including both families and responders.
 - Provide mental health support to those working in locations such as the incident, internment, and processing locations.
 - Can request Anthropologists to support Coroners and MEs.

- **ESF #9: Search & Rescue**
 - Provide specialized resources for various scenarios, including boats, UTVs, ATVs, and radio-equipped vehicles.
 - Assist with GPS/Mapping for the purpose of documenting body locations, scene documentation, and any potential evidence locations.
 - In the incident of a collapse, or similar incident, provide resources specializing in entrapment rescue and recovery.

- **ESF #10: Oil and Hazardous Materials Response**
 - Provide resources and supplies for PPE and decontamination.
 - Lead in any efforts to decontaminate decedents, equipment, personnel, and location.
 - Provide expertise and lead in any incident where CBRNE may be involved.

- **ESF #13: Public Safety & Security**
 - Provide site security for the incident, FAC, internment sites, and processing sites.
 - Assist with the identification of decedents through fingerprinting, forensics, and photography.
 - Provide security for the movement of personnel and decedents to and from the incident, internment, and processing sites.

- Provide cadaver dogs to assist in the search and recovery of any decedents.
- Assist the Federal agencies with any investigation.
- Perform GPS/Mapping of the scene to document decedent and/or evidence locations.
- **ESF #15: External Affairs**
 - Provide resources to assist in the collection, confirmation, and dissemination of information to external partners, including the media and general public.

New York City

- **NYC Office of Chief Medical Examiner (OCME):** The resources of the NYC/OCME are under the local control of New York City. Any request for assistance for OCME assets will be strictly coordinated through NYC Emergency Management (NYCEM) as appropriate.
 - Equipment and staffing for incident scene operations, including remains collection staff, site documentation staff, security staff, decontamination PPE and supplies, refrigeration, coroner/ME support for decedent identification, and numerous staff for FACs.

F. Federal Assets that Support Mass Fatality Operations

Federal

Federal mass fatality management and support is identified as ESF #8 Health and Medical. The HHS is the lead Federal agency in the ESF and is the primary agency responsible to coordinate fatality management activities at the Federal level and deploy Federal assets in support of affected local and state governments. HHS's responsibilities in fatality management include:

- Assisting state and local health officials and coroners/MEs in coordinating response activities.
- Requesting DHS/FEMA to activate and deploy appropriate ESF #8 partners including health and medical personnel, equipment, and supplies in response to requests for Federal public health and medical assistance. This may include DMORT assets under the USPHS.
- Deploying the appropriate ESF #8 personnel, which may include regional emergency coordinators, subject matter experts, an incident response coordination team to coordinate ESF #8 requests and missions, a Senior Health Official, contractors, and other entities as appropriate.
- Working with the national associations (e.g. funeral directors, coroners/MEs, dentists, and emergency managers) to provide additional personnel surge capacity if required.
- DHS/FEMA coordinates the implementation of the NRF and supports operations at the FAC as needed.

1. US Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA)

DHS/FEMA is the coordinating Federal agency for all federally declared (Stafford Act) disasters and the primary agency to field requests from the State for any Federal assets during a federally declared incident. While HHS, under Federal ESF #8, is the primary agency responsible for coordinating fatality management efforts at the Federal level, all requests for Federal assistance will be coordinated through DHS/FEMA in a federally declared disaster.

For any non-declared incident, Federal response and/or assistance may be coordinated by several Federal agencies or departments as appropriate.

2. US Department of Health and Human Services (HHS)

HHS is responsible for managing ESF #8, which is comprised of 17 mission areas, including Mortuary Affairs.

- HHS is the parent Federal agency of the Centers for Disease Control and Prevention (CDC), which provides guidance regarding health concerns specific to disease outbreak. CDC also addresses safe handling of biologically contaminated decedents.
- HHS manages the National Disaster Medical System's capability and under the USPHS, provides the DMORT.

3. Disaster Mortuary Operational Response Team (DMORT)

A standard DMORT is comprised of 30 specialized personnel and comes equipped with basic equipment to establish an off-site mortuary and ante mortem data collection center.

Personnel usually include a mix of coroners/MEs, pathologists, forensic anthropologists, medical records technicians, fingerprint technicians, forensic odontologists, dental assistants, radiologists, funeral directors, mental health professionals, and support personnel. During an emergency response, DMORT works in support of local authorities by providing technical assistance and personnel to recover, identify, and process decedents as well as gather ante mortem data. DMORT capabilities include:

- Conducting an assessment of the incident to determine where DMORT will establish ante mortem and postmortem processing locations.
- Establishing temporary mortuary facilities to conduct postmortem exams.
- Tracking and documenting decedents and their associated personal effects during postmortem processing.
- Reducing the hazard associated with CBRNE contaminated decedents, when indicated and possible.
- Collecting ante mortem data in a compassionate and culturally competent fashion.
- Performing postmortem data collection and documentation.
- Providing technical assistance and consultation (e.g. regarding decedent recovery or final disposition).
- Assisting the local officials with identifying and re-casketing decedents that have become de-casketed or when caskets have become disinterred as a result of the disaster.
- DMORT limitations include:
 - The need for the local coroner/ME to provide an environmentally controlled workspace, information technology connectivity, life support (e.g., rest room, food, lodging, and transport), security, hazardous waste disposal, and biological waste disposal.
 - DMORT does not typically search or recover decedents from a field location.
 - Team members may not hold professional licenses in the affected jurisdiction.
 - Standard DMORT personnel cannot process suspected contaminated decedents and do not carry PPE capable of operating in a WMD environment.
 - Personnel rotate after a specified period of time (e.g., 2-3 weeks).

4. US Department of State (DOS)

The DOS provides assistance to local governments regarding foreign nationals and can:

- Assist with obtaining relevant ante mortem data to identify foreign national decedents.
- Coordinate the return of foreign national decedents to their home country.

5. US Department of Justice (DOJ) & Federal Bureau of Investigation (FBI)

The FBI is traditionally the lead Federal investigating agency for any credible or actual terrorism threat to the public. In such cases, the FBI can:

- Assist in decedent identification.
- Provide legal advice concerning the identification of decedents.
- Share missing persons data.
- Provide security in support of decedent identification.
- Conduct criminal scene investigation and gather evidence supporting cause and manner of death.
- Provide forensic support as appropriate.
- Provide assistance with funeral costs and related expenses for specific types of cases.
- Serve as liaison to Interpol, who can provide assistance to identify foreign national decedents and coordinate with their family members located abroad.

6. US Environmental Protection Agency (EPA)

The EPA is responsible to assist the Federal health and medical response operations by providing technical assistance and environmental information including:

- Federal Radiological Monitoring and Assessment Center (FRMAC) and appropriate advisory teams.
- Environmental technical assistance and information.
- Air monitoring and analysis, as appropriate.

7. US Department of Transportation (USDOT)

The USDOT can provide transportation assets as well as identifying and arranging for all types of transportation (e.g. air, rail, ground, marine). The USDOT can assist by:

- Providing refrigerated storage assets and different types of transport assets to move large numbers of decedents from one location to another.
- Coordinating the support for logistical movement of technical equipment and supplies.
- Providing temporary remains storage facilities as requested, such as at body collection points.

8. National Transportation Safety Board (NTSB)

The NTSB is the lead agency for investigating every civil aviation and other type of transportation (e.g. railroad, highway, marine, or pipeline) accidents in the United States. The NTSB can:

- Provide family/decedent support coordination during transportation accidents. In such cases, the NTSB also ensures the establishment of FACs, forensic services, communication with foreign governments, and interagency coordination between communities and commercial carriers.

9. US Department of Labor (DOL)

The U.S. Department of Labor Occupational Safety and Health Administration (OSHA) can assist in worker exposure assessment and responder and worker risk management. OSHA and its State Plan partners help set and implement national safety and health standards for emergency responders. Foremost among these standards is the Hazardous Waste Operations and Emergency Response standard of 29 CFR 1910.120(q).

10. US Department of Agriculture (USDA)

The USDA is able to provide limited support, including:

- Set up and manage base camps to support mass fatality management workers.
- Provide guidance on decontaminating refrigerated storage containers that may have a future use for food stuff.

11. US Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)

The ATF is a law enforcement agency who specializes in the investigation of crimes related to the use of illegal firearms, arson, explosives, and distribution and sale of alcohol and tobacco. During a mass fatality incident, where the use of firearms, arson, or explosives are utilized, whether in the commission of a crime or an act of terrorism, the ATF will be involved in the investigative process, and will have the resources necessary to assist.

Augmented Federal Support for Catastrophic Incidents

Existing Federal-level planning efforts also include the presence of a Catastrophic Incident Supplement (CIS). This document is designed to be used in a catastrophic incident and provides for Federal support in a more aggressive posture, which includes “push packages” of fatality resource support. The current CIS includes provisions for fatality push packages comprising of the following resources to be deployed within 24 hours:

- Two DMORTs.
- One Deployable Portable Mortuary Unit.
- One DMORT- All Hazards/Weapons of Mass Destruction (AH/WMD) Team.
- One DMORT cache of medical equipment and supplies to support their team members.
- Deployment of additional DMORTs to backfill operations.

Following a CBRNE catastrophic incident within the United States, U.S. Northern Command (USNORTHCOM) directs appropriate entities (e.g., Army North/Joint Forces Land Component Commander) to engage their assets in support of civilian authorities affected by the disaster. As such, USNORTHCOM may direct apportioned forces to support mortuary affairs operations to accomplish the search, recovery, storage, evacuation, and postmortem processing of decedents. The DOD is still developing the best means to manage CBRNE contaminated decedents. Currently, the DOD has limited capability to perform hazard mitigation for CBRNE contaminated remains. Under ideal conditions, each platoon-sized element of DOD Mortuary Affairs personnel can process up to 80 non-contaminated and approximately 5-10 contaminated decedents per day.

G. Non-Governmental Organizations (NGOs)

- **NYS County Coroners and Medical Examiners Association**
 - Surge capacity for morgue services.

- **NYS Funeral Directors Association**
 - Provide support and coordination/assistance for a FAC.

New York State Comprehensive Emergency Management Plan

Fatality Management Annex

Section IV: Recovery

A. Family and Victim Support Services

1. Disaster Assistance Service Center

The State of New York may bring together a range of disaster-related resources in one place in the form of a DASC. A DASC is a State managed organization designed to meet the needs of individuals impacted by the disaster.¹ Those who visit the center will find staff from State, local, and voluntary agencies on hand. Visitors will be screened upon arrival and directed to representatives of the programs and services best able to meet their needs. Agency representatives at the DASC can provide advice and information on disaster housing and relocation, unemployment benefits, crisis mental health counseling, low-interest disaster-related loans, legal and insurance issues, and more. Immediate financial assistance for food and clothing and emergency expenses may be available as well.

2. Disaster Recovery Center

A DRC is a readily accessible, federally managed facility or mobile office where program applicants may go for information about FEMA or other disaster assistance programs, or for specific questions related to particular applicant cases.

Some of the services that a DRC may provide include:

- Guidance regarding disaster recovery.
- Clarification of any written correspondence received.
- Housing Assistance and Rental Resource information.
- Answers to questions, resolution to problems and referrals to agencies that may provide further assistance.
- Status of applications being processed by FEMA.
- New York State Bar Association (NYSBA) program information if there is a NYSBA Representative at the DRC site.

3. Family Assistance Center

FACs are typically established during a mass casualty/fatality incident to support families' information and bereavement needs. They facilitate the exchange of timely and accurate information with family and friends of injured, missing, or deceased disaster victims, the investigative authorities, and the coroner/ME. Types of services generally include: grief and/or crisis counseling, childcare, religious support, facilitation of family needs such as hotel, food, and transportation, ante mortem data collection, and notification of death to the next of kin. FACs can be face-to-face or established

¹ The New York State ESF #6 Annex contributes to this initiative.

remotely through virtual forms of communication.

Specific activities typically executed in a Family Assistance Center may include:

- Make initial notification to family members of decedents involved in the incident based on manifest documents and other available information.
- Monitor search and recovery operations conducted by the local/county jurisdiction and offer assistance where needed.
- Determine the status and location of victims.
- Assist the coroner/ME in the identification of fatalities and the notification of their families.
- Provide psychological and logistical support and services to decedents and their family members.
- Provide daily briefings to families on the progress of body recovery efforts, identification of victims, the investigation, and other areas of concern.
- Arrange for a family memorial service for the dead.
- Provide for the return of personal effects.
- Maintain contact with decedents and their families to provide updates on the progress of the investigation and other related matters.

The NTSB has developed the Federal Family Assistance Plan for Aviation Disasters.² This plan assigns responsibilities and describes specific procedures for family assistance after an aviation crash involving a significant number of passenger casualties/fatalities. Organizations assigned responsibilities under the plan will develop supporting agency plans and procedures.

² Public Law 104-264, Title VII, Aviation Disaster Family Assistance Act of 1996

New York State Comprehensive Emergency Management Plan

Logistics Annex



**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

Plan Revision History/Record of Distribution

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Executive Summary/Policy

One of the missions of the State of New York and the Disaster Preparedness Commission (DPC) is to provide leadership, coordination, and support for efforts to prevent, protect against, prepare for, respond to, and recover from disasters and emergencies through the logistical management of resources. Obtaining the resource is only one facet to managing logistics. The other is actually distributing or applying the resource to maximize efficiency and make the best use of the resource. These are pivotal elements in managing logistics before, during, and after an incident.

Emergency Support Function (ESF) #7 shall serve as the operational arm of the State's Logistics Management. Under this construct, ESF #7 provides the critical capability of Logistics and Resource Management, with the NYS Division of Homeland Security and Emergency Services (DHSES) Office of Emergency Management (State OEM) as the coordinating agency. ESF #7 will activate in situations where a State level multi-agency response is needed for resource management, coordination, and procurement.

One of the missions of ESF #7 is to direct and coordinate logistics for comprehensive incident management. The principal activities of ESF #7 staff in the State Emergency Operations Center (EOC) during an event at any activation level are the procurement, prioritization, and dissemination of information and resources for identified and approved supported agencies. New York State ESF #7 will serve as the primary integration point for Federal ESF #7, should the State request Federal assistance.

Comprehensive Approach

Dealing with emergencies and disasters is an ongoing and complex endeavor. Through the implementation of Preparedness measures, effective planning and pre-positioning of resources is the key to successfully applying timely and effective Response strategies during an actual emergency. Further, logistical provisions for short- and long-term Recovery efforts after the incident is essential in ensuring that New York State can maintain its obligation to the people of the state. The process of emphasizing the relationship of activities, functions, and expertise necessary in dealing with emergencies is known as Comprehensive Emergency Management.

Management Responsibilities and Authority

New York State is obligated to provide assistance to county and local governments in response to a disaster after local resources have been fully committed and the county is unable to cope with the disaster. Depending on the size and severity of an incident, New York State may be called upon to support a small, isolated response or a larger regional response. Additionally, the State is obligated to manage and coordinate donation management, asset procurement, stockpile usage, transportation of materials, Emergency Management Assistance Compact (EMAC) coordination, and interoperability with Federal ESF #7. Therefore, New York State must ensure that it is prepared to respond to an emergency with the necessary resources as part of the collective State disaster response.

Section I: General Considerations & Planning Guidelines

1. Introduction

Managing a response to emergencies or disasters is a complex undertaking. In doing so, government at all levels apply the required resources to ensure that public health and safety is maintained, and that response and recovery efforts can be effectively accomplished. When the required resources are not locally available or controlled, a local government must have a mechanism in place to obtain and properly utilize those resources. Similarly, but on a different level, the same concept applies to the State's level of response. Pivotal elements in managing logistics is obtaining the resources and distributing or applying the resources with maximum efficiency.

Whether or not the necessary resources exist in a jurisdiction, the Logistics Annex describes the framework within which the State will manage logistics in response to an emergency or disaster situation that warrants State logistical support. The concepts and mechanisms noted here are for all hazards and are specifically designed to support the county-level of government. County-level government plays a lead role in managing logistics at the municipal level. In addition, this Annex is designed to be flexible enough to be applicable across all 62 counties of New York State.

2. 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 State 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. The State CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other functional and hazard-specific annexes are built upon. These annexes address a broad range of consequences to respond to the State's highest rated hazards.

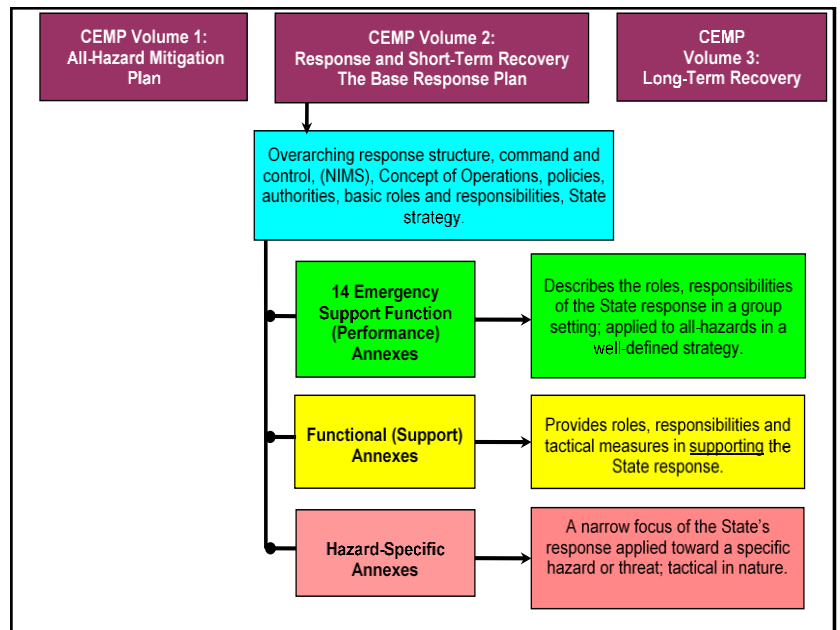


Figure 1: Structure of the State Comprehensive Emergency Management Plan

The purpose of this Annex is to ensure that the State CEMP is adequate to respond to the logistical needs associated with disasters and emergencies within the State, including pre-positioning resources for known events and having adequate resources for no-notice events. This Annex will include utilizing individual agency activities that serve as a precursor to utilizing

the ESFs, as warranted. Further, this Annex identifies the key mechanisms in coordinating with local response and identifies the lines of coordination to interoperate with the Federal response via the National Response Framework (NRF).

The objectives of the plan are to:

- Describe the State's logistic management and delivery organization;
- Provide an overview of operations for executing logistics management in support of an event requiring state assistance; and,
- Outline state logistics management responsibilities in support of the Response and Short-term Recovery section of the State CEMP.

3. Scope

This Annex:

- Applies to all incidents that require State logistical support in response to an emergency or disaster;
- Applies to all incidents that require a limited or full activation of the State EOC; and,
- Applies to all State agencies and authorities that may be directed to respond to such an event and builds upon the process and structure of the State CEMP by addressing unique policies, situations, operating concepts, and responsibilities.

Response operations based on the type of event will encompass the efforts identified in this annex and utilize existing capabilities of other functional and hazard-specific annexes to the State CEMP. This Annex is actionable through the efforts of ESF #7 and is a supplement to the ESF #7 Logistics Annex. It is important to note that other State plans, either agency-specific or multi-agency, may be used to support the implementation of this Annex.

4. Situation

This section outlines the potential scenarios and impacts that risks may have on the State's ability to provide logistical support and resources to disaster or emergency-impacted areas of the state. Known events, such as mass gatherings or predicted inclement weather, could impact the logistical resources of the State through the pre-placement and staging of resources, which may limit available resources to other areas of the state. Additionally, incidents occur that provide little, if any, warning that may cause mass disruptions of services or where county-level governments will require State logistical support in response to a disaster or emergency.

A hazard may be natural, technological, or human-caused and may come from an internal or external source, which may have a severe impact on resource availability at a local level. Depending on the type, size, location, and duration of an incident, normal trade and commerce may be interrupted, resulting in a high demand for limited resources. For example, in the aftermath of Superstorm Sandy, gas and potable water were scarce in the New York City area due to limited or no electricity or generators, resulting in rationing of resources.

Past events in New York State have required large-scale mass care operations, which involved the acquisition and distribution of resources to assist with sheltering, feeding, and providing emergency supplies to affected populations. Additionally, past events in New York State have required logistical support for flood mitigation and response, including the coordination of resources for daily operations. Further, past events in New York State have required large-scale debris removal operations, which involved the use of State agency tree-removal teams or snow-removal teams, and applicable resources. These extensive State logistical operations have

provided viable and valuable input in plan development, which ensures that the plan is effective in both scope and application.

5. Planning Assumptions

- The State is aware of known events, such as mass gathering or monitoring known inclement weather, and pre-place or stage resources for rapid response to an incident.
- The State may have little, if any, warning of an event that may cause mass disruptions of services and resources. The State OEM maintains ten stockpiles with limited resources to assist with strategic management and placement of resources throughout the state.
- One or more local entities may have declared a local State of Emergency in response to the disaster and the State has been called upon to assist. Or, the Governor has declared a State Disaster Emergency and made State assistance available to county and local governments.
- Local government resources will likely be overwhelmed, and the State may need to provide additional assistance to support local efforts. State assistance will serve as a supplement to local actions and will be made only after local resources are exhausted.
- Resources allocated under this Annex will be those items not available at the local level, because they were never available to the locality, have been exhausted in response to the emergency, or are not accessible within the timeframe of the applicable emergency. These may include contractual services.
- In the event of a major response and recovery operation, the State may be required to assist local governments by providing distribution facilities and personnel to manage those facilities. Communication assets may be needed to support facility operations.
- In select circumstances, personnel will be allocated with the requested resource. Personnel and resources will be tracked through NY Responds (NYR) and rolling resources will be tracked through Asset Management System (AMS).
- Federal assistance may be required to augment local and State efforts, as the need for resources and assistance may surpass both local and State resources.
- Based on the severity of the emergency or event, delays may occur at all levels of government in obtaining resources and supplies.

6. Concept of Operations

The concept of operations outlines the anticipated sequence of events before, during, and after an incident that requires logistic management from the State. The structure for State logistics depends on the demands of the incident demographics, the level of logistical capability at the local level, and the State response level being applied to the incident.

- An incident occurs in the state, local resources are exhausted or non-existent, and State assistance is requested.
- The Governor could exercise gubernatorial authority in declaring a State Disaster Emergency. In doing so, the Governor may direct any and all State agencies, including non-DPC agencies, to provide assistance under the coordination of the DPC.
- State response activities begin, and if warranted, the State EOC is activated. State OEM staff will initially fill all roles and responsibilities of the Logistics Section.
- State OEM will notify other appropriate DPC agency representatives, which may include the activation of ESF #7.
- If warranted, ESF #7 will activate. State OEM serves as the ESF lead agency and will activate all or specific agencies to assist in managing components or functions in the ESF #7 Logistics Section.

- Subsequent to the request for assistance, the State attempts to fulfill the request from existing State resources, general population or private sector donations, or through emergency contract procurement as a last resort.
- If warranted, State OEM will coordinate with the Department of Homeland Security Federal Emergency Management Agency (DHS/FEMA) and other Federal agencies to support logistical planning and resource support to meet the needs of disaster survivors and responders.
- If conditions warrant, the State will utilize adjunct facilities or functional elements in supporting the request, acquisition, and distribution of resources. These include Federal/State Staging Centralization Centers (FSSC), Staging Areas (SA), and Commodity Points of Distribution (CPOD).
- If requests for resources cannot be filled at the Federal level, State Logistics will coordinate with the DHS/FEMA to pursue acquiring the asset through commercial sources, through EMAC, or through other mutual aid agreements.

7. Authorities or Policies

The authority to develop this plan and implement the specific logistical response actions required to effectively respond to disasters and emergencies can be found in New York State Law, regulations, and Federal authorities, including:

- NYS Executive Law – Article 2-B
 - Section 21 State Disaster Preparedness Commission; powers a
 - Section 25 Use of Local Government Resources in a Disaster
 - Section 28 State Declaration of a Disaster Emergency
 - Section 29-h Intrastate Mutual Aid Program
 - Section 29-g Emergency Management Assistance Compact
- Executive Order # 26 of 1996 and # 26.1 of 2006 as amended (NYS Adoption of the Incident Command System)
- Homeland Security Presidential Directive (HSPD)-5
- Procurement of resources will follow the established priority of fill:
 - Article 11 of the State Finance Law
 - NYS Emergency Standby Contract to bring in vendors to provide a broad range of services in supporting distribution management.

8. Plan Maintenance, Distribution, and Review Process

State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, each plan shall undergo an annual review, update, and be posted online (if applicable) no later than March 31 of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

Section II: Preparedness

1. Mitigation

Volume 1 of the State CEMP is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to substantially impact the State. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the State. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The *State Multi-Hazard Mitigation Plan* was federally approved by the DHS/FEMA in December 2018. Each county has a FEMA-approved hazard mitigation plan.

2. Planning/Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal, the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of the ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York and New York City. Counties also participate in their own CEPA to help understand their risks. CEPA provides great insight as to the State's risk profile from a local-level perspective.

3. Mitigation Measures

A variety of other logistics-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 logistics. These include, but are not limited to, the following:

Asset Management System (AMS)

- The AMS application provides agencies with asset information and an emergency management portal which allows users to search for available assets by license plate, asset ID, internal number, or by a keyword search function. The AMS application also allows users to locate assets on a map, run reports identifying the available assets or tasked associated with an asset, and view all assets. State OEM will use the AMS application to streamline and expedite the emergency resource request and deployment process, as well as monitor and report on the availability of assets during emergencies.

Emergency Contracts

- Emergency Standby Services Contracts have been established through the State Office of General Services (OGS) that can serve to support the State, local governments, and school districts. This support can include the distribution of commodities, if needed, through third-party vendors.

ESF #6 Mass Care Appendix

- The purpose of this Appendix is to ensure that ESF #6 can adequately prepare for and provide mass care support to affected populations. This includes life-sustaining and

human services resources such as hydration, feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergency supplies. Further, this Appendix identifies the key mechanisms in coordinating with the local response and identifies the lines of coordination to interoperate with the Federal ESF #6 via the NRF.

ESF #7 Annex

- The ESF #7 Annex provides the structure for coordinating response activities for incidents that go beyond the capability of local government. The ESF #7 Annex would support the following critical capabilities in NYS: Logistics and Resource Management, Private Sector/Non-Governmental Organizations, and Planning. The ESF #7 Annex identifies the DHSES as the lead agency and identifies the alert, notification, activation, and roles/responsibilities of each agency.
 - NYS Stockpile Program: The Stockpile Program consists of ten strategically placed locations across the State that house a variety of resources often needed during a disaster. These essential resources include generators, light towers, mass care supplies (e.g., cots, blankets), meals ready to eat (MREs), pumps, and numerous other assets often needed during an emergency. Stockpile requests are considered by DHSES (in consultation with county emergency management) on a case-by-case basis depending on the nature of the request and the situation. However, the stockpile assets are only intended to be used during emergency situations and after other local resourcing options have been exhausted. All requests must be made to DHSES through the county emergency manager. These supplies will be deployed during a disaster from the nearest locations first and from other stockpiles as needed thereafter.
 - Emergency Management Assistance Compact (EMAC): EMAC is a nationally adopted Interstate Mutual Aid Agreement. EMAC has been ratified by U.S. Congress (PL 104-321) and is law in all 50 states, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands. EMAC is implemented through State OEM on behalf of the Governor and follows the five-step process to facilitate mutual aid. As a member of EMAC since 2001, NYS has access to other state's resources during a State-declared disaster. The process for acquiring resources from other states is identified in the EMAC User's Guide.
 - Volunteer and Donations Management Appendix: New York State's donations management goal is to provide victims of disasters with as much support as possible by effectively channeling offers and goods from the public. This Appendix provides guidance concerning donations of goods, materials, services, and cash. Topics addressed include the advantages of cash donations, and State preparations for receiving, managing, and distributing donations, including close coordination with volunteer organizations.

Distribution and Inventory Management Annex

- The purpose of this Annex is to ensure that the State has a detailed plan to provide distribution and inventory management capabilities that can be applied during disasters and emergencies within the State, including ordering, distributing, managing, transporting, staging, and demobilizing of critical resources.

Medical Countermeasure Distribution and Dispensing Plan

- The Strategic National Stockpile (SNS) Plan was updated in July of 2015, which include a change in name for the plan to the Medical Countermeasure Distribution and Dispensing Plan (MCM D&D). This name change reflects the plan incorporating more all-hazard elements (focusing beyond Anthrax and including both Pandemic Influenza as well as other infectious disease outbreaks) as well as the variable scope of an incident (small scale outbreaks in a locality or region needing state agency support, to state-wide events).
- The MCM D&D plan was updated in 2019-2020 to incorporate new federal and state revisions and priorities. This includes a major change of the SNS being federally coordinated previously by the Centers for Disease Control and Prevention (CDC) and now under the authority of the Office of the Assistant Secretary of Preparedness and Response (ASPR). Other updates are in-line with the move in planning to be more flexible to different hazard types, including emphasis on cold chain and medical supply chain management and other guidance from the federally-required, standardized Operational Readiness Review (ORR) which all funded state agencies must complete to receive grant funding.
- Due to the COVID-19 Pandemic response, the MCM D&D plan will be transformed immensely by Executive direction in 2021-2022. The plan in its entirety will be reviewed and revised based on this direction and lesson learned from the pandemic.

Previous Events and Operations

- The State has the capability to review previous incident data to determine a general idea of the number of people affected in a certain area, the amount and types of resources that were requested by local governments, and the logistical resources used to provide assistance in acquiring, transporting, and distributing the resource.

4. Emergency Facilities

In large-scale emergencies or disasters, the State may utilize a variety of emergency facilities and locations to expedite the request, acquisition, and distribution of resources to the affected area. These facilities will be used to temporarily store needed supplies, donated or procured, prior to their transfer to organizations or people who need them. When a catastrophic disaster occurs, the State may establish a Federal/State Staging Center (FSSC) and other emergency facilities to support the response. These emergency facilities include the following:

Federal/State Staging Center (FSSC)

Located near major transportation hubs, i.e. airports, rail yards, or trucking terminals, the Federal/State Staging Centers receive bulk supplies, materials, and inventory to sort and repackage items to be sent to Staging Areas. This would be considered the “wholesale” side of the operation and would be located outside of the affected area. The mobilization center will serve as the depot where federal resources are received and transferred to state control. Resources will be reconfigured from “wholesale” to “retail” and distributed to local government CPODS, in coordination with the Logistics Section in the State EOC.

Staging Areas (SA)

Staging Areas are located outside the directly affected area but are located nearby to facilitate delivery into the area. This remains part of the “wholesale” side, but items are further broken down for direct delivery to the affected area.

Commodity Point of Distribution Sites (CPODS)

CPODS are located within the affected area and constitute the “retail” side of the supply process. The items delivered through this mechanism are in a form usable without further action, i.e. flashlights with batteries, water, etc.

Donation Centers

Donation Centers will not be located within the mobilization center. However, they may be located within a short distance in a different facility. The activity, while similar in many respects, would likely result in more conflict than is warranted.

Facilities to be used for FSSCs, SAs, or CPODS will, where possible, be identified by the requesting entity. The local knowledge of facilities and infrastructure to support the emergency facilities is essential to ensure efficient and successful operation of the facility. If possible, State or other governmental structures meeting the necessary criteria will be used.

The Distribution and Inventory Management Annex complements this Annex and provides further guidance on SAs and POD Sites. It can be found as Attachment 5.

5. Resource Requirements and Logistical Support

ESF #7 will activate in situations where a State level multi-agency response is needed for resource management, coordination, and procurement. ESF #7 will manage and coordinate donation management, asset procurement, stockpile usage, transportation of materials, EMAC coordination, and interoperability with Federal ESF #7.

The principal activities of ESF #7 at the State EOC during an event at any activation level are the coordination, prioritization, and dissemination of information and resources in response to the incident.

ESF #7 will operate under the management structure in place in the State EOC.

State OEM use a variety of mechanisms to identify and deploy resources to support local response needs during an emergency or disaster. Stockpiles are only one means that State OEM may use to fulfill a request. State OEM may also obtain the requested resource from another agency or by procurement if the asset is not readily available elsewhere. State agency resources that may be used in a response to an emergency or disaster are maintained, as appropriate, under the purview of each agency.

DHSES Logistics maintain the Regional Disaster Logistics Centers in a state of readiness.

6. Memorandums of Understanding (MOUs)

MOU contracts require regular reviews and updates. MOUs are updated on an as needed basis, when change requests are made to the agreements by either party, or on or before expiration of the existing MOU.

Adventist Community Services (7th Day Adventist)/State MOU is for the provision of donations management and multi-agency warehouse management during an emergency or disaster in New York State. A copy of the Adventist Community Services MOU can be found in Attachment 6.

American Red Cross (ARC)/State MOU is for the provision of mass care disaster relief in New York State. A copy of the ARC MOU can be found in Attachment 6.

The Salvation Army is specifically identified in The Stafford Act (42 USC 5152) as a Federally Recognized Disaster Relief Organization and has National Level MOUs in place with FEMA, the American Red Cross, National VOAD, Southern Baptist Convention, ARRL, America's Second Harvest, Mennonite Disaster Services, the Civil Air Patrol, Moose International, Kiwanis International, etc.

The NYS Standard Operating Guide for the Emergency Management Assistance Compact, for Interstate Mutual Aid, can be found in Attachment 4.

7. Tests, Training, and Exercising

The State of New York sponsors and conducts a variety of training to improve response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements. Additionally, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline. The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises.

The State utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes.

As part of the regular testing of resources and maintaining test records of those resources, DHSES Stockpiles utilizes the SFS Maintenance system. The system generates work orders based on a predetermined schedule depending on the type of equipment, routine service schedule, and general function checks.

Agencies may conduct additional training on their own. For example, the Department of Health is responsible for medical POD exercises with counties.

8. After Action Reports (AAR) and Corrective Actions Programs (CAP)

Following an exercise or an actual event, an After-Action Report (AAR) should be completed by all staff involved in the event. The information gathered in the AAR will provide insight into future refinement of the Logistics Annex. AARs will be completed as soon as possible following any relevant exercise and will be facilitated by the State OEM for plan updates, ideally at the end of the exercise. The AAR should be completed as soon as possible following the of deactivation of the State EOC and provided to the State OEM, ideally within one to two weeks. DPC agencies will support all exercises and AARs. For example, in response to the Lake Ontario flooding in 2019, State OEM coordinated an AAR with all staff and agencies involved, resulting in a Corrective Action Program initiated by State OEM.

Section III: Response

1. Alert, Notification, and Plan Activation

The response to an incident may be adequate using only local resources or it may be one that necessitates or warrants a State response. As such, State involvement may be initiated in a variety of ways as various mechanisms are in place to serve as conduits to the request, acquisition, and deployment of State assistance. Several State agencies continuously operate their own warning points, operational centers, dispatch centers, or reporting systems that field requests for State assistance in addition to the daily operating needs. Pursuant to Federal, State, executive, and agency-specific protocols, these systems are routinely used for notifications of significant or reportable events and/or make emergency notifications to State personnel. Included among these is the State Watch Center (SWC) at the State EOC. State assistance is often provided through these reception points which become more centralized under an overall State response upon activation of the State EOC.

2. Emergency Response Levels

Local government serves as the front line of defense and has the primary responsibility to respond to emergencies within their jurisdiction. Such primacy exists at all levels of government throughout New York State, with jurisdictions dependent on the State to support response activities, as appropriate.

As identified in the State CEMP Volume 2 and the ESF #7 Annex, the State EOC maintains several activation levels based upon event severity and the overall level or volume of State response operations. These levels are indicative of the response to a specific hazard or threat and include a host of operational functions and mechanisms. Those functions may be broad in scope, or may be narrow, such as providing assistance in logistics management and support.

The following levels of activation outline the operational steps the State may take in responding to any event.

Level 4 Enhanced Monitoring: A small, isolated, or potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- Agencies may be asked individually to provide support through remote operations or report from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC, with ESF coordinating agency activation.

- ESF #7 agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC, with ESF activation.

- Most, if not all, ESF #7 member agencies will be activated.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC, with ESF activation, and Federal ESF integration and coordination.

- All ESF #7 member agencies will be activated.
- The activities of ESF #7 will be integrated with those of their Federal ESF #7 counterparts.

3. Emergency Response Organization and the use of the Incident Command System

The Incident Command System (ICS) response structure will be implemented in response to an emergency situation. ICS allows for flexibility in its application so that its structure can be modified to any particular situation.

The State EOC is organized in the ESF construct. The ESF organizational structure provides support, resources, program implementation, and services needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal following a hazard event or disaster. The State EOC Organizational Chart is depicted below.

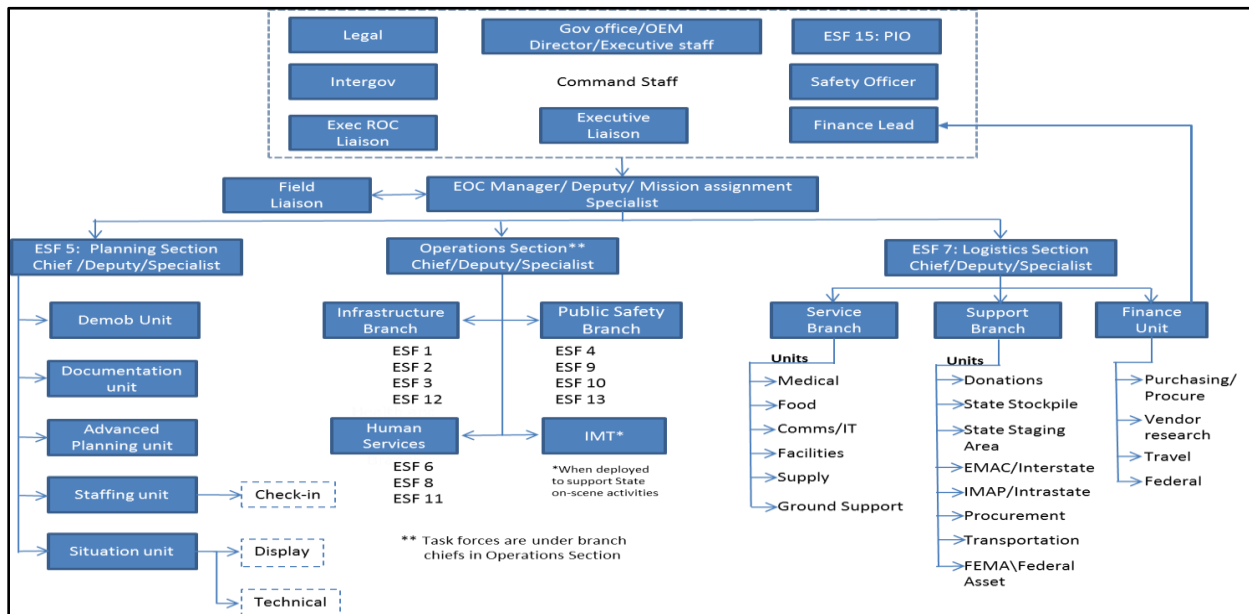


Figure 2: State EOC Organizational Structure

The alignment of State EOC activation levels and the corresponding ICS function and capability can be found in the State CEMP, Volume 2- *Response and Short-Term Recovery*, Attachment 2 - *State EOC Activation Level Matrix*. Other elements that can be activated to improve resource coordination include, but are not limited to:

Multi-Agency Coordination (MAC) Group

As indicated in Volume 2- *Response and Short-Term Recovery*, a Multi-Agency Coordination (MAC) group may be established to identify a variety of executive policies, including policy for agencies to support resource requests through each Agency Operations Center (AOC) and support the management of emergency facilities.

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.

4. Assignment of Responsibilities

This section reviews existing roles, responsibilities, and capabilities of local and state governments and agencies.

Local Government

Local government will be actively involved in resource logistics management, to the fullest extent possible. Each county, and many local governments, has a comprehensive emergency management plan which provides the framework for the jurisdiction's response to emergencies and disasters. Each locally developed plan will differ in its implementation, including in response capabilities, surge capacities, and in the ability to exercise authorities. A local point of contact would be identified to coordinate with local logistics management and act as a primary point of contact. This could be accomplished through the county OEM, local ARC chapters, other local agencies, or County Organizations Active in Disaster (COADs).

State Government

The State's role is to coordinate State Logistics Management Operations. Agencies may not have a specific role and responsibility in Logistics, however responsibilities outside the Logistics Management and ESF #7 framework may overlap with the Agency's capabilities to assist in Logistics Management operations. State agencies that can provide logistical support include, but are not limited to: Canals, State University of New York, Division of Military and Naval Affairs, Department of Corrections and Community Services, Department of Transportation, DHSES/Finance, DHSES/Logistics, Office of General Services, Office of Information Technology Services, NY Power Authority, Office of Interoperable and Emergency Communication, Thruway Authority, and Office of Parks, Recreation, and Historical Preservation.

5. Staffing Requirements

Command and Control Centers

Based upon the response level to the disaster, State agencies may provide staff to the State EOC, the MAC, and to a variety of forward locations including:

- The affected county's emergency operations centers;
- The State-established Incident Command Post (ICP) and/or Regional Operations Center (ROCs);
- The Joint Field Office (JFO), if established;
- In support of the IMT (or multiple IMTs), if deployed; and/or,
- In support of emergency facilities, if established.

State agency representatives may serve in a primary and/or support role for several ESFs. To facilitate accomplishment of assigned responsibilities, the number of agency personnel operating from each location will be based on operational requirements and coordinated through the chain of command, as appropriate.

Staffing for Emergency Facilities

Staging Areas will be staffed as appropriate using State, volunteer, and local resources. Agency representatives must be knowledgeable of the resource request process, understand the accountability issues for the tracking of resources or services, and be cognizant of their role within the ICS. Agencies that have exhibited or demonstrated the capability to support emergency facilities are identified in *Agency Responsibilities* in the following paragraphs.

6. Agency Responsibilities

The following agencies or organizations have been identified as having significant roles within the Logistics management function and process.

New York State Office of Emergency Management (State OEM): Provide overall coordination of logistics and interagency coordination between local, state, and federal response and recovery components.

NYS DHSES/Asset Management: Will provide (forward) tactical support through management of state stockpiles and staging areas, and related coordination and informational support within the State EOC during activations (Level 2 or greater).

NYS DHSES/Finance: The primary role of DHSES/Finance is the procurement and financial tracking of resources during response and short-term recovery efforts of an event. DHSES/Finance may be required to work with the OGS Business Service Center (BSC) for purchases and obtain approvals from both the Office of the State Comptroller (OSC) and the Division of Budget (DOB).

NYS Office of General Services (OGS): Manages the state procurement efforts during non-emergency times and assists with both material and property management during emergencies. OGS may also provide assistance with locating and management of logistics sites for operational use. In addition to emergency procurement support, the OGS can provide logistical support during emergency response and short-term recovery activities assisting with the transportation of supplies, office furniture, and other items through its Mail & Freight Center and Distribution Management Programs staging items at its regional Distribution Center in Albany and Long Island.

NYS Division of Military and Naval Affairs (DMNA): Manages the military assets of the State, including assets owned by both the State and Federal government. May also assist in locating, establishing, equipping, and providing overhead teams, and managing staging centers and other logistical sites to support disaster recovery operations. Per the National Framework and FEMA, military forces are not first responders, but, the National Guard is the first level of military response.

NYS Department of Corrections and Community Supervision (DOCCS): The primary role of DOCCS is to provide personnel to assist in preparing, establishing, equipping, and managing State Logistics sites for operational use, and in site clean-up after response and recovery operations have ended. DOCCS may also provide transportation support to an operation.

NYS Department of Transportation (DOT): The primary role of DOT will be to transport items, as needed, with available resources. DOT will identify the assets that can be made available to ESF #7, depending on the event.

NYS Office of Parks, Recreation, and Historic Preservation (OPRHP): The primary role of OPRHP is to provide what OPRHP assembles and sends over on a weekly basis in OPRHP's "Inventory Readiness Report" (stockpiles) as well as the capability of providing "Staging Areas" in the affected area(s) when possible.

NYS Thruway Authority (TA): The primary role of TA will be to transport items, as needed, with available resources. TA will identify the assets that can be made available to ESF #7, depending on the event.

State University of New York (SUNY): SUNY may be able to provide equipment including barricades, compressors, gen-sets, trucks, and related maintenance equipment.

NYS Canal Corporation (Canals)/NYS Power Authority (NYPA): Canals/NYPA may have the ability to provide limited inventory of portable and heavy equipment to support requests by impacted agencies/entities. Canals/NYPA has limited capacity to provide personnel, and engineering and technical expertise in support of emergency response requests. Resources needed to meet Canals/NPYA infrastructure, and engineering and operations needs would be prioritized. Emergencies impacting the canal system will limit the resources available from Canals/NYPA, if ESF #7 is activated.

NYS Office of Information Technology Services (ITS): ITS can provide consolidated mainframe and server computer and networking. Provides technology support to the State EOC.

NYS Office of Interoperable and Emergency Communications (DHSES/OIEC): OIEC can provide radios and communications support to the State EOC.

NYS Department of Environmental Conservation (DEC): Assist in locating, establishing, equipping, and managing Federal/State Staging centers and other logistical sites to support disaster recovery operations. DEC's Division of Materials Management is responsible for initiating the issuance of waivers of container deposit requirement (State Returnable Container Act) for water donated by manufacturers (and others) toward specified emergency relief efforts.

New York State Voluntary Organizations Active in Disaster (NYS VOADs)

NYS VOADs may assist in the off-loading, storage, inventorying, and distribution of unsolicited donations at the separately established donations centers and will also provide assistance in handling other goods, and managing volunteers desiring to work at the Point of Distribution Sites. To address this, there is a MOU with the Adventists Community Services and a Volunteer and Donations Management Appendix.

7. Integration of Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Like New York State's ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into New York State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State's Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF. As such, New York State ESF #7 will serve as the primary integration point for Federal ESF #7 when coordinating logistics management and operational needs.

8. Requesting Assistance and Resource Request Tracking

State Assistance

Communication and information flow are essential during an emergency or disaster. Having standardized response and resource management activities ensure a central coordination of resources and direction for requests for assistance. New York State currently uses the universal emergency management software platform NYR to submit and share vital disaster-related

information with local governments and state agencies. NYR tracks incident reports and resource requests with real-time tracking of assets.

When the State EOC receives and approves a request for assistance, that request is provided to the Operations Section Chief (OSC), if established, and the appropriate ESF. Once received by ESF #7, the ESF Coordinator will navigate/source the request to the appropriate member agency. If the resource is available, the ESF Leader will advise the OSC and assign the mission.

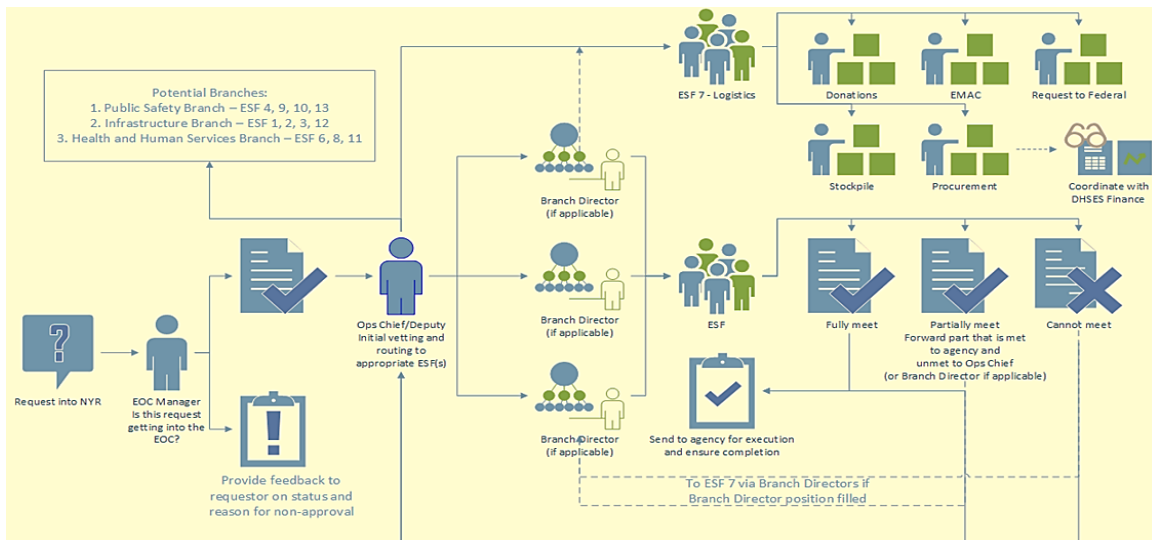


Figure 3: State EOC Mission Flow Chart

Logistics Section

ESF #7 is located under the Logistics Section in the State EOC. The Logistics Section Chief is responsible for the direction, control, and coordination of resources and personnel assigned under the Logistics Section. The Logistics Section Chief for each operational period reports to State EOC Manager, who directs the management of all incident-related tactical activities and will maintain positive operational control of all pertinent ESF activities.

Mission Assignment Specialist

A position at the command and general staff level that helps to facilitate requests for assistance. The Mission Assignment Specialist helps to avoid operational bottle necks, is responsible for vetting requests/missions that are received by the State and helps to ensure that the requests are tasked to the appropriate ESFs.

Mission Request

A mission request is a request for State assistance that are formally entered into the State Incident Management System, NYR. Requests or missions can be for resources or services, including personnel. Missions will be assigned to the Operations Section Chief, Branch Director (if established), and to the ESF.

Mission Tracking

After an ESF is assigned a request/mission and accepts it, the assigned resource must be tracked using NYR. The resource must be tracked throughout the entire process for visibility, efficiency, accountability, and reporting purposes.

Mission Monitoring

Requests/Missions that are assigned will be monitored using NYR. The Coordinating Agency, Branch Director, and OSC can all be monitoring requests for their respective ESF. The agency that provided the resource should enter updates into the system through completion of the mission/request.

Mission Closure

A request/mission is considered complete when all resources assigned to the call have been returned and return has been confirmed. When a request/mission is complete, all pertinent information must be entered into NYR before the call can be completed and marked as complete.

Federal Assistance

FEMA uses the Resource Request Form, FEMA Form 010-0-7, as a request for Federal assistance. The form can be found in Attachment 1 and is available online at: https://www.fema.gov/media-library-data/1400690491813-83a528412b0277a2f275dda9d775bf64/FEMA_Form_010-0-7.pdf

Section IV: Recovery and Demobilization

1. Overview

Dependent on the severity of the event or incident, type of destruction or damage, and the needs of the affected communities and individuals, the response to such an event may be short-lived or could extend for a prolonged period of time, perhaps even years. There is no clear delineation of when disaster response activities transition into short-term recovery activities. In general, disaster response addresses the immediate life-safety concerns and incident stabilizing efforts, while short-term recovery activities begin as the need for immediate life-saving activities diminish resulting in response activities focused on the individual and less toward the masses.

2. Recovery and Demobilization Process

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 the State IMT, may be demobilized. As a result, the mechanisms of the recovery process will be transferred from the State EOC to the JFO.

As the recovery process begins, requests for State and Federal response resources will begin to diminish. As the response structure demobilizes, activated emergency facilities may, over a period of time, begin to demobilize. ESF #7, if activated, will monitor the activities of the activated emergency facilities and continually assess the feasibility of utilizing such facilities throughout the recovery process. The ESF #7 Coordinator will keep the State EOC Manager apprised of the status and activity of the facilities and will recommend whether to continue to operate or demobilize the facilities as the recovery process unfolds.

Regardless of the extent of damage, the State of New York will strive to assist local governments, businesses, and citizens in recovering from the impacts of any emergency. Where possible, hazard mitigation measures will be incorporated into recovery activities to lessen the impact of reoccurrence or eliminate it entirely.

Upon demobilizing activated emergency facilities and equipment, the ESF #7 Procurement Unit Leader will ensure the following actions are taken:

Resupply/Procurement

Efforts will be undertaken to return the affected site to pre-disaster conditions. The Logistics Section will:

- 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; and,
- Ensure that all equipment and supplies are accounted for.

Maintenance

All property requiring maintenance will be returned to original operational condition. Agency-specific assets will be maintained by that agency through each agency representative in the State EOC.

3. Documentation for Demobilization

While each agency is responsible for establishing administrative controls necessary to manage the expenditure for their own funds, the Logistics Section will assemble records for assets that were acquired or distributed through the ESF. Further, Finance/Administration will also keep records to identify the expenditures incurred via emergency purchases. Both sections will

maintain their respective records to provide reasonable accountability and justification for federal reimbursement in accordance with the established federal regulations. Records should be documented in NYR.

As part of a standard incident management practice, staff will be instructed to document all activities until the State has returned to normal operations, including the use of electronic or hardcopy materials generated in the event. Systems are in place to monitor and facilitate:

- Tracking files, documents, and records (including emergency operating costs) for future reference;
- All shipping, receiving, truck logs, and copies of all electronic media and records will be sent to and maintained by the county EOC, with copies entered in in NY under each corresponding NYR number;
- All copies of all bills, receipt of equipment, shipping reports, etc. will be sent to and maintained to Logistics Section at the county EOC, with copies entered in in NYR under each corresponding NYR number;
- The ESF #7 Logistics Section will assemble records for assets that were acquired or distributed through the ESF;
- Finance/Administration will keep records to identify the expenditures incurred via emergency purchase; and,
- All records should be documented in NYR.

**Attachment 1:
List of Acronyms**

List of Acronyms

DEC	Department of Environmental Conservation
DHS	Department of Homeland Security
DHSES	Division of Homeland Security and Emergency Services
DMNA	Division of Military and Naval Affairs
DOCCS	Department of Corrections and Community Supervision
EOC	Emergency Operations Center
EMAC	Emergency Management Assistance Compact
FEMA	Federal Emergency Management Agency
FSSC	Federal/State Staging Center
ICP	Incident Command Post
ICS	Incident Command System
MACC	Multi-Agency Coordination Center
NIMS	National Incident Management System
NRF	National Response Framework
OGS	Office of General Services
PODS	Point of Distribution Sites
SA	Staging Area
OEM	Office of Emergency Management
VOAD	Voluntary Organizations Active in Disasters
COAD	County Organizations Active in Disaster

**Attachment 2:
Resource Request Form**

Resource Request Form

DEPARTMENT OF HOMELAND SECURITY
Federal Emergency Management Agency
RESOURCE REQUEST FORM (RRF)

*O.M.B. No. 1660-0002
Expires May 31, 2017*

PAPERWORK BURDEN DISCLOSURE NOTICE		
Public reporting burden for this form is estimated to average 20 minutes per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the needed data, and completing and submitting this form. This collection of information is required to obtain or retain benefits. You are not required to respond to this collection of information unless it displays a valid OMB control number. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing this burden to: Information Collections Management, Department of Homeland Security, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472-3100, Paperwork Reduction Project (1660-0047). NOTE: Do not send your completed form to this address.		
I. REQUESTING ASSISTANCE (To be completed by Requestor)		
1. Requestor's Name (Please print)	2. Title	3. Phone No.
4. Requestor's Organization	5. Fax No.	6. E-Mail Address
II. REQUESTING ASSISTANCE (To be completed by Requestor)		
1. Description of Requested Assistance:		
2. Quantity	3. Priority <input type="checkbox"/> Lifesaving <input type="checkbox"/> Life Sustaining <input type="checkbox"/> Normal <input type="checkbox"/> High	4. Date and Time Needed
5. Delivery Site Location		6. Site Point of Contact (POC)
		7. 24 Hour Phone No.
		8. Fax No.
9. State Approving Official Signature		10. Date and Time
III. SOURCING THE REQUEST - REVIEW/COORDINATION (Operations Section Only)		
1. <input type="checkbox"/> OPS Review by: _____ <input type="checkbox"/> LOG Review by: _____ <input type="checkbox"/> Other Coordination: _____ <input type="checkbox"/> Other Coordination: _____ <input type="checkbox"/> Other Coordination: _____	2. Source: <input type="checkbox"/> Donations <input type="checkbox"/> Other (Explain) _____ <input type="checkbox"/> Requisitions <input type="checkbox"/> Procurement <input type="checkbox"/> Interagency Agreement <input type="checkbox"/> Mission Assignment	3. Assigned to: ESF/OFA: _____ RSF/OFA: _____ Other: _____ Date/Time: _____
4. Immediate Action Required <input type="checkbox"/> Yes <input type="checkbox"/> No		
IV. STATEMENT OF WORK (Operations Section Only)		
1. OFA Action Officer	2. 24 Hour Phone #	3. Fax #
4. FEMA Project Manager	5. 24 Hour Phone #	6. Fax #
7. Statement of Work		<input type="checkbox"/> See Attached
8. Estimated Completion Date	9. Estimated Cost	
V. ACTION TAKEN (Operations Section Only)		
<input type="checkbox"/> Accepted <input type="checkbox"/> Rejected <input type="checkbox"/> Requestor Notified		
Reason / Disposition		

FEMA FORM 010-0-7

PREVIOUSLY FF 90-136

Page 1 of 2

The Resource Request Form is a fillable PDF form. This form can be found at:

https://www.fema.gov/media-library-data/1400690491813-83a528412b0277a2f275dda9d775bf64/FEMA_Form_010-0-7.pdf

**Attachment 3:
ESF #7 Logistics Standard Operating Guide**

ESF #7 Standard Operating Guide

Standard Operating Guide

**Disaster Preparedness
Commission**

ESF Coordinating Agency:
Division of Homeland Security and Emergency Services/
Office of Emergency Management (DHSES/OEM)

DPC Support Members:
DHSES/Finance
DHSES/Logistics
DHSES/Office of Interoperable and Emergency Communications (DHSES/OIEC)
Division of Military and Naval Affairs (DMNA)
Department of Corrections and Community Supervision (DOCCS)
Department of Transportation (DOT)
Office of General Services (OGS)
Office of Information Technology Services (ITS)
Office of Parks, Recreation and Historic
Preservation (OPRHP)
Thruway Authority (TA)

Non-DPC Members:
Canal Corporation (Canals)
New York Power Authority (NYPA)
State University of New York (SUNY)

Introduction

The following Standard Operating Guide (SOG) establishes the operational framework for Emergency Support Functions (ESFs) activated during Response and Short-Term Recovery efforts in the New York State Emergency Operations Center (EOC). The SOG reflects the National Incident Management System (NIMS), including elements of the Incident Command System (ICS). The primary function of this SOG is to standardize ESF operations inside the State EOC and promote unity of effort. This SOG will guide the ESF Lead and Support Agencies in carrying out all duties and responsibilities including, but not limited to:

- Incident management actions, roles, and responsibilities.
- Coordination, administration, and integration of emergency management personnel, plans, and strategies into a common operating picture.

The coordinating agency for ESF #7 is the NYS Division of Homeland Security and Emergency Services (NYS DHSES). As the primary agency, NYS DHSES will coordinate the activities of ESF #7 in conjunction with other member agencies when activated. ESF #7 will activate in situations where a state level multi-agency response is needed for resource management, coordination, and procurement.

Purpose

The purpose of the SOG is to standardize ESF #7 activities during activations of the State EOC. This SOG will standardize response and resource management activities to ensure a centralized coordination of resources and direction for requests for assistance.

New York State Emergency
Support Function #7 Logistics

Critical
Capability

ESF #7 would support the following Critical Capabilities in New York State: Logistics and Resource Management, Private Sector/Non-Governmental Organizations, and Planning

Rev. Final
Date: March 2021

NYS ESF #7 SOG1March 2021

The primary function of the ESF #7 SOG is to standardize ESF operations inside the State EOC and promote unity of effort. The SOG will guide the ESF Lead and Support Agencies in carrying out all duties and responsibilities, including but not limited to, the following:

- Incident management actions, roles, and responsibilities.
- Coordination, administration, and integration of emergency management personnel, plans, and strategies into a common operating picture.

The ESF #7 SOG can be found in its entirety in the State OEM Planning Section.

**Attachment 4:
NYS Standard Operating Guide for the Emergency Management
Assistance Compact (EMAC)**

Standard Operating Guide for Managing Assistance Requests under the Emergency Management Assistance Compact

Purpose

To establish procedures for the State OEM to respond to a request for assistance that from another member state of the Emergency Management Assistance Compact (EMAC).

Background on EMAC

The Emergency Management Assistance Compact is an agreement among member states that establishes a standard methodology for providing and receiving interstate mutual aid assistance following the declaration of a state disaster or emergency by a Governor.

The compact provides a framework for requesting assistance from another member state and addresses legal and administrative matters that could be impediments to providing such assistance.

A. INTRODUCTION

1. This Guide is a supplement to the New York State Comprehensive Emergency Management Plan Logistic Annex.
2. This guide should be used in conjunction with the Emergency Management Assistance Compact-Standard Operating Protocols, and the EMAC Advance Team (A-Team) Guidebook.
3. Assistance will not be provided (or requested) unless a State Declaration has been issued by the Governor of the State receiving assistance.
4. Only requests received as a broadcast message from the NEMA/EMAC website are considered formal EMAC requests.
5. Verbal request and/or requests received by other means will be handled in accordance with standard State OEM Operational Protocols.
6. Resource requests will be received at a State OEM mail group address which includes individuals who are assigned principal EMAC responsibilities.
7. The State EOC will be the initial action group for all EMAC requests.
8. The Director of the State OEM is the Authorizing Agent for this Standard Operating Guide and any other plans and procedures which may be formulated to carry out and the State's responsibilities under the Compact.
9. The EMAC Designated Contact is responsible for maintaining and distributing current EMAC related documents, plans, and procedures.

B. REQUESTS TO PROVIDE ASSISTANCE

NORMAL DUTY HOURS

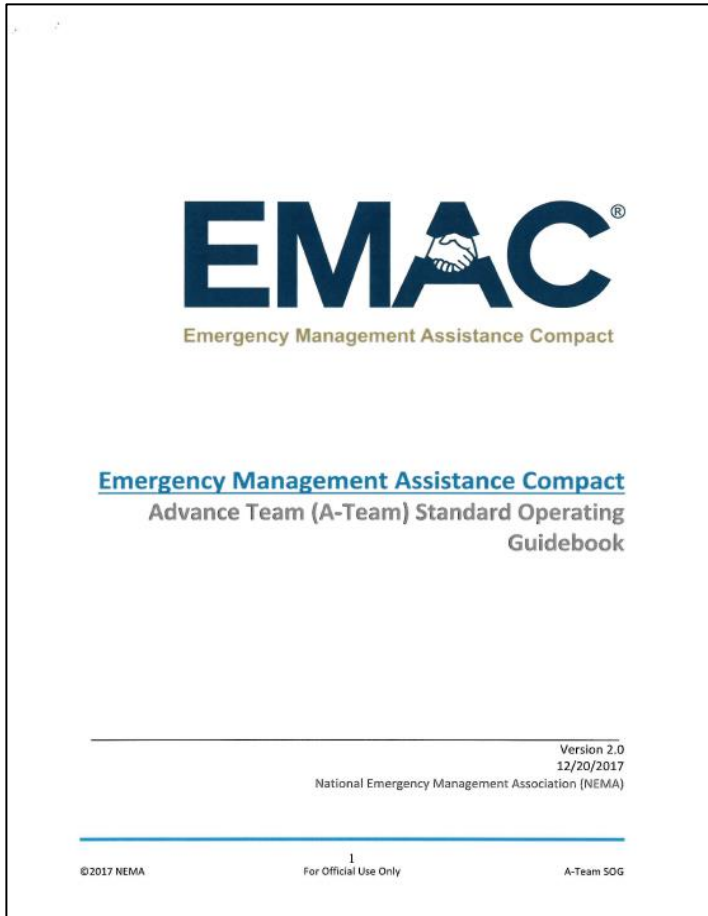
1. Initial notification from a member state on the need for assistance may be received via phone, fax, and/or an e-mail broadcast message from the NEMA/EMAC Notification and Reporting System website or other means.
2. Upon receipt of a request for assistance, the State EOC will record the information and immediately notify the Operations Section Chief and the Planning Section Chief.
3. The Operations Section Chief will notify the Duty Officer of the Request and brief him/her of the situation.
4. The Duty Officer will:
 - A. Notify one of the following State OEM/EMAC Designated Representatives (as of 11/06) to be available should any questions arise:
 - The State Watch Center
 - B. Brief the State OEM Director on the nature of the request and seek a decision on whether New York State will offer assistance.
5. Upon a decision by the Director that the State will not provide assistance, the Duty Officer will advise the State EOC that no further action is necessary. The State EOC will record the information on the decision and close the log on the request.
6. Upon receipt of a decision that assistance may be provided, the Duty Officer will advise the State OEM/EMAC Designated Representative who will become the EMAC Point of Contact (POC) for the request.
7. The EMAC POC will make initial contact with the requesting state to discuss possible provision of assistance and to obtain an EMAC interstate Mutual Aid Request Form (REQ-A) which provides details on the nature of the assistance being sought.
8. Once the REQ-A is received, the EMAC POC will coordinate with the State OEM Planning, Operations, Logistics, and Finance/Administration Sections to identify available resources and obtain an estimated cost of fulfilling the request.
9. Upon receipt of the available resource and cost information the EMAC POC will complete Part II of the REQ-A and brief the Director on the status of actions taken.
10. Upon concurrence by the State OEM Director, the EMAC POC will seek the signature of one of the following EMAC Authorized Representatives on Part II of the REQ-A:
 - A. State OEM Director,
 - B. State OEM 1st Deputy Director, or
 - C. State OEM Deputy Director for Finance Administration.
11. The EMAC POC will return the REQ-A to the requesting state.
12. Once the requesting state approves the assistance being offered by signing REQ-A Part III, the EMAC POC will notify the State OEM Director and the State OEM Operations, Logistics, and Finance/Administration Sections on the need to deploy available resources.
13. A pre-deployment briefing will be provided to deploying assets prior to departure. At a minimum, the briefing will include logistical details, the expected working conditions, and record-keeping requirements.
14. The EMAC POC will provide monitoring of the status of resources and provide updates to the State OEM Planning Section, which will prepare periodic briefings on the status of the mission and any anticipated changes.
15. The individual(s) responsible for the deployed resources and/or personnel will track and document costs associated with the deployment to be submitted to the State OEM EMAC POC within 30 days of demobilization.

16. The EMAC POC will coordinate with the Finance/Administration Section to prepare one financial claim package to submit to the requesting state.
17. Once reimbursement is received by State OEM, the Finance/Administration Section will coordinate the reimbursement of assisting parties in accordance with EMAC operational procedures.

NON-DUTY HOURS/WEEKENDS

1. Initial notification from a member state on the need for assistance may be received via phone, fax, an e-mail broadcast message from the NEMA/EMAC Notification and Reporting System website, or other means.
2. Upon receipt of a request for assistance, the State EOC will record the information and immediately notify the Duty Officer of the Request and brief him/her of the situation.
3. The Duty Officer will:
 - A. Notify one of the following State OEM/EMAC Designated Representatives to be available should any questions arise:
 - The State Watch Center
 - B. Brief the State OEM Director on the nature of the request and seek a decision on whether New York State will offer assistance.
4. Upon a decision by the Director that the State will not provide assistance, the Duty Officers will advise the State EOC that no further action is necessary. The State EOC will record the information on the decision and close the log on the request.
5. Upon receipt of a decision that assistance may be provided, the Duty Officer will advise the State OEM/EMAC Designated Representative who will become the EMAC Point of Contact (POC) for the request.
6. The EMAC POC will make initial contact with the requesting state to discuss possible provision of assistance and to obtain an EMAC Interstate Mutual Aid Request Form (REQ-A) which provides detail on the nature of the assistance being sought.
7. Once the REQ-A is received, the EMAC POC will coordinate with the State OEM Planning, Operations, Logistics, and Finance/Administration Sections to identify available resources and obtain an estimated cost of fulfilling the request/
8. Upon receipt of the available resource and cost information, the EMAC POC will complete Part II of the REQ-A and brief the Director on the status of actions taken.
9. Upon concurrence by the State OEM Director, the EMAC POC will seek the signature of one of the following EMAC Authorized Representatives on Part II of the REQ-A:
 - A. State OEM Director,
 - B. State OEM 1st Deputy Director, or
 - C. State OEM Deputy Director of Administration.
10. The EMAC POC will return the REQ-A to the requesting state.
11. Once the requesting state approves the assistance being offered by signing the REQ-A Part III, the EMAC POC will notify the State OEM Director and the State OEM Operations, Logistics, and Finance/Administration Sections on the need to deploy available resources.
12. A pre-deployment briefing will be provided to deploying assets prior to departure. At a minimum, the briefing will include logistical details, the expected working conditions, and record-keeping requirements.
13. The EMAC POC will provide monitoring of the status of resources and provide updates to the State OEM Planning Section, which will prepare periodic briefings on the status of the mission and any anticipated changes.

14. The individual(s) responsible for the deployed resources and/or personnel will track and document costs associated with the deployment to be submitted to the State OEM EMAC POC within 30 days of demobilization.
15. The EMAC POC will coordinate with the Finance/Administration Section to prepare one financial claim package to submit to the requesting state.
16. Once reimbursement is received by State OEM, the Finance/Administration Section will coordinate the reimbursement of assisting parties.



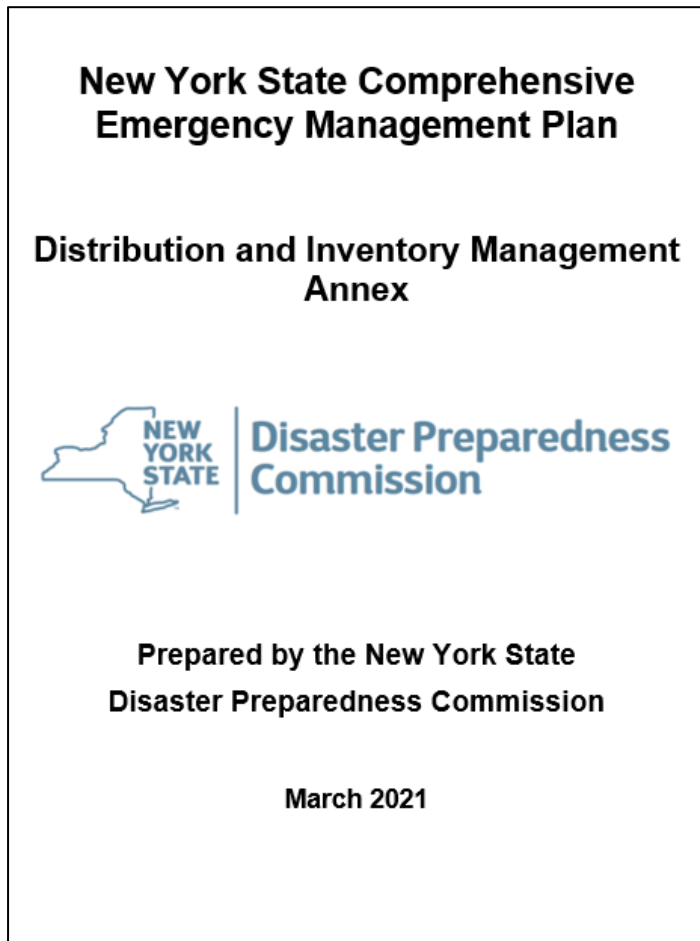
EMAC ADVANCE TEAM SOG

The primary function of the EMAC SOG is for Advance Team (A-Team) to implement the EMAC process on behalf of the Requesting and Assisting States. Teams may operate as an internal EMAC resource coordinating component of the Requesting State or be deployed from an Assisting State to an affected state to manage the procurement of necessary interstate mutual aid resources. Teams are trained on the EMAC A-Team Standard Operating Guidelines, the EMAC Operations System (EOS), and the use of reports available through the EOS.

The EMAC SOG can be found in its entirety in the State OEM Planning Section or in the State OEM Operations Section.

**Attachment 5:
Distribution and Inventory Management Annex**

Distribution and Inventory Management Annex



The purpose of this Annex is to ensure that the State Comprehensive Emergency Management Plan is adequate to respond to the distribution and inventory management needs associated with disasters and emergencies within the State, including ordering, distributing, managing, transporting, staging, and demobilizing of critical resources. This Appendix will include utilizing individual agency activities that serve as a precursor to utilizing the Emergency Support Functions, as warranted. Further, this Appendix identifies the key mechanisms in coordinating with local response and identifies the lines of coordination to interoperate with the Federal response via the National Response Framework.

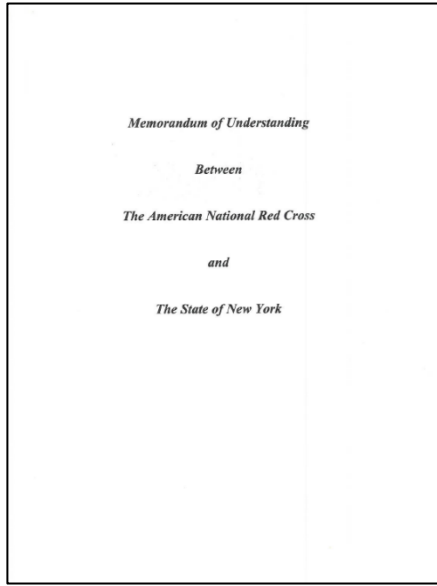
The objectives of the plan are to:

- Define critical resource requirement;
- Establishing multiple sourcing mechanisms for effective distribution management;
- Describe how commodities are distributed directly to the community;
- Outline the acquisition, use, distribution, storage, and disposal of commodities and equipment;
- Describe the transportation architecture with inbound and bound flows;
- Predetermine staging areas; and,
- Address property reconciliation and demobilization of a response.

The Distribution and Inventory Management Annex can be found in its entirety in the State OEM Planning Section and the State OEM Operations Section.

**Attachment 6:
Memorandums of Understanding**

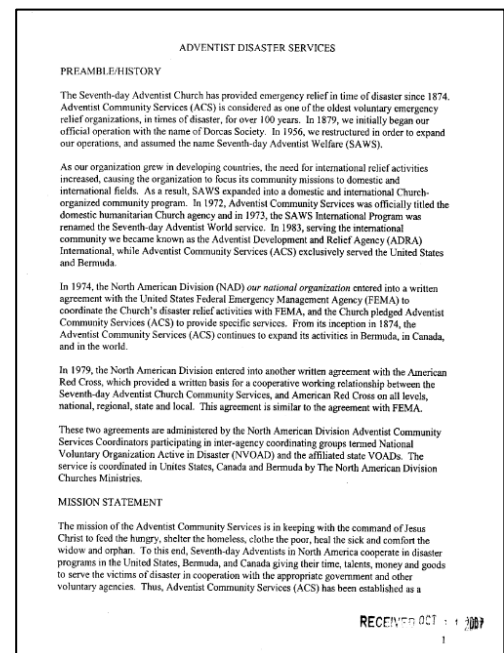
ARC/NY MOU



The purpose of the MOU is to define a working relationship between the American National Red Cross and the State of New York and its agencies, through the New York State Office of Emergency Management, in preparing for, responding to, and recovering from certain disaster situations. This MOU provides the broad framework for cooperation between the Red Cross and New York State in rendering assistance and service to victims of disaster, as well as other services for which cooperation may be mutually beneficial.

Adventist Community Services/ NY MOU

This agreement between the New York State Office of Emergency Management and Adventist Community Services is for the provision of donations management and multi-agency warehouse management during an emergency or disaster in New York State.



MOUs can be found in their entirety in the State OEM Planning Section and the State OEM Operations Section.

New York State Comprehensive Emergency Management Plan

Emergency Support Function #11

Temporary Emergency Animal Sheltering Appendix



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)	Completed by
January 2013	ALL-Plan Update	ALL	OEM Planning
June 2013	Internal Review	Entire Document	OEM Planning
July 2018	Internal Review	Entire Document	OEM Planning
January 2019	Stakeholder Review	Entire Document	OEM Planning
January 2020	Annual Review, EMAP Update, CART Survey	Entire Document	DAM/OEM Planning Section
March 2021	Annual Review and Maintenance	All, as needed	ESF #11/OEM Planning

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Section I: General Considerations and Planning Guidelines

A. Introduction

New York State is subject to a significant number of hazards and has experienced numerous federally declared disasters. These disasters include floods, winter storms, coastal storms, severe summer storms, ice storms, a blackout in 2003, and terrorism in New York State since 2000. Several of these events uncovered similar public health and safety issues, including a lack of planning and preparedness for animal protection. It is clear through analysis of these local and national disasters that in order to adequately plan for animal welfare, the planning for animal welfare must be tied to planning for human welfare.

In September of 2006, New York State enacted The New York State Pet Evacuation Transportation Standards (PETS) Act. This legislation amended State Executive Law Article 2-B to require that state and local disaster preparedness plans address the needs of individuals with household pets and service animals following a disaster, with particular attention to means of evacuation, shelter, and transportation options. In October of 2006, the Post Katrina Emergency Management Reform Act and Federal PETS Act amended the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) to require that State and local disaster plans take into account the needs of persons with pets and service animals prior to, during, and after a major disaster or emergency.

In recognition of these laws and challenges, the Temporary Emergency Animal Sheltering (TEAS) Appendix was developed to accompany the Emergency Support Function (ESF) #11 Annex of the State Comprehensive Emergency Management Plan (CEMP). This Appendix outlines New York State's strategy providing temporary emergency sheltering of animals in a collective, multi-agency, State approach.

This Appendix does not provide specific instructions for all disasters and emergencies. Rather, this Appendix offers information and guidance which provides the framework for addressing temporary emergency animal sheltering during emergencies.

B. Purpose

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

The purpose of ESF #11 is to provide coordination of response to manage a disaster resulting from an affected animal population (i.e., Foot and Mouth Disease), or one in which animals have become secondary victims of a disaster (i.e., flood). In addition, it provides an overview of the roles and responsibilities of the state, federal, and private agencies functioning under ESF #11 and describes the emergency response organization and assignment of responsibilities for various animal protection functions.

The purpose of this Appendix is to define the operational concepts and responsibilities to support and assist municipalities in establishing and maintaining TEAS. These shelters will serve individuals with household pets and service animals displaced by the effects of an emergency or disaster, or when seeking protection from an imminent or actual hazardous event or conditions.

C. Scope

This Appendix applies to any disaster impacting or potentially impacting individuals with household pets and service animals in which local response capabilities have been exceeded, and thus require State assistance. Response operations to support this capability will encompass the efforts of the New York State Department of Agriculture and Markets (DAM) and support agencies of ESF #11 as identified in this Appendix.

For the purpose of this Appendix, “temporary emergency animal sheltering,” “TEAS,” and “pet-friendly sheltering” refer to the capability to provide household pets and service animals with safe, temporary housing prior to and immediately after a disaster until they can return to their homes, can be relocated to long-term sheltering, or other permanent housing facilities are found. Service animals are not considered pets but perform essential functions that people with access and functional needs (AFN) cannot do for themselves. Service animals have special legal privileges to ensure they are not separated from the owner. According to the Americans with Disabilities Act (ADA), a service animal is any guide dog, signal dog, or other animal individually trained to provide assistance to an individual with a disability. Service Animals are permitted at American Red Cross (ARC) shelters. Domestic/companion pet rules may vary in non-ARC shelters.

This Appendix will not provide guidance for the sheltering of aggressive animals that may pose a threat to humans or other animals.

D. Situation

The American Veterinary Medical Association (AVMA)¹ has developed formulas to calculate an estimate of the number of animals of different types that can be expected in a community based on national ownership percentages. The AVMA formula can be found at: <https://www.avma.org/KB/Resources/Statistics/Pages/US-pet-ownership-calculator.aspx>.

¹U. S. Pet Ownership and Demographic Sourcebook. American Veterinary Medical Association. 2017-2018.

Number of Animals of Type	Formula
All Pets	0.568 times total number of households
Dogs	0.384 times total number of households
Cats	0.254 times total number of households
Birds	0.028 times total number of households
Horses*	0.007 times total number of households

*Horses are not considered a pet or companion animal under the scope of this document due to their agricultural classification in New York State.

Disaster experiences in the United States has demonstrated that providing care for pets and service animals is a human health and safety issue, as people will often refuse to evacuate in the face of a hazard if they are unable to evacuate with their animals.² Furthermore, residents who evacuate without their pets are predisposed to return for their pets before conditions are safe to do so. In 2017, as a result of unpredictable and dangerous weather patterns in New York State, Governor Cuomo announced a training through the American Society for the Prevention of Cruelty to Animals (ASPCA) to assist pet owners during disasters. As far back as 2006, flooding events resulted in a significant number of household pet rescues in the most severely impacted areas, as well as the establishment of TEAS in order to prevent these human health and safety issues.

Pets and service animals that are left behind during a disaster, or animals that become lost, strayed, injured, and/or killed due to the disaster may become a public health hazard. There are clear public health implications to animals at large, and it is in the interest of human health to minimize this effect of disasters.

Along with the PETS Act legislation comes the general responsibility for ensuring the welfare, humane care, and treatment of pets and service animals during emergencies. Local governments are responsible for coordinating and managing all local-level preparedness, response, and recovery activities and services, and will utilize all available local resources to accomplish this mission. Pursuant to Section 25 of NYS Executive Law Article 2-B, this may include county to county requests for assistance to obtain available resources.

Some counties, such as Albany, Broome, Lewis, and Oneida may organize local assets for animal emergency response using the County Animal Response Team (CART) model program. This program is supported by the State Office of Emergency Management (OEM) and the DAM. An addition to the New York Codes, Rules, and Regulations (NYCRR) allows credentialed CART volunteers to be covered under State workers compensation and indemnification through DAM. In order to receive coverage, county emergency management officials must adopt and implement DAM's Standard Operating Guideline for CARTs. In addition, a State-level steering committee exists to facilitate CART program policy and implementation; this private-public partnership is known as the Empire State Animal Response Team (ESART). The DAM is the lead agency for this committee.

² Reuters, August 28, 2017; <https://www.reuters.com/article/us-storm-harvey-animals-idUSKCN1B82A1> (Accessed 8/27/2018)

E. Planning Assumptions

1. The sheltering, protection, evacuation, and transportation of animals are primarily the responsibility of the animal owner.
2. Any emergency requiring the evacuation and sheltering of humans may also require evacuation and sheltering of household pets. Persons arriving at temporary shelters may arrive with service animals and/or domestic, companion animals considered as household pets.
3. Local chapters of the ARC may not allow domestic pets in general population shelters. Service Animals are always permitted.
4. The identification, activation, and operation of local animal sheltering in response to an emergency or disaster is primarily the responsibility of local officials.
5. Any pre-designated local animal sheltering may be destroyed or rendered inoperable by the disaster, necessitating the identification of alternate shelter sites.
6. It is the general responsibility of county government to establish decontamination protocols for companion animals prior to emergency sheltering.
7. During an emergency, unanticipated or spontaneous emergency animal shelters may open. Spontaneous animal shelters may not have adequate resources to sustain operations and may need to be supplemented with county or State resources.
8. The capabilities and capacity of counties to manage local animal sheltering varies and will impact the amount of assistance available through mutual aid agreements between counties and memorandums of understanding with non-governmental organizations (NGO). Availability of these resources will likely impact the extent of assistance requested of and provided by the State.
9. Delays may occur in obtaining properly trained personnel to staff shelters. Just in time training, which is training held for new volunteers upon arrival, should be offered to new volunteers by the person running the shelter or their designee.
10. Depending on the severity and duration of the event, local shelter sites may need additional supplies and assistance from local, county, NGO, and State resources.
11. The magnitude of a disaster may lead to long-term animal sheltering needs. Some animals may not be reclaimed by owners once the disaster is over and some animals may become strayed.
12. National Veterinary Stockpile (NVS) may be able to provide the veterinary countermeasures, animal vaccines, antivirals, or therapeutic products, supplies,

equipment, and response support services that the State, counties, and tribal territories need to respond to animal sheltering needs.

13. Assessment, identification, and separation of aggressive animals from the general population may become necessary in an emergency. Experienced handlers and/or behavior specialist may be required.
14. Law enforcement patrols may be required at TEAS sites to ensure the safety and security of staff, volunteers, the general public, pets, supplies, and equipment.

F. Concept of Operations

1. The occurrence of a disaster or emergency warrants the need to provide temporary emergency animal sheltering at the local level. Local governments will establish TEAS to provide for the anticipated needs of individuals with household pets and service animals during the disaster or emergency.
2. Where possible, counties may utilize available regional resources through county-to-county mutual aid or through the establishment of formal memorandums of understanding with NGOs and other resources.
3. State support may be coordinated when a county exhausts available local resources in response to the event.
4. Absent an activation of the State Emergency Operations Center (EOC), the county emergency manager requesting assistance may notify the appropriate State OEM Regional Office or DAM, who will verify and relay such request to the New York State Watch Center (SWC). The SWC will notify the State OEM Duty Officer of such request. The State OEM Duty Officer will consult with the DAM to determine if the request can be accommodated.
5. During a declared State Disaster Emergency or an activation of the State EOC, requests to support TEAS will be received by the State EOC Operations Chief and assigned to ESF #11 for consideration.
6. ESF #11 will assess the status of any TEAS being operated and population data of such shelters.
7. The conditions necessitating the implementation of ESF #11 will likely necessitate the implementation and coordination with ESF #6. Sheltering of human populations, including people with AFNs, is addressed in ESF #6. ESF #11 will coordinate with ESF #6 in the identification of facilities, population census, transport options, and the tracking and reunification processes of pets with owners in human shelters.
8. Under Section 28 Paragraph 1 of Article 2-B, the Governor may exercise the authority to declare a State Disaster Emergency. Upon the declaration of a State

Disaster Emergency, the Governor may direct any and all State agencies to provide assistance under the coordination of the Disaster Preparedness Commission (DPC).

9. State assistance will be supplemental to local efforts, which may include animal shelter supplies, veterinary support, medical support, environmental support, animal care, and sheltering.
10. ESF #11 will be the lead in coordinating with Federal ESF #11 (Agriculture and Natural Resources) as it pertains to all animal-related issues.

G. Legal Authorities and Policies

The authority and policies to develop this Appendix and implement specific response actions to effectively respond to animals in disaster can be found in a variety of New York State laws, regulations, and federal authorities, including:

State

- NYS Executive Law, Article 2-B
- NYS Agriculture and Markets Law Article 7, Article 26-B
- NYS Environmental Conservation Law Title 5
- 1 NYCRR Part 69

Federal

- The Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5196b) as amended by the Pet Evacuation and Transportation Standards Act of 2006, requires that state and local emergency plans take into account the needs of individuals with household pets and service animals before, during, and after an emergency.
- Pets Evacuation and Transportation Standard (PETS) ACT (42 U.S.C.A. § 5196a-d) was passed in 2006. The PETS Act directs the administrator of the Federal Emergency Management Agency (FEMA) to develop emergency preparedness plans and ensure that state and local emergency plans consider the needs of individuals with pets and service animals during a major disaster or emergency.
- National Response Framework, as amended
- Homeland Security Presidential Directive (HSPD) # 5 – Management of Domestic Incidents; February 2003
- FEMA Disaster Assistance Policy DAP9523.19

H. Appendix Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, each plan shall undergo an annual review and

update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

Section II: Preparedness

A. Risk Reduction

To some extent, risk reduction measures are taken on an on-going, routine basis. While more risk reduction activities will be implemented in anticipation of an imminent disaster, recent events throughout the world have resulted in additional preparedness measures in a variety of ways.

B. Awareness and Surveillance

Lessons learned from Hurricane Sandy and other emergencies have demonstrated that planning for animals is planning for people. Some people will not evacuate in the face of a hazard out of concern for the needs of their companion animals. The Ready campaign provides awareness and preparedness materials for the public and can be found at www.ready.gov/pets.

The ESART, in concert with the development of a network of county animal response teams, promotes pro-active public education to enhance preparedness for animals. These efforts include emphasis on individual responsibility and community preparedness and planning initiatives. The ESART provides preparedness education and information through the NY-Alerts website <https://alert.ny.gov/empire-state-animal-response-team>.

In addition, DAM and ESART participate in the State's Aware Prepare program and annual campaign. Aware Prepare provides a platform to post first responder education and training event information and coordinates annual preparedness events, which is located at website address <http://www.nyprepare.gov/aware-prepare/>.

C. Planning and Training

Local plans for temporary emergency animal sheltering support the first level of response across the state. *County Animal Response Team (CART) Status, Planning, and Facilities can be found in Attachment 2.*

State plans are designed to supplement sheltering capabilities at the local level. State planning methodology includes the development of an ESF #11 Annex and a ESF #6 Annex to the State CEMP. This Appendix accompanies both of these documents.

The TEAS Annex is comprised of representatives from the DAM, United States Department of Agriculture (USDA), State OEM, State Department of Health (DOH), ARC, ASPCA, Cornell Cooperative Extension (CCE), Office of Temporary and Disability Assistance (OTDA), and the State Education Department (SED). Some of the agencies represented in the planning work group are also members of ESF #11 and ESF #6. The involvement of both ESF #6 and ESF #11 ensures that efforts to shelter humans and animals will be coordinated with each other with the goal of sheltering animals as close to their owners as reasonably possible.

As lead agency for the ESF #11 and this Appendix, the DAM has developed an Emergency Response Guide to activate resources in support of requests for State assistance. Member agencies have identified resources available to support State assistance for TEAS.

The ESART promotes and institutes a variety of training available to state and local government as well as animal welfare and response organizations. This training includes:

- CART orientation for counties seeking to develop a CART. Online CART orientation can also be used as a basis for “just in time” training for spontaneous volunteers.
- Regional CART conferences for local CART members and interested volunteers.
- Specialized workshops focused on aspects of Technical Animal Rescue and sheltering are offered once a year. ESART will also support training efforts of individual CARTs.

D. Shelter Locations

DAM works with other entities to identify facilities that may be accessed for use as TEAS facilities. This is done through an MOU at the county level. Depending on seasonal demands, the NYS Fairgrounds may be available. If a disaster expands beyond capacity for the NYS Fairgrounds, a request will be made through the State EOC.

E. Equipment Caches and County Animal Response Teams (CARTs)

DAM possesses a trailer with a cache of goods and equipment to support a TEAS to house approximately 100 companion animals. Through a request received by the State EOC, the trailer could be deployed to the disaster area or identified shelter area. The trailer has 24/7 access. Deployment may be affected by identification of a vehicle and driver for transport. ESART trailer contents can be found in Attachment 1: *ESART Trailer Contents*.

Section III: Response

A. Overview

In identifying the State's response actions, it is important to note that during an emergency requiring the sheltering of animals, local regulatory agencies will retain their responsibility and authorities. The role of the State is to provide support to a locally generated response. To provide support effectively, the State response must be proactive in communicating with local officials to identify and fill capability shortfalls, and to be prepared to fully utilize and coordinate State and federal assets.

Key considerations and tasks of TEAS include the proximity of TEAS site to the affected population and general population shelters, animal intake and registration, identification and tracking, medical and behavioral assessment and surveillance, infection control and sanitation, housing and containment, the provision of food, water, and essential medical treatment, site safety and security, reunification and disposition, and demobilization.

The agencies listed in this Appendix also serve as members of ESF #11. Each support agency is responsible for developing and maintaining agency-specific plans which specify how they will carry out their requisite tasks and duties required to meet requests for available resources identified under this Appendix. Each agency has been asked to provide a list of resources and services that they can provide when TEAS coordination and support is requested.

B. Alert, Notification, and Activation

Activation of the TEAS Appendix will be as follows:

Without State EOC Activation

- Absent an activation of the State EOC, the provisions of this appendix may be utilized upon the State OEM's receipt of a request for State assistance from any county emergency management office, or upon DAM receiving a request for assistance.
- DAM may request assistance from other State agencies and NGOs to support local response activities, including the identification of potential sites that could be used as a TEAS.

With State EOC Activation

- An event occurs that requires an activation of the State EOC.
- Depending on the severity of the event, an EOC level is declared, which may warrant the activation of any or all ESF's, including ESF #11.
- All requests for animal sheltering will be made to State OEM, through the State EOC, by the requesting county's emergency management office or DAM.

- DAM may request assistance from other State agencies to support local response activities, including the identification of potential sites that could be used as temporary animal shelters. Additional resources may be contacted and requested if it is determined that the needs are greater than the State resources that are available.
 - Respond to approved requests for state assistance to activate TEAS.
 - Coordinate resources to meet requests.
 - Maintain and share an ongoing inventory of all known temporary emergency animal shelters via NY Responds (NYR) and National Shelter System (NSS) as follows: County, municipality, and street address (with zip code) where shelter is located (possible GIS/GPS), Shelter point of contact (POC) with phone numbers(s), Sponsoring/Coordinating Organization or Jurisdiction, number of pets/individuals staying at the shelter, un-met needs at this shelter site (unmet needs shall be shared via NYR for handling by appropriate agencies), and number of animals (by type) housed at the shelter.
 - Monitor NYR throughout the event to determine short-term and long-term needs and actions.
 - Plan and prepare for potential requests.
 - Attend ESF #6 meetings and strategy sessions, to ensure coordination between human and animal sheltering activities.
 - Prepare for and facilitate any demobilization support.
- If Federal assets are deployed in support of the National Response Framework (NRF), ESF #11 will coordinate with the USDA, the lead agency for Federal ESF #11.

C. Response Organization/Direction and Control

The State of New York endorses the use of one response organizational structure that will include all responding agencies: local, state, and federal. State agencies will be organized under the framework of the National Incident Management System (NIMS) Incident Command System (ICS), as required by Executive Order 26.1 of 2011, and the NIMS, as required by HSPD-5. ICS will be incorporated at the local and Federal levels as well. The overarching structure of State command and control will be organized as stated in the Volume 2 of the State CEMP, *Response and Short-Term Recovery*.

D. Response Agency Roles/Responsibilities

This section reviews existing roles, responsibilities, and capabilities of State agencies, functional branches, and groups, as well as provides an overview of the federal response.

Local Government

Local government will be actively involved in the response and should be utilized to the fullest extent possible. Each county, and many local governments, have a CEMP which

provides the framework for the jurisdiction's response to emergencies and disasters. It is anticipated that most counties, if not all, will have established some sort of annex or appendix for pet evacuation, transportation, and sheltering. Each locally developed plan will differ in its implementation, its pre-determined response capabilities, and its animal sheltering capacity. Therefore, it is prudent for the State to conduct timely situational assessment to identify any capability gaps in the response at the local level.

Emergency Support Function (ESF) and Support Agency Roles

ESF and support members that are activated in a response to a disaster will collectively utilize the resources available to them in meeting the needs of the operation. The DAM, in partnership with the State OEM, will coordinate the response to the incident. State agencies will coordinate ESF actions while keeping in mind the relevant policies and authorities, statutory or otherwise, as outlined in each ESF Annex of the State CEMP.

The ESF #11 coordinating agency will lead the response to requests for emergency animal sheltering and technical assistance support to the State EOC Operations Section Chief. The ESF #11 coordinating agency will submit group reports to the State EOC Planning Section upon request.

The agencies listed below have a mission related to the establishment, support, and maintenance of the TEAS appendix. If additional needs are identified, ESF #11 may request assistance from additional agencies and organizations through the State EOC.

1. Coordinating Agency

Department of Agriculture and Markets (DAM)

The DAM encompasses several divisions and regional offices. Divisions are responsible for carrying out specific public and animal health functions. These include Food Safety (FS), Milk Control and Dairy Services (MC&DS), Animal Industry (AI), the Food Laboratory (FL), and Soil and Water Conservation (S&W). These divisions are responsible for services, such as:

- Investigating and diagnose animal health problems and hazards.
- Monitoring and identifying food safety and inspection issues.
- Informing and educating the food industry and the public about food safety issues.
- The promulgation of laws and regulations that protect human and animal health and safety.
- Ensuring a safe and wholesome food supply for consumers.
- Leading the ESART.
- Consulting and cooperating with CART and County OEMs to find and provide sheltering for animals.
- Coordinating with NGOs, such as the ASPCA, to help manage sheltering.

2. Support Agencies

Office of Emergency Management (OEM)

State OEM is responsible for coordination of state-level activities necessary to protect the State from natural and technological disasters and other emergencies. State OEM coordinates emergency management by providing leadership, planning, education, and resources to protect lives, property, and the environment. In times of emergency or disaster, State OEM coordinates the response of various State agencies to ensure that appropriate resources are dispatched to the impacted areas. State OEM also works with local governments, volunteer organizations, and the private sector throughout the state to develop disaster preparedness plans, mitigation activities, and to provide training and exercise programs.

Department of Health (DOH)

DOH provides coordination and facilitation of services of the department centers and offices. This includes county, district, and regional health partners, the Centers for Environmental Health (CEH), Wadsworth Center, Center for Community Health (CCH), Office of Medicaid Management (OMM), Office of Health Systems Management (OHSM), and Office of Managed Care (OMC). These centers and offices ensure the delivery of services in accordance with the following key public health functions:

- Monitoring and identifying community health problems.
- Investigating and diagnosing health problems and hazards in a community.
- Informing and educating the public about health issues.
- Mobilizing community partnerships to identify and solve health problems.
- Assuring the provision of, and linking citizens to, personal health services.
- Assuring a competent public health and personal health workforce.
- Evaluating personal and population-based health services.
- Developing policies and plans that support individual and community health efforts.
- Promulgating laws and regulations that protect health and safety.
- Facilitating research for new insights and innovative solutions to health problems.

Empire State Animal Response Team (ESART)

ESART is a State-level organization created to develop plans, policies, standards, and support for the successful development, maintenance, and implementation of CARTs. ESART members represent agencies and organizations which may, under the direction of the DAM, provide resources before, during, and after disasters or emergencies.

American Red Cross (ARC)

ARC is not a member agency of ESF #11. ARC is a support agency of ESF #6. It is the responsibility of the ARC to help meet the human needs that a disaster has caused. ARC

assistance is given to meet the initial disaster-caused needs. These needs may include food, clothing, shelter, and other basic elements for comfort and survival as well as other items determined necessary by the specific disaster situation. All ARC disaster relief assistance is based on the premise that disaster victims are ultimately responsible for their own recovery.

ARC does not activate or operate pet-friendly evacuation shelters or temporary emergency animal shelters, but will provide for individual, family, and mass care services for victims of disaster and also for emergency workers in disaster affected areas. Although the ARC does not activate or operate pet-friendly evacuation shelters or temporary emergency animal shelters, the ARC will work to coordinate with agencies that do to help ensure both pet and human shelter options are available within the community. The ARC will also help to provide preparedness education for pet owners.
American Society for the Prevention of Cruelty to Animals (ASPCA)

The ASPCA is a 501c3 not-for-profit corporation headquartered in New York City, with additional offices throughout the United States. ASPCA activities are divided into NYC Regional Programs, National Programs, and Communications. Under NYC Regional Programs, the ASPCA provides Animal Cruelty/Humane Law Enforcement, Animal Sheltering, Animal Placement, Mobile Spay/Neuter, and veterinary care at their Bergh Memorial Animal Hospital in Manhattan.

The Disaster Readiness Department is situated under ASPCA National Programs. This department provides support and guidance in animal emergency and disaster management to federal, state, county, and local government agencies, NGOs, associations, and the public.

During an emergency, the ASPCA may provide assistance in conducting needs assessments, provide operational or technical support and guidance, provide public information approved by the JIC and PIO, and assist in securing and coordinating resources from outside support agencies and organizations, as needed.

Cornell Cooperative Extension (CCE)

CCE connects the research knowledge of Cornell University to individuals, communities, and families in New York to enhance their economic well-being and quality of life. CCE's educational system enables people to improve their lives and communities through partnerships that put experience and knowledge to work. As the State's land-grant university, Cornell has the special privilege and responsibility to address pressing state and national needs. Faculty and academic staff affiliated with the College of Agriculture and Life Sciences, College of Human Ecology, and College of Veterinary Medicine work collaboratively with professional educators who serve local communities in each of the 57 counties and five boroughs of New York City to address these needs. CCE offers programs to urban, suburban, and rural audiences in five broad areas: Agricultural and Food Systems; Children, Youth and Families; Community and Economic Vitality; Environment and Natural Resources; and Nutrition, Health, and Safety. CCE will assist in the implementation of this Appendix by helping to identify potential temporary emergency

animal shelter sites, volunteers, and resources for the shelters, and by disseminating information to the general public.

New York State Education Department (SED)

SED may be able to assist in the identification of specialized educational programs, such as the Boards of Cooperative Educational Services (BOCES) programs in that state with animal-related programs that could serve as local resources.

State/Federal Coordination under the National Response Framework (NRF)

Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)

The DHS/FEMA may implement the NRF, which provides a mechanism for organizing, coordinating, and mobilizing federal resources to augment State and local resources.

Under the NRF, the DHS/FEMA may employ a variety of ESFs for coordinating response and recovery activities. Support for animal response issues will be contained in several ESFs as well as in the base plan. Federal ESF #11 is anticipated to be the lead ESF for animal response.

In New York State, ESF #11 will be the lead in coordinating with the USDA as co-lead of ESF #11.

Section IV: Recovery

A. Overview

The need for TEAS will likely conclude concurrently with the demobilization of shelters. However, due to human losses, property losses, the intake of strayed animals, and other unforeseen conditions, some animals housed in temporary emergency animal shelters may require long term sheltering or other arrangements.

B. Demobilization of the State Response

As the disaster or emergency subsides and the State EOC demobilizes, several actions or activities may be realized, including:

- Local emergency management officials and authorized sponsors of local animal shelter facilities may continue to maintain shelters for a period of time determined by such officials.
- Upon demobilization of local animal shelter facilities, animals that are not claimed or identified as owned will be turned over to local municipal shelters or duly incorporated humane societies or Society for the Prevention of Cruelty to Animals (SPCA), and their disposition will be handled in accordance with New York State law.
- The ESF #11 Coordinating agency, or designee, shall canvas the responding agencies and organizations supporting animal shelter operations to determine whether, based on their open and anticipated event-related missions, ESF #11 presence in the State EOC may be discontinued.
- Once it is determined that a continuing presence of ESF #11 in the State EOC may not be needed, demobilization actions may commence.
- Responding agencies and organizations shall provide the coordinating agency, or designee, with a concise report of their accomplishments and unmet needs during the activation.
- Such reports shall be combined to create an overall animal sheltering report to be submitted by ESF #11 coordinating agency via NYR. This report will be made available to the OSC and Planning Section.
- Ongoing animal sheltering activities will be reported to ESF #11 until completion of all animal sheltering missions.

C. The Recovery Process

Whenever the Governor finds that a disaster has occurred or may be imminent and local capabilities may be exceeded, the Governor may declare a State Disaster Emergency. Whenever the Governor finds that the event is of such severity and magnitude that the State will be overwhelmed, the Governor can request federal assistance.

The State CEMP outlines the disaster relief funding and programs that would be applicable for an incident of this type. Included are provisions for Public Assistance (PA)

and Individual Assistance (IA), which would aid in supporting government response operations and provide some recovery assistance for individuals and their families, businesses, and sectors identified in the preceding pages. The implementation of the recovery process is identified in Volume 2 of the State CEMP – *Response and Short-Term Recovery*.

The DHS/FEMA has currently established a Disaster Assistance Policy (DAP9523.19) for claims under the PA program for activities related to evacuation, sheltering, and transportation of animals in accordance with the Federal PETS Act.

Additional recovery programs can be found in Volume-3 of the State CEMP, *Long-Term Recovery*.

Attachments

Attachment 1: *ESART Trailer Contents*

Attachment 2: *2020 County/CART Planning Efforts*

Attachment 3: *Glossary and List of Acronyms*

Attachment 1

ESART Trailer Contents

ESART Trailer Contents (Confirmed 3/2021)			
Quantity on Hand	Item Name	Item Description	Package Quantity
1	Wheel Barrel	Black	1
2	Hand Truck	Green	1
2	Hand Cart	Folding, Black	1
2	Folding Table	Fold up, 6'	1
8	Folding Chair	Steel	1
2	Anti-Fatigue Mat	Black, 2' X 3' Rubber Mat	1
1	Drink Cooler/ Dispenser	5-gallon, Orange	1
5	Box Fan	20", White	1
5	Surge Protector	6 Outlet	1
1	Extension Cord	100'	1
1	Extension Cord	25'	1
1	Extension Cord	50'	1
4	Halogen Light	500-Watt, Free-standing, Dual, Yellow	1
1	Lead Light		1
1	Light Bulb		2 Pack
1	Generator	15hp, 8000 watts	1
1	Generator Oil	4 quarts	1
1	Grease Gun		1
1	Grease Canister	Tube	1
1	WD 40	Lubricant	1 Can
1	Fuel Can	5 Gallon, Red	1
1	Fire Extinguisher	Kiddie	1
1	Toolbox	Black, Yellow	1
1	Cordless Drill		1
1	Screwdriver set	10 Piece, assorted	10 Pack
1	Socket Set	40 Piece, assorted	40 Piece
1	Hacksaw		1
1	Hacksaw Blade		1
1	Staple Gun		1
1 Box	Staples		1 Box
1	Plier Set	5-piece set	5 Piece
1	Adjustable Wrench Set	5-piece set	5 Piece
1	Adjustable Wrench Set	2-piece set	2 Piece
1	Hammer		1
1	Tape Measure	30'	1
1	Tape Measure	100'	1
1	Fence Pliers		1
1	Bolt Cutter		1

1	Sprayer	Hand Pump, 3 gal.	1
1	Hose	50'	1
1	Hose	100'	1
2	Hose Nozzle	Brass	1
5	Water Bucket	Blue	1
1	Pitchfork		1
1	Shovel		1
4	Broom		1
4	Bucket	5-gallon, Orange	1
2 Box	Trash Bags	Extra Large	54 Count
1	Dustpan	Black	1
1	Wet-dry Vac	14 Gallons	1
2	Tarp	19' X 29.5', Blue	1
3	Tarp	15.1' X 23.3', Blue	1
2	Tarp	38.5' X 52.5', Blue	1
3	Duct Tape	55 Yards, Silver	1 Roll
2	Nylon Rope	1/4" X 100', White	1
1	Nylon Rope	1/2" x 50', White	1
1	Nylon Rope	3/8 X 100', White	1
1 Box	Bungee Cords	Assorted sizes	36 Pack
1	Bungee Cords	24"	4 Pack
4	Flashlight	D cell Battery	1
4	Flashlight	6 Volt battery	1
4	Traffic Cone	Orange	1
1	Caution Tape	1000', Yellow	1 Roll
5	Safety Vest	Reflective	1
2	Safety Goggles	Plastic	1
4 Pack	Gloves	Cotton, Black	6 Pairs/ Pack
5	Hard Hat	White, Plastic	1
5	2-Way Radio		2 Pack
1	Weather Radio		1
1	Digital Thermometer		1
2 Pack	Neck Bands/Collars	20", assorted colors	500 Count/ Pack
2 Pack	Animal Control Leads	Nylon, Blue/White	12 Count/ Pack
1	Gauntlet Gloves	Leather	1
2	Exercise Pen	Foldable Corral, 3'	1
1 Pack	Zip Ties	14"	500
1 Roll	Barrier Fencing	Orange 100'	1
6	Horse Halter	Nylon, Red, Large	1
6	Lead Rope	10', Cotton, 3-Red, 3-Black	1

2	Horse Halter	Small, Nylon, Black	1
4	Slip Halter	Nylon, Red	1
2	Feed Bucket	Red	1
5	Feed Pan	Black	1

Attachment 2

2020 County/CART Planning Efforts

County	Animal Emergency Plan	Shelter/s Identified (Location)	Capacity	*Supplies Available	Cart Status	Boats or Water Rescue	Large Animal Rescue	Decon. Capable
Albany	N/R							
Allegany	N/R							
Broome	N/R							
Cattaraugus	N/R							
Cayuga	N/A	N/A	N/A	N/A	N/A	No	No	No
Chautauqua	Yes	Yes	50	S	No	No	No	No
Chemung	Yes	Yes	200	S	N/A	No	No	No
Chenango	No	No	N/A	No	No	No	No	No
Clinton	Yes	Yes	100	Yes	Yes	No	No	No
Columbia	Yes	Yes	100	S	Yes	No	No	N/A
Cortland	No	No	N/A	No	No	No	No	N/A
Delaware	NO	Yes	50	Yes	Yes	No	No	No
Dutchess	Yes	Yes	50	Yes	Yes	Yes	Yes	No
Erie	Yes	No	Yes	Yes	Yes	No	Yes	No
Essex	NO	Yes	50	Yes	Yes	No	Yes	No
Franklin*	Yes	Yes	50	S	Yes	No	No	No
Fulton	N/R	No	N/A	Yes	No	No	No	No
Genesee	Yes	Yes	100	S	Yes	No	No	No
Greene	Yes	Yes	50	S	No	No	No	No
Hamilton	Yes	Yes	50	S	No	No	No	No
Herkimer	No	No	N/A	No	No	No	No	No
Jefferson	N/R	Yes	60	Yes	Yes	No	No	No
Lewis	Yes	Yes	50	Yes	Yes	No	Yes	No
Livingston	Yes	Yes	50	Yes	Yes	No	No	No
Madison	Yes	No	No	No	No	No	No	No
Monroe	Yes	Yes	50	S	Yes	No	Yes	No
Montgomery	N/R							
Nassau	Yes	Yes	201+	Yes	Yes	No	Yes	No
Niagara	Yes	Yes	200	Yes	Yes	No	Yes	No
Oneida	Yes	Yes	50	S	Yes	No	No	No
Onondaga	Yes	Yes	100	Yes	Yes	No	Yes	No
Ontario	Yes	Yes	100	S	Yes	No	Yes	No
Orange	Yes	Yes	100	Yes	Yes	No	Yes	No
Orleans	N/R							
Oswego	No	No	N/A	Yes	N/A	No	No	No
Otsego	No	No	1-50	Yes	No	No	No	No
Putnam	N/A							

Rensselaer	N/R							
Rockland	Yes	Yes	1-50	S	Yes	No	Yes	No
St. Lawrence	Yes	No	N/A	Yes	Yes	No	N/A	No
Saratoga	N/R							
Schenectady	N/R							
Schoharie	Yes	Yes	50	Yes	Yes	Yes	Yes	No
Schuyler	Yes	Yes	1-50	S	No	No	No	No
Seneca	N/R	Yes	N/A	N/A	Yes	No	No	No
Steuben	Yes	Yes	100	S	No	No	Yes	No
Suffolk	Yes	N/A	N/A	N/A	N/A	No	No	No
Sullivan	No	No	N/A	N/A	No	No	No	No
Tioga	Yes	Yes	51-100	S	Yes	No	No	No
Tompkins	No	No	No	No	Yes	No	No	No
Ulster	Yes	Yes	1-50	S	Yes	No	No	No
Warren	No	Yes	1-50	S	Yes	No	No	No
Washington	Yes	Yes	1-50	S	Yes	No	Yes	No
Wayne	N/R							
Westchester	No	Yes	1-50	S	No	No	No	No
Wyoming	Yes	Yes	1-50	S	No	No	No	No
Yates	Yes	Yes	51-100	S	Yes	N/A	Yes	N/A
New York City	Yes	Yes	201+	S	Yes	N/R	N/R	N/R

*S means small animal, L means Large animal

Attachment 3

Glossary and List of Acronyms

American Society for the Prevention of Cruelty to Animals (ASPCA) - The ASPCA was founded in New York City in 1866 to prevent cruelty to animals in the United States. The ASPCA has been headquartered in New York City since its founding and maintains a strong local presence, but with the gradual addition of programs and staff that extend its anti-cruelty mission across the country, the ASPCA is now recognized as a national animal welfare organization. ASPCA activities are divided into NYC Regional Programs, National Programs, and Communications and Support. The ASPCA is a privately funded 501(c) (3) not-for-profit corporation.

Companion Animal – Companion animals include those animals that may be found as domesticated pets. **It is assumed that this plan will not provide for the sheltering of aggressive animals that may pose a threat to humans or other animals.**

County Animal Response Teams (CARTS) – These teams include individuals that have received training in the Incident Command System, National Incident Management System, and HAZMAT Awareness, and have agreed to volunteer their time to assist animals impacted by disasters. Some team members may have additional specialized training in various animal disaster response related functions. These teams are only activated at the request of the County Emergency Management and serve as an asset to emergency management. The CART is integrated into the incident command system. All team members have signed a Code of Conduct establishing basic rules and expectations for volunteers and all individuals are credentialed with some form of CART ID by local emergency management or DAM.

Empire State Animal Response Team (ESART) - Is a state-level organization created to develop plans, policies, standards, and support for the successful development, maintenance, and implementation of CARTs. ESART members represent agencies and organizations which may, under the direction of the DAM, provide resources before, during, and after disasters or emergencies. ESART's Program Partners may also represent agencies and organizations that could be called upon by the DAM to assist or support a disaster or emergency operation.

ESART Members – Are those agencies, organizations, businesses, and individuals participating/represented on the ESART Steering Committee.

ESART Program Partners – Are those agencies, organizations, businesses, and individuals that have been invited by the ESART Steering Committee to work on ESART program projects.

Host Shelters – Facilities recognized and currently operating as an animal shelter that house animals displaced or evacuated from affected animal shelters.

Household Pet – As defined by FEMA, is a domesticated animal, such as a dog, cat, bird, rabbit, rodent, or turtle that is traditionally kept in the home for pleasure rather than for commercial purposes, can travel in commercial carriers, and be housed in temporary facilities. Household pets do not include reptiles (except turtles), amphibians, fish, insects/arachnids, farm animals (including horses), and animals kept for racing purposes.

Pet-friendly Evacuation Sheltering – This type of sheltering allows humans and their companion animals to co-locate in the same room, facility, or campus. This allows for the owners of companion animals to provide for the care and needs of their animals which

reduces the need for volunteers and other resources. Pet-friendly evacuation sheltering may include the use of commercial facilities, such as pet-friendly motels and hotels.

Service Animal – As defined by FEMA, is any guide dog, signal dog, or other animal individually trained to provide assistance to an individual with a disability including, but not limited to, guiding individuals with impaired vision, alerting individuals with impaired hearing to intruders or sounds, providing minimal protection or rescue work, pulling a wheelchair, or fetching dropped items. According to the ADA, a service animal is any animal individually trained to provide assistance to an individual with a disability. If they meet this definition, animals are considered service animals regardless of whether they have been licensed or certified by a State or local government.

Society for the Prevention of Cruelty to Animals (SPCA) – “SPCA” like “Humane Society” and “Anti-Cruelty Society,” is a generic term. SPCA's and humane societies generally have no affiliation with each other or necessarily any similarity of policies and procedures. “SPCA” and “humane society” are often interchangeable terms, but “SPCA” sometimes, but not always, implies a law enforcement capability.

Temporary Emergency Animal Shelters (TEAS) – This type of shelter provides care and housing to animals that cannot be housed in the same sheltering facilities as their owners. This may also include companion animals recovered or evacuated from impacted areas for their own safety and whose owners may not have been identified. The length of time the shelter is needed will depend on the size and scope of the disaster. Shelters may be managed or staffed by local municipalities, by approved NGOs or by CARTS.

New York State Comprehensive Emergency Management Plan

Distribution and Inventory Management Annex



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

Plan Revision History/Record of Distribution

Date of Revision	Subject Matter	Page(s)	Completed by:
May 2019	Distribution and Inventory Management Appendix	All, New document	OEM Planning
October & November 2019	Internal Review / EMPG & FEMA Guidance	All, as appropriate	OEM Planning
December 2019	CPOD Revisions based on DOH feedback; Revisions based on Legal Counsel feedback	All, as appropriate	OEM Planning
January 2020	Annual Review	All, as appropriate	OEM Planning
August 2020	Post FEMA Review, Counsel feedback	8, 9, 10, 11, 16, 25, 26, 28-30.	OEM Planning
March 2021	Annual Maintenance and Review	All, as appropriate	OEM Planning

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Executive Summary/Policy

One of the missions of the State of New York and the Disaster Preparedness Commission (DPC) is to provide leadership, coordination, and support for efforts to prevent, protect against, prepare for, respond to, and recover from disasters and emergencies through the logistical management of resources, including the distribution and inventory management of critical resources. Obtaining the resource is only one facet to managing logistics. The other is distributing or applying the resource to maximize efficiency and make the best use of the resource. These are pivotal elements in managing logistics before, during, and after an incident.

Emergency Support Function (ESF) #7 shall serve as the operational arm of the State's distribution management system. Under this construct, ESF #7 provides the critical capability of Logistics and Resource Management, with the NYS Division of Homeland Security and Emergency Services (DHSES) serving as the coordinating agency. New York State ESF #7 will serve as the primary integration point for Federal ESF #7, should the State request Federal assistance.

Comprehensive Approach

Dealing with emergencies and disasters is an ongoing and complex endeavor. Through the implementation of Preparedness measures, effective inventory management is the key to successfully applying timely and effective resource distribution and Response strategies during an actual emergency. Further, resource management for short and long-term Recovery efforts after the incident is essential in ensuring that New York State can maintain its obligation to the people of the state. The process of emphasizing the relationship of activities, functions, and expertise necessary in dealing with emergencies is known as Comprehensive Emergency Management.

Management Responsibilities and Authority

New York State is obligated to provide critical resources to county and local governments in response to a disaster after local resources have been fully committed and the county is unable to cope with the disaster. Depending on the size and severity of an incident, New York State may be called upon to support a small, isolated response or a larger regional response. Additionally, the State is obligated to assist with distribution and inventory management to ensure that the comprehensive supply chain of critical resources reaches the disaster survivors. Therefore, New York State must also ensure that it is prepared to respond to an emergency with the necessary resources as part of the collective State disaster response.

Section I: General Considerations & Planning Guidelines

1. Introduction

New York State will assist county and local governments with resources in response to a request for assistance, or for state-led response activities and initiatives as warranted. As resource requirements may exceed a jurisdiction's capability to manage its distribution, the amount of resources ordered should not exceed a jurisdiction's ability to store and distribute them; sending too many resources into a disaster area could hamper the response. To ensure response efforts do not impede rapid recovery, it is necessary for the State's plans to be flexible enough to be applicable across all 62 counties of New York State.

This plan will address preparedness and response strategies for each of the following components: Requirement Defining, Resource Ordering, Distribution Methods, Inventory Management, Transportation, Staging, and Demobilization.

2. 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 State 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. The State CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other functional and hazard-specific annexes are built upon. These annexes address a broad range of consequences to respond to the State's highest rated hazards.

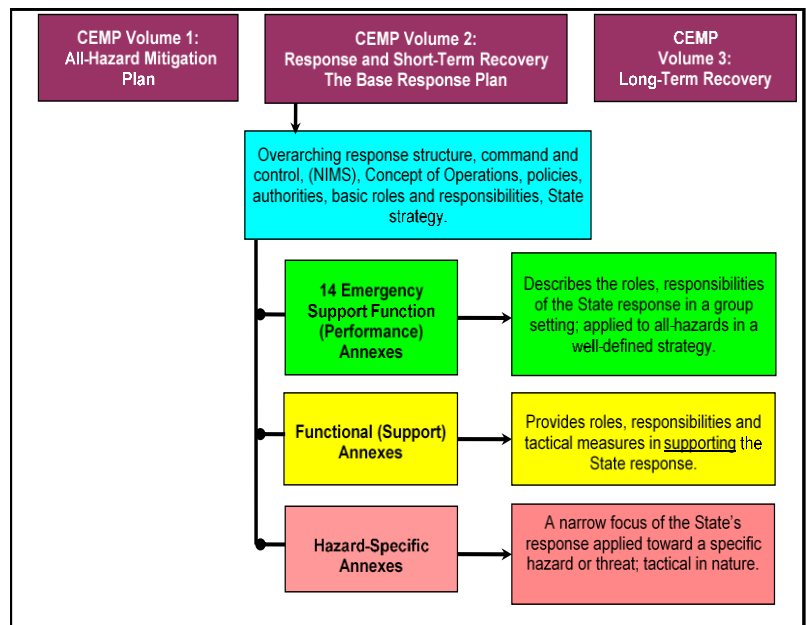


Figure 1: Structure of the State Comprehensive Emergency Management Plan

The purpose of this Annex is to ensure that the State has a detailed plan to provide distribution and inventory management capabilities that can be applied during disasters and emergencies within the State, including ordering, distributing, managing, transporting, staging, and demobilizing of critical resources.

The objectives of the plan are to:

- Define critical resource requirements;

- Establish multiple sourcing mechanisms for effective distribution management;
- Describe how commodities are distributed directly to the community;
- Outline the acquisition, use, distribution, storage, and disposal of commodities and equipment;
- Describe the transportation architecture with inbound and outbound flows;
- Predetermine staging areas; and,
- Address property reconciliation and demobilization of a response.

3. Scope

This Annex:

- Applies to all incidents that require State distribution and inventory management of critical resources as part of a logistical response to an emergency or disaster;
- Applies to all incidents that require a limited or full activation of the State Emergency Operations Center (EOC); and
- Applies to all State agencies and authorities that may be directed to respond to such an event and builds upon the process and structure of the State CEMP by addressing unique policies, situations, operating concepts, and responsibilities. Response operations to this type of event will encompass the efforts identified in this annex and utilize existing capabilities of other functional and hazard-specific annexes to the CEMP.

This Annex is actionable through the efforts of ESF #7 and is a supplement to the Logistics Annex of the State CEMP. It is important to note that other State plans, either agency-specific or multi-agency, may be used to support the implementation of this Annex.

4. Situation

This section outlines the potential scenarios and impacts that risks may have on the State's ability to distribute critical resources and manage inventory provided to disaster or emergency-impacted areas of the State.

A hazard may be natural, technological, or human-caused which may have a severe impact on resource availability at a local level. The hazard may cause disruption to local municipalities, unincorporated portions of the county, public shelters, critical facilities, County Staging Areas (CSAs), and Commodity Points of Distribution (CPOD) which would necessitate the procurement, distribution, and management of resources such as emergency power, pumping, material handling equipment, food, water, medical supplies, or any other necessary resources.

Depending on the type, size, location, and duration of an incident, normal trade and commerce may be interrupted, resulting in a high demand for limited resources. Critical resources may need to be rationed, since there is not an unlimited supply of resources. Additionally, local municipalities would need to manage the commodities they request so there is not a surplus or shortage, and the amount of ordered supplies can be effectively distributed to citizens in need while not hindering neighboring communities.

The State may be called upon to assist when local resources are overwhelmed or exhausted. History has shown that the State may take on the role of the supply chain of consumable commodities for a county. Alternately, the State may plan for and lead the response efforts versus utilizing the county as an interface between the State and general public, as seen during the 2019 Lake Ontario flood response.

Since 2004, major supermarket and home improvement chains such as Lowe's, Home Depot, and Walmart have made a corporate commitment to have stores open within 24 hours after an event. The objective of the State and local government is to ensure that resources are available to a community, whether available as emergency relief supplied by the State or as a commodity for purchase at a local business. Therefore, strategic placement of CPODs in a county must consider at-risk populations, geography, travel distance, and remote communities and should not be located across from open major supermarkets or home improvement chains.

5. Planning Assumptions

- The State may be aware of known events that could impact the distribution and inventory management of critical resources, such as multiple hazards that impact infrastructure.
- The State may have little, if any, warning of an event that may cause mass disruptions of services or where county government will require state support in response to an event.
- One or more local governments may have declared a local State of Emergency in response to the disaster and the State has been called upon to assist.
- Multiple incidents may occur simultaneously or sequentially in contiguous and/or noncontiguous areas. This will require prioritization of limited resources.
- The State is not typically the interface below the county level of governments, however in some cases the State may interact directly with private citizens based on the event, requests, and/or types of resources needed.
- New York State may become the supply chain for the affected counties.
- Resources allocated under this Annex will be those items not available at the local level, have been exhausted in response to the emergency, or are not accessible within the timeframe of the applicable emergency.
- Ineffective inventory management could result in a surplus or a shortage of resources.
- In the event of a major response and recovery operation, the State may be required to assist local governments by assisting with requirement defining, resource ordering, distribution methods, inventory management, staging, and demobilization.
- Critical resource request, fulfillment, transportation, staging, distribution, and demobilization will be tracked through NY Responds and/or on hard copy forms, as needed.
- Federal assistance may be required to augment local and State efforts, as the need for resources and assistance may surpass both local and State resources.
- Based on the severity of the emergency or event, delays may occur at all levels of government in obtaining critical resources and supplies, which can result in rationing or controlled distribution of scarce resources, goods, and/or services.
- The strategic placement of CPODs in a county will take several factors into consideration to provide relief to the affected citizens.

6. Concept of Operations

The concept of operations outlines the anticipated sequence of events before, during, and after an incident that requires distribution management from the State. The structure for State logistical operations depends on the demands of the incident demographics, the level of logistical capability at the local level, and the State response level being applied to the incident.

- An incident occurs in the State, local resources are exhausted or non-existent, and State assistance is requested.

- The Governor could exercise gubernatorial authority in declaring a State Disaster Emergency. In doing so, the Governor may direct any and all State agencies, including non-DPC agencies, to provide assistance under the coordination of the DPC.
- State response activities begin, and if warranted, the State EOC is activated. DHSES staff will initially fill all roles and responsibilities of ESF #7.
- NYS Office of Emergency Management (OEM) will notify other appropriate DPC agency representatives, which may include the activation of additional ESFs.
- If warranted, ESF #7 will activate and DHSES will serve as the ESF lead agency and activate all or specific agencies to assist in managing components or functions in the ESF #7 Logistics Section.
- Subsequent to the request for assistance, the State attempts to fulfill the request from existing State resources, general population or private sector donations, or through emergency contract procurement as a last resort.
- If warranted, State OEM will coordinate with the Department of Homeland Security (DHS)/ Federal Emergency Management Agency (FEMA) and other Federal agencies to support logistical planning and resource support to meet the needs of disaster survivors and responders.
- If conditions warrant, the State will utilize adjunct facilities or functional elements in supporting the request, acquisition, and distribution of resources. These include Federal/State Staging Centralization Centers (FSSC), Staging Areas (SA), and CPOD.
- If requests for resources cannot be filled at the Federal level, State Logistics will coordinate with DHS/FEMA to pursue acquiring the asset through commercial sources, through Emergency Management Assistance Compact (EMAC), or other mutual aid agreements.

7. Authorities and Policies

The authority to develop this plan and implement the specific distribution and inventory management actions required to effectively respond to disasters and emergencies can be found in New York State Law, regulations, and Federal authorities, including:

- NYS Executive Law – Article 2-B
 - Section 21 State Disaster Preparedness Commission; powers a
 - Section 25 Use of Local Government Resources in a Disaster
 - Section 28 State Declaration of a Disaster Emergency
 - Section 29-h Intrastate Mutual Aid Program
 - Section 29-g Emergency Management Assistance Compact
- Executive Order # 26 of 1996 and # 26.1 of 2006 as amended (NYS Adoption of the Incident Command System)
- Homeland Security Presidential Directive-5
- Procurement of resources will follow the established priority of fill:
 - Article 11 of the State Finance Law
 - NYS Emergency Standby Contract to bring in vendors to provide a broad range of services in supporting distribution management.

8. Plan Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New

York State Executive Law Article 2-B, each plan shall undergo an annual review, update, and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

Section II: Preparedness

1. Overview

Distribution management include the effective and efficient distribution of critical resources to disaster survivors in a community. In order to prepare for the distribution and inventory management needs of local municipalities or counties, the State has determined that distribution management involves managing a comprehensive supply chain. This includes end-to-end commodity and resource management, warehouse and transportation operations, provision of equipment and services that support incident requirements, and mechanisms for supplies and commodities to be provided to survivors.

2. Terms and Definitions

Commodity Point of Distribution (CPOD): Initial point(s) where survivors can obtain emergency relief supplies.

Demobilization: The process when resources are retrieved, rehabilitated, replenished, disposed of, and retrograded.

Direct Distribution: Supplies are moved to a central location for staff to collect and redistribute through “door-to-door” residential delivery.

Distribution Management: The effective and efficient distribution of critical resources to disaster survivors in a community.

Distribution Methods: Methods in which commodities are provided directly to the impacted community.

Inventory Management: The management of the quantity of commodities and equipment that an organization physically has on hand.

Resource Ordering: Establishing organic capabilities and capacity to provide commodities and equipment to disaster survivors based on the pre-identified jurisdictional requirements.

Requirement Defining: Determining the resources necessary to assist affected populations.

Staging: A temporary site that is established in a community to receive and distribute emergency relief supplies following an incident.

Transportation: The function of the supply chain, through the execution of coordinated transportation nodes to effectively deliver goods and services in an expeditious and efficient manner.

3. Preparedness Requirement Defining

While generic planning factors may be used to answer the following questions that determine the resources necessary to assist the affected population, some of these requirements can be identified prior to an event based on the jurisdiction’s hazard analysis or County Emergency Preparedness Assessment (CEPA), previous events and operations, demographic profiles, and/or modeling.

- What and how much is needed?
- Where and when is it needed?
- Who will be receiving and using it?

County Emergency Preparedness Assessment (CEPA)

CEPA is a framework and tool to help State and local stakeholders assess risk, capabilities, and the potential need for support and resources during emergencies or disasters. CEPA provides for a standardized and repeatable process to understand capabilities at the county level and identify

statewide trends. CEPA provides insight into preparedness and response capabilities applicable to a broad range of risks. All counties update their CEPAs every three years.

The CEPA tool assists local subject matter experts to:

- Validate (or capture) some key information about the county (population, square miles, unique issues, etc.).
- Conduct a hazard assessment using a standardized methodology (likelihood x consequence) based on credible worst-case scenarios.
- Conduct a capability assessment using a standardized methodology to examine Planning, Organization (People), Equipment, Training, and Exercise (POETE) components of each capability and identify any capability gaps.
- Determine capacity limitations for each response capability (i.e., how long the county can deliver the capability without mutual aid).
- Identify an inventory of some key response resources within the county and any anticipated resource needs.
- Capture strengths/best practices and areas for enhancement.

Threat Hazard Identification Risk Assessment (THIRA)

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of the ESF Annexes created under the State CEMP.

Previous Events and Operations

County and local government serve as the best source of information and situational awareness as to what is needed. Predicting critical resource needs based on previous events and operations allows local municipalities and the State to pre-position an estimate of supplies based on previous usage. However, not all hazards and emergencies are the same, and demographics within a community are likely to change. The State has the capability to review previous incident data to determine a general idea of the number of people affected in a certain area and the amount and types of resources that were requested by local governments.

For example, during Lake Ontario 2020, the State was able to utilize GIS service to depict on a map the detailed deployment of resources and the location, inclusive of resources assigned to the incident at a county location, and resources such as sandbags and water bladders that had been staged, deployed, and tracked.

Demographic Profiles

The U.S. Census Bureau offers a QuickFacts website which provides statistics for all states, counties, cities, and towns with populations of 5,000 or more. This resource can provide the State EOC with estimated demographic information of the affected area, should local points of contact be unavailable.

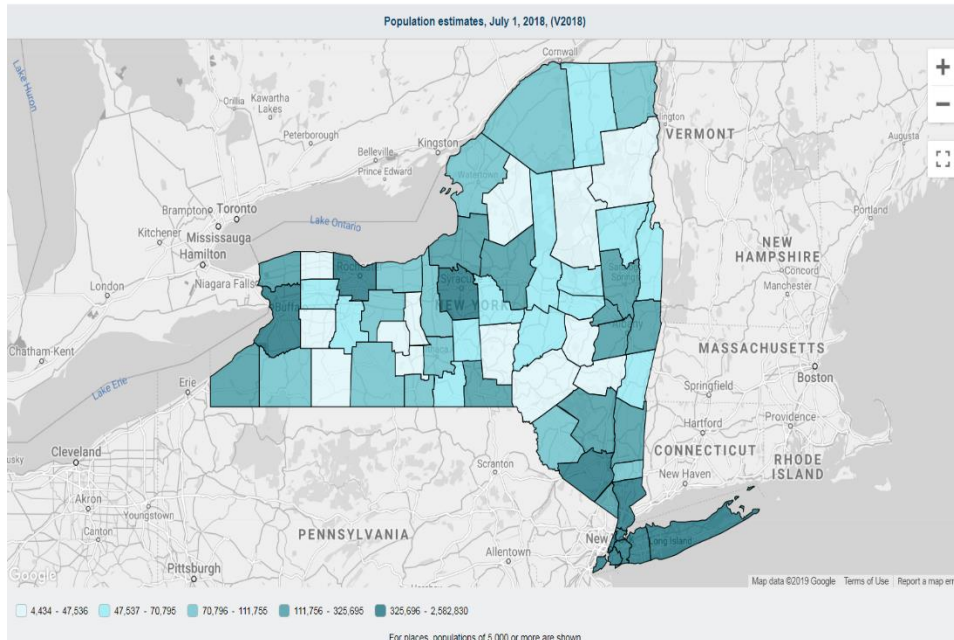


Figure 2: NYS Quickfacts Census Data – as of July, 2018
<https://www.census.gov/quickfacts/fact/map/ny/PST045218>

Modeling

New York State has pre-identified major hazard categories and resources needed within the time frames of 0-7 days, 7-30 days, and 30+ days in the New York State Major Hazard Categories/Resource Needs Time Phased Deployment and Agency Matrix located in Attachment 1.

US Army Corp of Engineers “Local Distribution Point Planning for Commodities”

In order to refine the requirements based on an anticipated demand for mass care supplies, transportation of the resources, and private sector capacity and capabilities, it is recommended that local municipalities and counties use the US Army Corps of Engineers “Local Distribution Point Planning for Commodities” guidance documents. An Excel Spreadsheet commodity forecasting tool will assist in determining the initial quantities of commodities (water, ice, food, and tarps) required based on the forecasted population. The interactive spreadsheets and guidance document can be found at: <http://www.enlink.usace.army.mil/gp/commodities.htm>.

It should be noted that the forecast tool will also estimate the number of CPODs, staffing, material handling resources, and other logistics support resources a county would require in an event. Note that the key element of CPOD planning is how many people can be serviced or processed, meaning the number of CPODs that can be adequately staffed by local government in the affected area in an event.

Asset/Resource Tracker

The State employs the use of a Resource Tracker and an Asset Tracker through NY Responds (NYR). These tools have been used in previous events, such as Lake Ontario flooding and COVID-19. The Resource Tracker uses an Excel spreadsheet to track all defined resources. The Asset Tracker is a tabbed function in NYR that allows for the tracking of specific resources with identifiers such as a serial number or a license plate.

The State is in the process of building a Resource Tracking system with ITS. This system has been placed on hold due to the COVID-19 response.

Private Sector

Since 2004, major supermarket and home improvement chains such as Lowe's, Home Depot, and Walmart have made a corporate commitment to have stores open within 24 hours after an event. Each private sector retail store has their own baseline ordering guidelines. Disasters may impede this flow, as historically community members often prepare for known disasters or emergencies by securing resources for several days, which often leads to reduced amounts of products on retail shelves. The objective of state and local government is to ensure that resources are available to a community.

The State can use multiple online platforms to receive support from the private sector. DHSES and other agencies have internet websites that can be used for donors to offer goods and services that may be needed. At the operational level, private sector partners can be leveraged through the State EOC through NYS ESF #7, in conjunction with Procurement and implementation of the Donations Management Appendix. In past events, such as Tropical Storms Irene/Lee, Superstorm Sandy, and COVID-19, private sector partners supported New York State through coordination with the State EOC. This support has included commercial supply chains, such as Walmart and Target, and shipping service providers, such as UPS and FedEx. The State also has numerous stand-by emergency contracts in place with the private sector for a broad range of services, including supply and distribution capabilities. The State Donations Management Appendix was heavily used during COVID-19 for a host of supplies, equipment, and medical practitioners. Integration with federal partners would be coordinated through NYS ESF #7, if required, as identified in the State CEMP/ESF #7 Annex. Integration with local government is accomplished primarily through local OEM offices, but can occur through coordination of a regulated community, such as health care facilities, via a state regulatory agency (State Department of Health). Additionally, DHSES can initiate an 800 line and phone bank for donated goods and services, as needed.

Volunteer Organizations Active in Disasters (VOADs)

State ESF #6 includes private sector and nonprofit partners under the VOAD partnership. DHSES/Individual Assistance (IA) is the VOAD liaison for New York State and American Red Cross (ARC) is a co-chair. State VOAD is comprised of over 50 agencies that have the ability to respond within the state and will work with counties directly at the community level with the Community Organizations Active in Disasters (COADs). At the local level, most COADs have an understanding with the local emergency manager of their defined role, however some counties have a more established networks than others. Should a county have a lack of local capacity or capability, the State VOAD may be able to assist with building out local level capacity, including donations management. This capability is listed in the ESF #6 Annex, and the Donations Management Appendix.

State

New York State does have resources available at the 10 stockpiles throughout the state. Each stockpile uses the Statewide Financial System (SFS) with a pre-determined matrix for baseline norms to help determine the amount of resources that should be on-hand to assist affected populations. Past events, other efforts, and risk assessments provide insight as to where the State should maintain stockpiles, and the type/quantity of items in it.

Wrap Around Services and Resource Matrix

ESF #6 is the ESF that coordinates the State's Mass Care response. In past events, and now during the COVID-19 response, ESF #6 compiled a Wrap Around Services Matrix which defined capabilities of State agencies and associated partners in the areas of access and functional needs, caregiver support, childcare, communication, compensation, food, housing, medical care, pet care, pharmacy, psycho-social needs, school arrangements, security, social diversion, staging, transportation, utility support, and work arrangements. These services, where applicable, have been added to the Mass Care Appendix. This Matrix is a base document for future events, as the needs of each event may differ in scope or applicability.

4. Resource Planning and Ordering

Sourcing resources relies on establishing capabilities and capacity to provide commodities and equipment to disaster survivors based on pre-identified jurisdictional requirements. By establishing multiple sourcing mechanisms, New York State has built its existing internal capacity through the following:

Asset Management System (AMS)

- The AMS application provides state agencies with asset information and an emergency management portal which allows users to search for available rolling assets by license plate, asset ID, internal number, or by a keyword search function. The AMS application also allows users to locate assets on a map, run reports identifying the available assets or tasked assets associated with an incident, and view all assets. DHSES/OEM will use the AMS application to streamline and expedite the emergency resource request and deployment process, as well as monitor and report on the availability of assets during emergencies. This system would support the transportation of resources to an affected area.

New York Responds (NYR)

- New York State currently uses the universal emergency management software platform NY Responds to submit and share vital disaster-related information with local governments and state agencies. NYR tracks incident reports and resource requests with real-time tracking of assets.
- Resource requests for products, personnel, limited resources, transportation, procurement, or any mission request needed to support the incident are processed in NYR. These mission requests are then tasked to the appropriate ESF for fulfillment. If State agencies are unable to fulfill mission requests, alternate sourcing mechanisms are used, which include procuring, requesting Federal assistance, EMAC, and donations.

Emergency Contracts

- Emergency Standby Services Contracts have been established through the State Office of General Services (OGS) that can serve to support the State, local governments, and school districts. This support can include the distribution of commodities through third-party vendors, if needed.

Logistics Annex of the Comprehensive Emergency Management Plan (CEMP)

- The Logistics Annex of the CEMP defines the State's logistical operations for the allocation of resources. The Logistics Annex includes procedures to identify, locate, acquire, store, maintain, test, distribute, and account for resources used in emergency/disaster operations. After exhausting all local and State assets, Federal assets

may be requested. The process is outlined in the Logistics Annex and is not listed here for the purpose of brevity.

ESF #7 Annex

- The ESF #7 Annex provides the structure for coordinating response activities for incidents that go beyond the capability of local government. The ESF #7 Annex would support the following critical capabilities in the state: Logistics and Resource Management, Private Sector/Non-Governmental Organizations, and Planning. The ESF #7 Annex identifies DHSES as the lead agency and identifies the alert, notification, activation, and roles/responsibilities of each agency.
 - NYS Stockpile Program: The Stockpile Program consists of 10 strategically placed locations across the state that house a variety of resources often needed during a disaster. These essential resources include generators, light towers, mass care supplies (e.g., cots, blankets), meals ready to eat (MREs), pumps, and numerous other assets often needed during an emergency. Stockpile requests are considered by DHSES (in consultation with county emergency management) on a case-by-case basis depending on the nature of the request and the situation. However, the stockpile assets are only intended to be used during emergency situations and after other local resourcing options have been exhausted. All requests must be made to DHSES through the county emergency manager. These supplies will be deployed during a disaster from the nearest locations first and from other stockpiles as needed thereafter.
- Emergency Management Assistance Compact (EMAC): The Emergency Management Assistance Compact (EMAC) is a nationally adopted Interstate Mutual Aid Agreement. EMAC has been ratified by U.S. Congress (PL 104-321) and is law in all 50 states, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands. EMAC is implemented through State OEM on behalf of the Governor and follows the five-step process to facilitate mutual aid. As a member of EMAC since 2001, the State has access to other state's resources during a State-declared disaster. The process for acquiring resources from other states is identified in the EMAC User's Guide.
- Volunteer and Donations Management Appendix: New York State's donations management goal is to provide victims of disasters with as much support as possible by effectively channeling offers and goods from the public. This Appendix provides guidance concerning donations of goods, materials, services, and cash. Topics addressed include the advantages of cash donations, State preparations for receiving, managing, and distributing donations, including close coordination with volunteer organizations.

Regional Resiliency Assessment Program (RRAP)

- In 2016, The Office of Counter Terrorism (OCT) and New York State Energy Research and Development Authority (NYSERDA) began collaborating on a major study of the State's petroleum pipeline under the U.S. Department of Homeland Security's "NYS Fuels Regional Resiliency Assessment Program (RRAP)." The program is designed to identify, catalog, characterize, and visually depict New York's fuel supply system. As part of the data collection process, the OCT RRAP team conducted 23 site visits at petroleum facilities across the State. The Team has also designed and led tabletop exercises and workshops with pipeline industry and emergency management personnel in various

regions of the state to review the impact of a severe weather event on NY's fuel distribution system. GIS products of facility boundaries, primary hazards, and interdependencies have been incorporated into NYR.

5. Distribution Methods for Consideration

County/Local Responsibilities

It is expected that counties will serve as the interface for distribution management to the public, directly or through local municipalities. It is recommended that counties coordinate with every municipality in their jurisdiction to determine exactly where CPODs will be, who will staff them, and the resource requirements. It is recommended that counties managing their own County Staging Areas (CSA) fully support every municipality in their county with resources as required, and process resource requests to the State when shortfalls exist. It is recommended that counties deconflict any issues where a municipality requests the State to direct-ship resources to CPODs in the municipality versus through at CSA.

State Responsibilities

In large-scale emergencies or disasters, the State may utilize a variety of emergency facilities and locations to expedite the distribution of resources to the affected area. These facilities will be used to temporarily store needed supplies, donated or procured, prior to their transfer to organizations or people who need them. When a catastrophic disaster occurs, the State may establish FSSC, SA, CPODs, and/or Donation Centers to support the response.

Facilities to be used for FSSC, SA, or CPODs will, where possible, be identified by the requesting entity. The local knowledge of facilities and infrastructure to support the emergency facilities is essential to ensure efficient and successful operation of the facility. If possible, State or other governmental facilities meeting the necessary criteria will be used. The State can also use its own facilities such as SUNY campuses or procure space, if needed.

Disaster Assistance Service Centers (DACs) and/or Disaster Recovery Centers (DRCs) may also be used as distribution points. State agency personnel can be used to distribute commodities directly to the general public at these sites.

The State also plays a major role in CPODs for medical purposes. These points of dispensing are implemented through the State Department of Health in response to medical countermeasure planning and distribution requirements administered through the Centers for Disease Control and Prevention. When established for their intended goal, these CPODs can be augmented to distribute urgent medical supplies, if needed.

6. Baseline Inventory Management

DHSES/Asset Management maintains a weekly and monthly inventory of stockpile resources. The monthly report is a full inventory of the stockpile equipment. The weekly report is used by the Operations Section during an incident and is geared towards operational needs. Upon request, the stockpile managers can quickly and accurately provide an inventory of all items in their respective stockpiles.

DHSES/Asset Management lists include on-hand supplies and equipment, and there is a pre-determined matrix for baseline norms and ordering resources. Should the quantity fall below the baseline matrix number during blue sky activity, Stockpiles will order the necessary resources through their normal procurement channels. State OGS has vendors on state contract who assist

with procuring resources, controlling costs, and improving the efficiency and readiness of the State.

7. Transportation

ESF #1 has identified member agencies that work to coordinate the transportation systems and infrastructure support and assistance during an incident. The agencies in ESF #1 are responsible for transportation response, information and planning, debris clearance, damage assessments, restoration of transportation infrastructure, and management of the Area Transportation Infrastructure Groups (ATIGs). This would include transportation architecture, such as identifying key routes, and inbound and outbound flows for emergency services, evacuations, specialty teams, and the movement of emergency relief supplies and/or power restoration equipment. State contract or third-party vendors can haul, if needed.

ESF #7 has identified member agencies that work to address mission requests and requirements that are assigned to the ESF for action. This includes the transportation of goods, capability, speed, cost, resiliency, and reliability. The responsibility of member agencies is to assist and support DHSES/OEM to ensure effective accomplishment of all missions, tasks, and assignments assigned to ESF #7.

8. Pre-Determined Staging Sites

County Staging Areas

It is recommended that each county select three potential sites: a primary, an alternate, and a contingency. It is recommended that sites should be located 3 to 5 minutes from the affected area, have the ability to support countywide relief operations, be adjacent to a major highway, have the ability to establish safe one-way traffic through the site, and be reasonably secured. Examples of areas that have been previously used as CSAs are flea markets, agriculture centers/farmers markets, county public works yards, industrial parks, small airports, fairgrounds, or leased facilities.

Counties who determine that they have the capability to establish and manage CSAs and intend to do so must send pertinent information to State OEM regional offices and update the information annually.

Federal/State Staging Centers

Pre-staging of resources should be outside of a potential impact area until the initial threat is over. Resources are then moved forward to one or more CSAs. Mobilization centers can either close or remain open as a rear area in order to accept a backlog of resources.

- Location:
 - On or near a major highway (required).
 - At a commercial or military airport/airfield (desired).
 - Near rail spur/head (desired).
 - Fenced or otherwise secure area, with the following preferences:
 - Covered area; 50,000 + square feet minimum; 4 each loading docks minimum;
 - Office area with communications available;
 - Hard stand area; and,
 - 800,000 square feet (20 Acres) minimum.

Regional Catastrophic Preparedness Grant Program (RCPGP)

The RCPGP was a regional initiative to encourage collaboration between 30 counties within New York, New Jersey, Connecticut, and Pennsylvania. Under the RCPGP, the State conducted an in-depth analysis to identify and assess military and civilian airfields that can provide logistics support within the New York-New Jersey-Connecticut-Pennsylvania Combined Statistical Area. As a result of this initiative, airfield facilities and infrastructure capable of supporting air cargo operations within New York State were identified and their capabilities defined. The Air Cargo Infrastructure and Facilities Report, completed in 2010, includes airport ratings, ranking, and recommendations for use. Airport assessments were completed for most of New York State and not just limited to downstate assessments.

Agreements and Leases

Staging Areas must be under either a Memorandum of Understanding (MOU) if no charges will be requested for reimbursement, or under a lease if there will be any use or reimbursement charges. State OGS is able to provide a listing of available facilities for temporary use during a disaster. Facility use agreements should cover the following topics: (add more, as needed):

- Confirm boundaries and use;
- Determine restrictions;
- Expectations of the landlord and tenant;
- Expectations and responsibilities regarding maintenance and repair;
- Expectations and responsibilities of trash removal;
- Insurance;
- Labor and security;
- Available assets and on-site resources;
- Phone lines and/or data connectivity;
- Exit and entry points;
- Parking areas;
- One-way traffic with road access (infrastructure);
- Overflow options;
- Lights and lighting;
- Utility costs;
- Pictures of record;
- Damage inspections;
- MOU or lease with use/rental agreement;
- Reimbursement procedures;
- Length of lease with renewal clause information; and,
- Point of contact for activation of the MOU or lease.

9. Tests, Training, and Exercising

The State of New York sponsors and conducts a variety of training to improve response capability. This includes varying levels of training in the National Incident Management System (NIMS) curriculum. The State also develops and delivers a wide variety of specialized training, including training to meet Federal program and grant requirements. Additionally, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline. The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State also utilizes an exercise component as part of the planning process to test

the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes.

As part of the regular testing of resources and maintaining test records of those resources, DHSES Stockpiles utilizes the SFS Maintenance system. The system generates work orders based on a predetermined schedule depending on the type of equipment, routine service schedule, and general function checks.

The county health departments are the lead agencies for medical CPOD exercises with counties. The State Department of Health assists with regulation, expertise, and oversight of the exercises.

10. After Action Reports (AAR) and Corrective Actions Programs (CAP)

Following an exercise or an actual event, an After-Action Report (AAR) should be completed by all staff involved in the event. The information gathered in the AAR will provide insight into future refinement of the Distribution and Inventory Management Annex. AARs will be completed as soon as possible following any relevant exercise and will be facilitated by the State OEM for plan updates, ideally at the end of the exercise. The AAR should be completed as soon as possible following the deactivation of the State EOC and provided to the State OEM, ideally within one to two weeks. DPC agencies will support all exercises and AARs. For example, in response to the Lake Ontario flooding in 2019, State OEM coordinated an AAR with all staff and agencies involved, resulting in a Corrective Action Program initiated by State OEM.

11. Innovation Moving Forward

The State will use any and all opportunities to develop and implement innovative solutions. From a practical standpoint, New York State will continue to build capacity and capabilities based upon experiences and lessons learned from exercises or real-world events.

One example of an innovative solutions and leveraging the private sector took place in response to COVID-19. In response to COVID-19, Governor Cuomo collaborated with Governors from New Jersey, Rhode Island, Delaware, Connecticut, Pennsylvania, and Massachusetts to develop a regional agreement to address the supply chain for personal protective equipment (PPE) and other medical equipment and testing. This multi-state initiative included coordination efforts for collaborative procurement and policy strategies for governmental and non-governmental PPE suppliers for items that were either very scarce or unavailable through traditional purchasing means.

Section III: Response

1. Alert, Notification, and Plan Activation

The response to an incident may be adequate using only local resources or it may be one that necessitates or warrants a State response. As such, State involvement may be initiated in a variety of ways as various mechanisms are in place to serve as conduits to the request, acquisition, and deployment of State assistance. Several State agencies continuously operate their own warning points, operational centers, dispatch centers, or reporting systems that field requests for State assistance in addition to the daily operating needs. Pursuant to Federal, State, executive, and agency-specific protocols, these systems are routinely used for notifications of significant or reportable events and/or make emergency notifications to State personnel. Included among these is the New York State Watch Center (SWC). State assistance is often provided through these reception points which become more centralized under an overall State response upon activation of the State EOC.

2. Emergency Response Levels

As identified in the State CEMP Volume 2 *Response and Short-Term Recovery* and the ESF #7 Annex, the State EOC maintains several activation levels based upon event severity and the overall level or volume of State response operations. Activation levels are indicative of the severity of the incident, the response to a specific hazard or threat, and include a host of operational functions and mechanisms. Those functions may be broad in scope, or may be narrow, such as providing assistance in logistics management and support.

The following levels of activation outline the operational steps the State may take in responding to any event.

Level 4 Enhanced Monitoring: A small, isolated, or potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State DHSES/OEM staff only.
- Agencies may be asked individually to provide support through remote operations or report from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC, with ESF coordinating agency activation.

- ESF #7 agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC, with ESF activation.

- Most, if not all, ESF #7 member agencies will be activated.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC, with ESF activation, and Federal ESF integration and coordination.

- All ESF #7 member agencies will be activated.
- The activities of ESF #7 will be integrated with those of their Federal ESF #7 counterparts.

3. Emergency Response Organization and the Use of the Incident Command System

The Incident Command System (ICS) will be implemented in response to an emergency situation. ICS allows for flexibility in its application so that its structure can be modified to any particular situation.

The State EOC is organized in the ESF construct. The ESF organizational structure provides support, resources, program implementation, and services needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal following a hazard event or disaster. The State EOC Organizational Chart is depicted below.

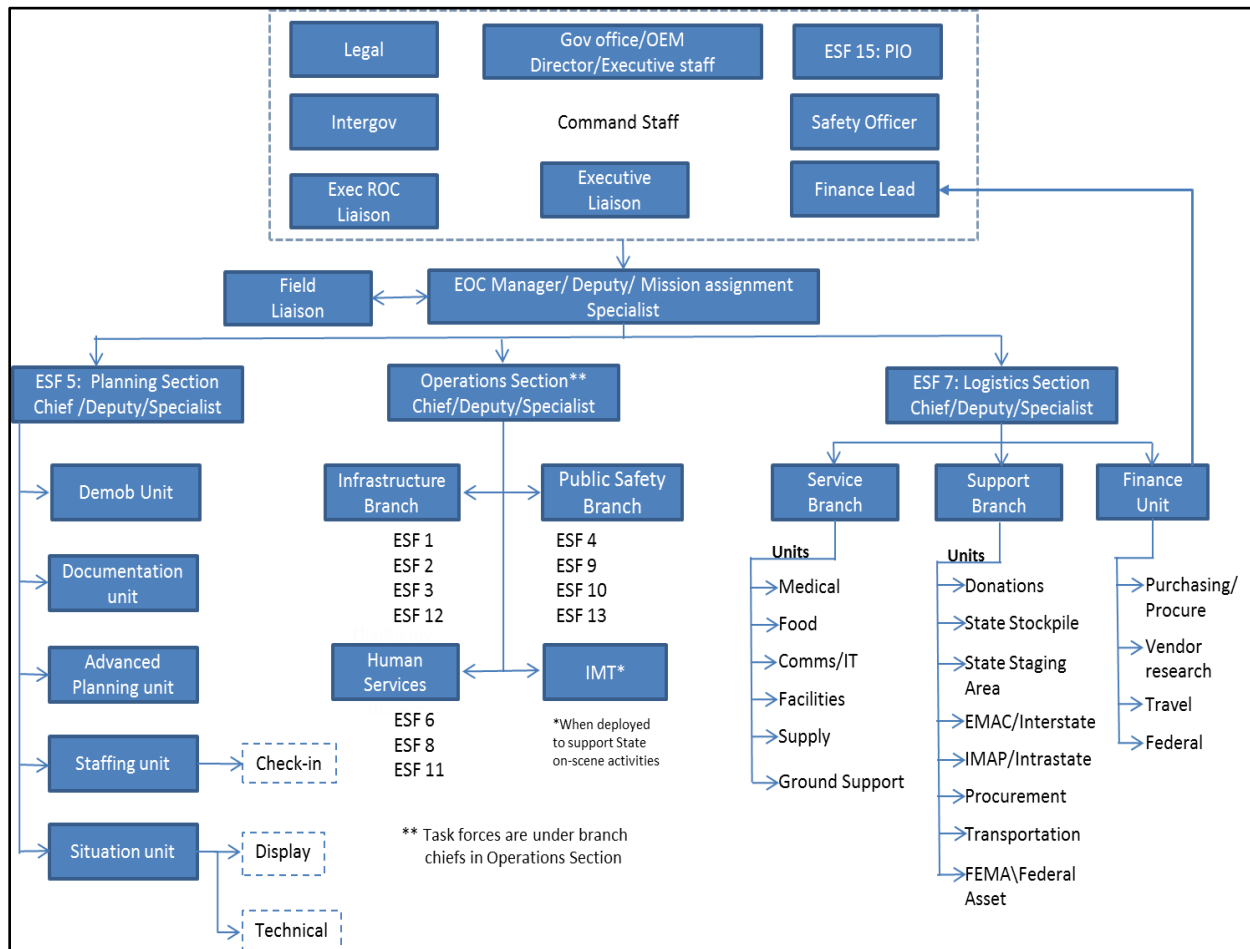


Figure 3: State EOC Organizational Structure

4. Assignment of Responsibilities

This section reviews existing roles, responsibilities, and capabilities of local and state governments and agencies.

Local Government

Local government will be actively involved in resource distribution and inventory management, to the fullest extent possible. Each county, and many local governments, have a CEMP which provides the framework for the jurisdiction's response to emergencies and disasters. Each locally-developed plan will differ in its implementation, including in response capabilities, surge capacities, and in the ability to exercise authorities. A local point of contact would be identified to coordinate with local logistical management and act as a primary point of contact. This could be accomplished through the county OEM, local ARC chapters, other local agencies, or COADs.

State Government

The State's role is to coordinate State logistical operations. Agencies may not have a specific role and responsibility in logistics, however responsibilities outside the logistical management and ESF #7 framework may overlap with the agency's capabilities to assist in logistical operations. State agencies that can provide transportation or distribution management of materials and resources include, but are not limited to: American Red Cross, Division of Homeland Security and Emergency Services, Division of Military and Naval Affairs, Department of Health, Department of Transportation, Office of Children and Family Services, Office of Temporary and Disability Assistance, Office of Parks, Recreation and Historic Preservation, State Office for the Aging, and organizations from the State Volunteer Organizations Active in Disasters (VOADs).

5. Response Requirement Defining

Requesting Resources Through the State

- All requests shall be placed through the county emergency management office.
 - If resources are available locally or through donations, mission requests will be filled locally or regionally.
 - If the request cannot be fulfilled locally or regionally, the request is forwarded through the State liaison or regional representative to the State EOC.
 - The NYR mission tracking and information system may be accessible through the State OEM liaison or regional representative, if connectivity is available.
- Resource requests must be singular in nature.
 - Do not combine dissimilar requests on one message or combine situational reporting information with a Mission Request.
 - For example: Personnel, trucks, and water
 - Mixed resource requests require the State EOC to re-enter the entire mission into separate messages, thus delaying the processing of the mission.
- Requests must be complete and contain the following:
 - POC name and phone numbers.
 - Delivery site name and address.
 - Detail specifics on the request, including quantity and size.
 - One-time order or recurring for X number of days.
 - Indicate if material handling equipment is available at the delivery site.
- Orders should be placed to cover at least 1½ to 2 days, or a 24-hour operational period.
- Each operation will establish operational periods, with time cut-offs for orders. Orders placed beyond the cut-off time are subject to shipment the following day.
- Some commodities require 3-4 days lead time due to source and distance.
 - Counties will be notified that they must forecast their requirements 4 days in advance for these resources.
- Note that backorders are based on availability.
 - The balance will be canceled if staging cannot completely fill the order or has a backorder that cannot be filled in a reasonable amount of time.
 - "More Owed" will be designated in NYR if the order can only be filled partially and that the order will be completely filled within a reasonable amount of time.
- Recipients will be required to sign for every resource and delivery.
 - All non-expendable property must be returned upon demobilization.

Adjusting Resources

- Post-event actions are adjusted once further situational awareness has been obtained to form a common operating picture.

- Actual resource requirements.
- Burn rates (how much of an item is actually being consumed) based on actual distribution throughput.
- Par levels or minimal levels of inventory necessary to be on hand are then set for each resource to ensure that critical resource levels do not fall below 1½ days of inventory.
- Resource ordering is then based on these projections:
 - Changing outcomes.
 - Power restoration.
 - Degree of damage and residential occupancy.
 - Social services becoming available.
 - Financial assistance.
 - Resource support.
 - Long-term recovery planning.

Logistics Planning Cycle

- Forward Reports to county EOC by predetermined shift times.
 - Incident Action Plan (IAP)
 - Shipping Report
 - Receiving Report
 - Inventory
 - Accountable Property Report
- Forward reports to county EOC by predetermined shift times.
 - Commodity forecast for next 24-hours
 - Staffing Requirements

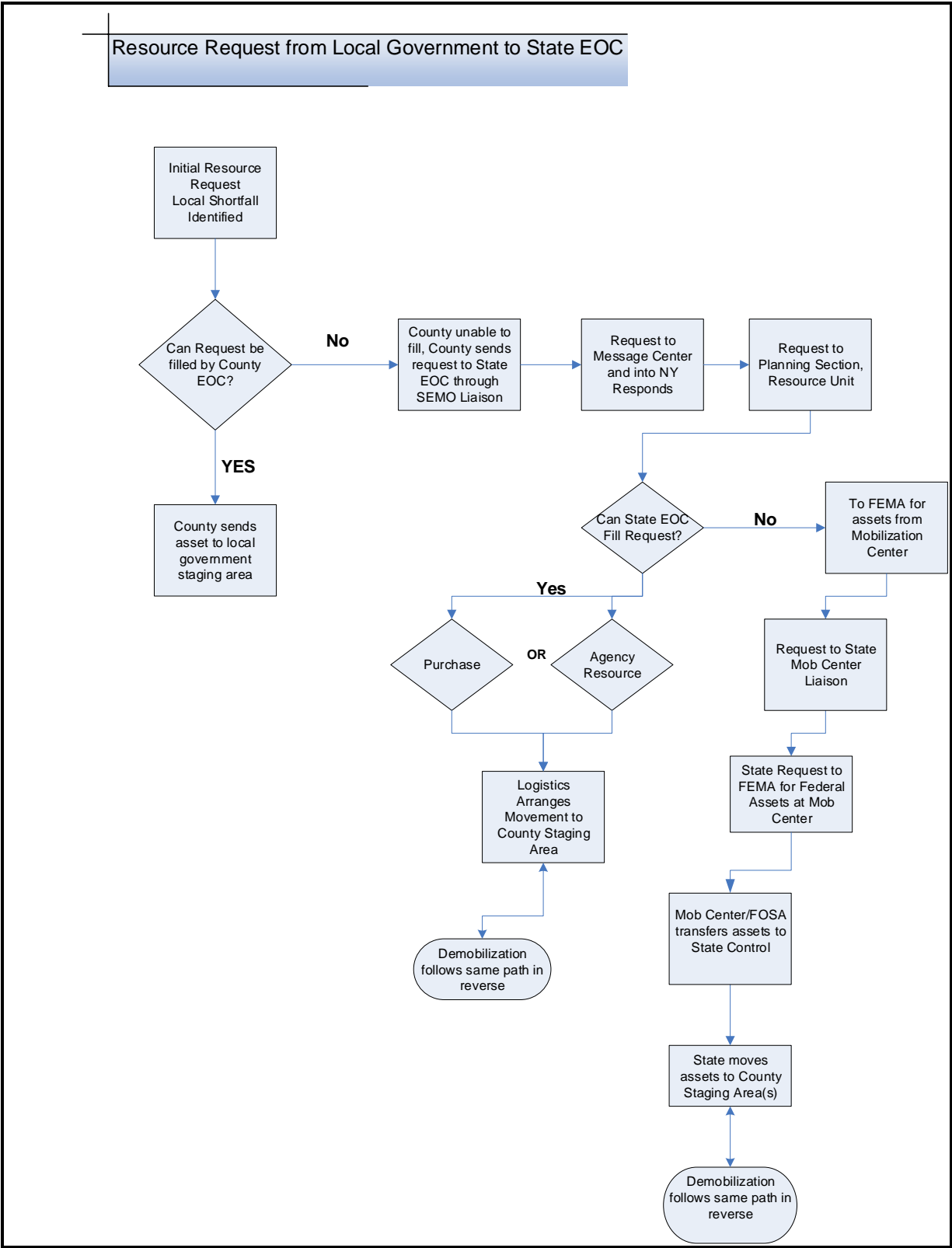


Figure 4: Resource Request from Local Government to the State EOC

6. Resource Ordering During a Response

All attempts will be made to fulfill requests from existing resources and capabilities. However, depending on the size and type of incident, the State may have varying resources and capabilities available. If the State cannot fulfill the request, the following chain of support will be utilized, depending on availability:

- Donations
- Stockpile/staging
- Intrastate Mutual Aid Program (IMAP)
- EMAC
- Vendor
- FEMA

Bulk Commodity Planning

Successful bulk commodities planning is based on an absolute understanding of the "pipeline effect" and its effect on requisitioning, receipt, and distribution. The required rate of delivery of bulk commodities is directly proportional to the point of end user's (POD) ability to distribute resources to victims (or throughput), and the status of commercial power restoration and/or respective outages. Simply stated, requests should not be for more commodities than the affected population (as determined by commercial power status) can reasonably consume in the operational period or can be effectively distributed to the same; doing so can and will hinder neighboring communities and a county's ability to support the needs of their citizens.

There are several forecasting tools that can be used to assist in determining the initial quantities of commodities. However, the key element to POD planning is throughput, meaning the number of people that can be adequately served in an event.

7. Distribution Methods

Commodity Points of Distribution/Medical Points of Dispensing

CPODs will be used by the local/municipal governments, for the purpose of receiving and distributing bulk emergency relief supplies. Two types of PODs may be established depending on the event. PODs are identifiable based on the logistics or health/medical orientation.

- The first types of CPODs are established post event for the purpose of distributing life sustaining commodities such as water, ice, food, tarps, and other bulk resources within the first 24-96 hours after an event. For logistics, these are termed as Point of Distribution (POD).
- The second type of PODs are those established under the State's Medical Countermeasure Distribution and Dispensing Plan for purposes of distributing pharmaceuticals, antidotes, and prophylactic medications in the event of a pandemic, biological, or chemical attack. Details for this program reside with the State Department of Health, county/local Health Departments, and county emergency management offices. For medical/health orientation, these are termed as Point of Dispensing (POD).

The purpose of a CPOD is for local governments to establish initial points where the general public will obtain life sustaining emergency relief supplies until such time as power is restored, traditional facilities such as transportation routes and retail establishments reopen, temporary respite areas established, fixed and mobile feeding sites identified, and relief social service programs are in place.

CPOD Placement

The placement of CPODs in a community must be a well thought out process. Since 2004, many major supermarket and home improvement chains have made a corporate commitment to have their stores open within the first 24 hours after an event. Country-wide, private-sector industries and businesses provide the community with access to life-sustaining needs, such as food, generators, and cleaning supplies. Large companies have, or are in the process of, installing emergency generators at their stores in order to reopen as soon as possible. State agencies interface with private-sector industries and businesses through the state as part of agency regulations and/or regulatory actions, inclusive of Department of Health, Office of Counter Terrorism, Empire State Development Corporation, and the American Red Cross.

Local government, in conjunction with counties, should focus on placing CPODs in outlying areas in regions proximal to cities, towns, or villages so they can be sufficiently served or in an area where major supermarkets or home improvement chains have been destroyed, damaged, or non-operational. The objective of state and local government is to ensure that resources are available to a community - whether through donations, State or local government distribution, or available through purchase at local businesses.

Potential CPOD locations should be able to accommodate vehicle, pedestrian, mass transit traffic, or a combination of all three. CPOD placement should take into consideration public need, infrastructure capability, and resources as there may be limitations in communications, equipment, transportation, or personnel.

PODs are generally established and maintained at the county/local level. However, in cases where the State establishes and manages CPODs, locations will be identified at available state-owned properties, such as any of the SUNY campuses, OPRHP locations, Thruway rest stops, DEC or OPRHP locations, State Fairgrounds, any of the 10 State stockpile locations, or any other of the hundreds of state-owned real estate locations based on need as conditions warrant. State agencies will be used to locate, establish, manage, and maintain CPODs based on where they are needed during the time of the incident.

For CPOD staffing at a state-run CPOD, a staffing mission request will be sent through NYR and tasked to State agencies for fulfillment. The mission request will identify the number of staff needed, the hours staff are needed, and any specific staffing training requirements, assignments, or accommodations needed to fulfill the request.

Hours of Operation

It is preferred that CPODs are open to the general public during daylight hours for security and safety reasons, typically 8AM to 8PM. However, timing may be influenced by location, time of year, or incidents that cause low light conditions. This allows for resupply of resources and allows for breaks for personnel and volunteers. Once CPODs are in full operation, it is recommended that deliveries to resupply PODs be made during the evening hours and staged for morning distribution unless the CPOD locations have the resources and physical capabilities to resupply during daytime hours without affecting operations. Otherwise, it is recommended that daytime deliveries be made only in emergency situations, as this may affect distribution operations.

Commodity Distribution

The State will push resources (food, water, MREs, tarps, etc.) based on established projection models for the first three days based on emergency needs, not wants or perceived entitlements. By Day 3, each site will have an established "burn rate" of the quantities being distributed. Par levels will be established for each site, and future quantities will be direct shipped to each site.

Once a steady flow of resources is available, the quantities of commodities handed out at CPODs may be increased. The State can ship water, ice, and MREs (depending upon availability) directly to the CPODs within the first 24 hours post event. Ice and food may also be shipped based on the emergency needs of the event and community. Commodities will not be shipped into areas where retail stores are open, even under emergency power, and selling water and food.

Mobile Distribution

Not all counties are able to support locations for a CPOD, or the disaster may prevent pre-identified locations from being used. If locations are not able to support a CPOD, mobile distribution is an alternative option. Capabilities exist for the State to support mixed load mobile distribution to isolated farms, nursing homes, adult living facilities, the homebound and elderly, trailer and mobile home parks, and special facilities such as prisons, work camps, and isolated marinas that have fewer than 100 people. Agencies such as the American Red Cross, Salvation Army, and State Office for the Aging may have the ability to conduct limited mobile distribution to these areas while conducting feeding operations, but each local government must address how they will conduct mobile operations in advance based on their demographics.

If a local government is unable to conduct mobile operations due to the severity of an incident, ESF #6 can assist with the State's ability to support and facilitate the coordination of mass care, sheltering, emergency assistance, housing, and human services throughout the state during response and short-term recovery of an incident.

8. Inventory Management

Accountability

The State maintains a record of inventory through asset tracking in NYR, stockpile inventory receipts, inventory forms, and DHSES/Finance. All resources should be tracked and noted in the call log in NYR. Counties are encouraged to maintain a current inventory of all logistic staging area resources and ensure that this information is provided to the State EOC prior to each operational period, in order to coordinate resource support.

From the operational standpoint, items are acquired through any of the mechanisms necessary, as appropriate. Once received by the State, they are added to warehouse-specific inventory systems, based on where the items are needed or stored. When a jurisdiction or a CPOD identifies the need, a mission is assigned in NYR. The requests are then reviewed, and a Mission Assignment Specialist will route the approved request to End-to-End Logistics where a "Pick-Order" sheet is created and sent to the appropriate warehouse to pick and distribute the requested goods to a CPOD. Once the order has been picked, the items are transported utilizing State agencies specific to transportation (ESF #7 Logistics). When delivery is complete, a Bill of Lading is provided, confirming all items listed have been received, it is signed by the receiver, scanned, and attached to the appropriate NYR call for the specific request. Finally, once the Bill of Lading is uploaded to NYR the Resource Tracker (in the State EOC) is responsible for documenting, the NYR call number, what was requested, what was received, what warehouse the items came out of, how and when they were delivered, and whether or not the call can be completed or Assigned to Incident if the items are non-consumables.

DHSES/Finance and DHSES/Asset Management have standard procurement policies regarding responsibility for new assets to be tracked when purchased, how to enter inventory and maintenance records into state financial reporting systems (SFS), and tracking of an asset through bills of lading and/or purchase receipts. Additionally, during an incident, assets and

resources are tracked through the Asset Tracker and the Resource Tracker in NYR. Resources are tracked from the point of request, to the point of delivery and return (if appropriate).

Distribution of Commodities

As a safeguard to providing the most people with resources during an event, personnel at the CPOD should follow the initial distribution noted below for the first 72-hour period of operations, unless instructed otherwise.

- 1 Gallon of water per person, per day (4 Liters)
- 8 pounds of ice per person, per day (1 Bag) (as available)
- 2 Emergency Food Rations (MREs, Shelf-Stable Meal or equivalent) per person, per day (if available and required)
- 1 each 20' X 25' Tarp (if available and if needed)

This safeguard will sustain commodity availability to the greatest amount of people until a strong pipeline can be assured, and a proper assessment of needs can be determined so there is not a shortage or surplus of resources.

Throughput of Commodities

On average, the following are the calculated distribution model for each commodity.

- 1 truck of water (4,500 gal) = 1,420 vehicles*
- 1 truck of ice (40,000 lbs.) = 1,577 vehicles*
- 1 truck of MREs (21,744 ea.) = 3,413 vehicles*
- 1 truck of tarps (4,400 ea.) = 4,400 vehicles*

*Vehicles represent 3.17 persons per household according to U.S. Census data.

Accountable Property

Accountable property are items that will be returned to the State and/or respective owners if the item was leased. This includes items such as generators, flood pumps, cranes, vehicles, forklifts, ramps, light towers, or communications equipment. Prior to returning the item to service, it needs to be cleaned. Stockpile personnel have a maintenance schedule for all accountable property owned by DHSES. The Stockpile determines the life of a product, whether through an expiration date, amount of usage, or a preset lifetime of a commodity. The Stockpile has a preset disposal method for the commodity and for taking it out of service.

Consumable Property and Storage

Consumable property are items that are expendable. This includes items such as water, sand bags, cots, blankets, shelf stable meals, or MRE's. These items will be disposed of based on guidance from agency partners that maintain such property.

Storage of DHSES-owned commodities is managed by DHSES/Asset Management and located at the DHSES Stockpiles. Additional and future warehouses may be used during a large-scale event, which will follow the same inventory management procedures as the DHSES Stockpiles. Other partner agencies or groups also maintain consumable and expendable property, which includes agencies from ESF #6 for food, water, medical supplies, and personal care kits. All of these items are stored in compliance with guidelines and shelf life standards.

Temporary Transfer of Property from the State to a County

- ESF #7 Logistics coordinates the transfer of the property from the State to county and county back to State.
- NYR tracks the property in the Asset Tab. The Bill of Lading and any hardcopy paperwork will be included in NYR as an attachment to the request.
- DHSES Recovery/Finance coordinates the financial aspects regarding how items are transferred to a county, whether the property is leased or purchased by the State, and who will be held financially accountable for the property.

9. Transportation

Upon making a mission request in NYR, the requester will notate where the delivery point or staging for the resource will be or if local government performs pick up from the nearest available stockpile. Based on the objective of the mission, the State may transport resources to the affected area.

ESF #1 has identified member agencies that work to coordinate the transportation systems and infrastructure support and assistance during an incident. This would include determining inbound and outbound flows of traffic to an affected area or identifying alternative routes for outbound evacuation or medical facility moves, and inbound movement of resources and commodities, power restoration equipment, or specialized response teams.

ESF #7 has identified member agencies that work to address mission requests and requirements that are assigned to the ESF for action. This includes the transportation of goods and the mission requirements based on capacity, capability, speed, cost, resiliency, and reliability. ESF #7 Logistics will be tasked with requesting State agency assistance and will monitor the request until it is closed.

Key Routes

In deciding the location for the CPOD, numerous factors come into play in deciding a location for a CPOD, including transportation architecture. Key routes in New York State are the major thoroughfares and roadways, such as the interstates 81, 84, 86, 87, 88, 90, 390, 490, 684, and 495 and US highways 4, 6, 9, 9W, 11, 20, 44, 62, 209, and 219.

Transportation Nodes

When activated, ESF #1 Transportation provides the coordination for opening and maintaining transportation modalities, travel time estimates, and makes recommendations on travel route/times based on conditions. This includes land, water, and air through an Air Operations Branch under ESF #1. The major transportation nodes in New York State are land transportation (roadways and railways), air transportation, and water transportation. Should transportation architecture to the affected area be disrupted, ESF #1 will be tasked with debris removal of key routes. If land transportation is not viable, air or water transportation may be alternate options.

The NYS Canal Corporation possess water assets and can provide navigation information for the Hudson River, Champlain Canal, Eastern Erie Canal, Oswego Canal, Central Erie Canal, Cayuga-Seneca Canal, and the Western Erie Canal. Current water depths, notices, and alerts can be accessed via <http://www.canals.ny.gov/navinfo/index.html> or through the ESF #1 NYPA/CANALS liaison.

The NYS DOT Aviation Bureau has a map of all public use airports in New York state and can be accessed via <https://www.dot.ny.gov/divisions/operating/opdm/aviation/maps> or through the ESF #1 DOT liaison.

10. Potential Federal/New York State Staging Center Sites

As of the 2021 New York State Logistics Annex, the following bases may be used as FSCCs:

- 914th Airlift Wing Air Force Reserve (AFRC), Niagara County.
- Griffiss International Airport, Oneida County.
- JFK Airport, Queens County.
- LaGuardia Airport, Queens County.
- Niagara Falls Air National Guard Base, Niagara County.
- Plattsburgh International Airport, Clinton County.
- Republic Airport, Suffolk County.
- Stewart Airport, Orange County.
- Stratton Air Guard Base, Schenectady County.
- Syracuse Air National Guard Base, Onondaga County.
- West Hampton Air Base, Suffolk County.
- Wheeler-Sack Base, Jefferson County.

Additional information, including Military Aircraft Information and specifications for each site can be found in Attachment 2 Guidance Document on Federal/State Staging Centers, Staging Areas, FOSAs, Regional Staging Areas & Points of Distribution.

These staging areas can be used to receive and distribute emergency relief supplies (water, food, cots, blankets, tarps, generators, etc.) to CPODs following an incident. These sites have the capability to be used as a support and/or staging area for disaster relief personnel and equipment for deployment into an affected area

Attachment 2 includes topical areas that covers many elements including airport size, runway capacity, forklifts/material handling equipment (MHE), marshalling space, site assessment criteria, and necessary staffing. Also included is necessary equipment and personnel for 3 types of PODs – Type 3 (4 lanes), Type 2 (2 lanes), and Type 1 (1 lane), and estimated commodity, unit per truck, and estimated number of people served. The graphic is a size calculation based on area size and commodities needed and distributed.

STAGING AREA CAPACITY CALCULATIONS			
SIZE	TRUCK & TRAILER	TRAILER ONLY	
250,000SF/6 acres	208	347	
360,000sf/9 acres	300	500	
490,000sf/12 acres	408	681	
640,000sf/15 acres	533	889	
810,000sf/18 Acres	675	1125	
1,000,00sf/21 Acres	833	1389	
1,210,000sf/24 acres	1008	1681	
1,440,000sf/24 acres	1200	2000	
42,000SF = 1 acre			
Commodity	Unit	Per Truck	# of People Served
Blankets	Each	1000	1000
Cots	Each	500	500
Ice	Lbs.	40,000	5000 (1 bag per)
Water	Gallons	4500	4500 (1 gal per)
MREs	Each	21,477	10,000 (2 per)
Sheeting 20'x 100'	Rolls	616	
Sheeting 20'x 50'	Rolls	1300	
Tarps	Each	4400	4000 families
Each Car Represents:	1 family or	3 people	
Provisions for Each Car:	3 bags ice, 1 case water, 6 MREs, 1 tarp		

Figure 5: Staging Area Calculations, Attachment 2 – Planning Guidance on Federal/State Staging Areas

Section IV: Recovery and Demobilization

1. Recovery

As the event transitions to recovery, requests for critical resources and distribution measures will begin to diminish. Regardless of the extent of damage, New York State will strive to assist local governments, businesses, and citizens in recovering from the impacts of a hazard or disaster. Where possible, mitigation measures will be incorporated into recovery activities to lessen the impact of reoccurrence or eliminate it entirely.

2. Demobilization

The Demobilization Checklist, found in Section V Form, Form 7, will assist CPOD management with the demobilization of CPODs and/or CSAs at a local level. The checklist covers the initiation of the demobilization process and responsibilities, redistribution of supplies, dismantling a CPOD, and closeout operations and records.

3. Documentation

As part of a standard incident management practice, staff will be instructed to document all activities until the State has returned to normal operations, including the use of electronic or hardcopy materials generated in the event. Systems are in place to monitor and facilitate:

- Tracking files, documents, and records (including emergency operating costs) for future reference.
- All shipping, receiving, truck logs, and copies of all electronic media and records will be sent to and maintained by the county EOC, with copies entered in NYR under each corresponding NYR number.
- All copies of all bills, receipt of equipment, shipping reports, etc. will be sent to and maintained to Logistics Section at the county EOC, with copies entered in NYR under each corresponding NYR number.
- The ESF #7 Logistics Section will assemble records for assets that were acquired or distributed through the ESF.
- Finance/Administration will keep records to identify the expenditures incurred via emergency purchase.
- All records should be documented in NYR.

Section V: Forms

The following forms are instrumental in assisting local governments, counties, and State agencies with mission requests, distribution of resources, and inventory management.

1. Mission Request Form
2. CPOD Short Form
3. CPOD Inventory Sheet
4. CPOD Receipt of Inventory Form
5. CPOD Shipment of Inventory Form
6. Support Vehicle Inventory
7. Demobilization Checklist

Form 1: Mission Request Form

New York State Emergency Management Mission Request Form				
Incident Name:			NY Responds Ref #:	
What do you expect to accomplish/Mission Objective?				
Expected Condition Duration: _____ Hours	Date of Request:	Time of Request:	Priority	Date/Time Due:
Caller Information: Last: Requesting Agency:		First:		
Address of Caller: State: ZIP Code:		City:		
Phone	Cell		Fax	
E-Mail	Pager		Other:	
Delivery Point/Staging:			County:	
POC Responsible for Resource: Last:			First:	
Phone	Cell		Fax	
Directions to Staging (Include Address):				
Reassignment Destination 1:			POC	
Reassignment Destination 2:			POC	

Form 2: CPOD Short Form

This form is used to maintain information on each CPOD. This profile is to be filled out by the CPOD Coordinator.

Date prepared:		Updated:	
Site Name:			
□ COUNTY			
TYPE OF SITE: <input type="checkbox"/> TYPE I <input type="checkbox"/> TYPE II <input type="checkbox"/> TYPE III			
POC Name:			
Location Address:		Phone:	
		E-Mail	
		Fax:	
Latitude		Longitude	
Loading docks on site?		How Many?	
Fork Lift on Site?		Operator Available?	
Pallet Jacks on Site?			
Labor to assist in the unloading on site?			
Hours of Operations			
Non Expendable equipment assigned to the site from the other sources			
Personnel assigned to site		Agency Providing personnel	
Special Considerations			

Form 4:

CPOD Receipt of Inventory Form

<p>THE PURPOSE OF THIS FORM IS COLLECT INFORMATION ON THE RECEIPT OF EXPENDABLE AND NON-EXPENDABLE SUPPLIES AND EQUIPMENT RECEIVED INTO THE CPOD INVENTORY. THE CPOD SUPERVISOR WILL FILL OUT THIS FORM, THE BILL OF LADING OR MANIFEST IF PROVIDED ATTACHED AND DELIVERED TO THE STAGING AREA LIAISON. ONE FORM PER DELIVERY.</p>			
Date:		Time:	Vendor:
Delivered by:		Bill of Lading Number:	
Item	Identity Number	Quantity	Packaging
Disposition		Stored at CPOD Site Yes / No	
Direct Shipped (attach to shipping form)	Mission Number	Copy Provided to shipping officer Yes / No	
Signed: Receiving Officer			
Internal Audit use only			
Audit Control #		Mission Tracker # Requesting these resources.	

Form 7: Demobilization Checklist

Demobilization Checklist (May Require Additional Modifications)	
<input type="checkbox"/>	Responsibilities: Demobilization Initiated
<input type="checkbox"/>	<p><u>Notification:</u></p> <p>Counties, in conjunction with the State EOC, evaluate the requirements to suspend or relate CPODs and/or CSAs.</p> <p>Notify all agencies supporting the CPOD of the need to demobilize operations.</p>
<input type="checkbox"/>	<p><u>End Receiving:</u></p> <p>Notify State EOC and vendor of demobilization and to stop shipment at least 24 hours prior to the final delivery request.</p> <p>Notify incoming shipments of any need to change shipping points prior to demobilization.</p>
<input type="checkbox"/>	<p><u>Demobilization Planning:</u></p> <p>Develop transfer plans for all goods, inventory, and support systems.</p> <p>Development plans for repacking equipment and goods for transfer back to the owner's control.</p> <p>Notify vendors of demobilization date and time for pickup of vendor supplied non-expendable equipment.</p>
<input type="checkbox"/>	<p><u>Demobilization Preparation:</u></p> <p>Stage supplies for shipping to CPODs, VOADs, and other active agencies.</p> <p>Stage materials and state-provided resources and support systems for pickup.</p> <p>Stage vendor-provided resources and support systems for pickup.</p>
<input type="checkbox"/>	Redistribute Supplies
<input type="checkbox"/>	<p><u>Redistribute Supplies:</u></p> <p>In coordination with all levels of government, redistribute the remaining supplies to CPODs, VOADs, Federal agencies, State, or other active agencies.</p>
<input type="checkbox"/>	<p><u>Redistribute Materials:</u></p> <p>In coordination with representatives in the CPOD, redistribute remaining materials to remaining distribution sites, VOADs, Federal agencies, State, or other active agencies.</p> <p>Recycle pallets.</p>
<input type="checkbox"/>	Dismantle the Pod

<input type="checkbox"/>	<p><u>End Operations:</u></p> <p>Notify the State EOC and local EOCs that shipping to CPODs will be ending, with a certain date and time.</p> <p>Return all equipment to the rightful owners.</p>
<input type="checkbox"/>	<p><u>Pack Equipment:</u></p> <p>Dismantle all equipment, especially office systems and support equipment.</p> <p>Prepare forklifts and pallet jacks for pickup and loading.</p> <p>Recover all unused equipment and properly store it in the logistics support trailer.</p>
<input type="checkbox"/>	<p><u>Decontaminate Equipment:</u></p> <p>Decontaminate any equipment that has been used in flooded areas, such as pumps and pipes used to pump out the flooded areas.</p>
<input type="checkbox"/>	<p><u>Inventory Equipment:</u></p> <p>Inventory all office equipment and systems versus the initial receipts.</p> <p>Inventory all forklifts, pallet jacks, and other floor operation equipment for pickup.</p>
<input type="checkbox"/>	<p><u>Transport Ready:</u></p> <p>Contact vendors and provide pickup date and time for remaining equipment and systems.</p> <p>Contact state resources to pick up all equipment and support systems.</p> <p>Ensure transport is available for any remaining resources.</p>
<input type="checkbox"/>	<p><u>Load Equipment:</u></p> <p>Work with the State EOC, county EOC, and vendors to load the remaining equipment and support systems.</p>
<input type="checkbox"/>	<p><u>Clean Site:</u></p> <p>Perform final site cleaning for transfer back to local or vendor control.</p>
<input type="checkbox"/>	<p><u>Site Inspection:</u></p> <p>Perform site inspection to determine readiness for return.</p>
<input type="checkbox"/>	<p><u>Return Site:</u></p> <p>Return site to local or vendor control.</p> <p>Arrange to disconnect hard lines.</p> <p>Notify county EOC that control has been returned.</p>

<input type="checkbox"/>	Close Out Operations/Records
<input type="checkbox"/>	<u>Release Staff:</u> <p>Ensure staff is properly rested prior to departing for home station.</p> <p>Have staff turn in all issued safety gear, signage, and other issued equipment.</p> <p>Notify agencies and county EOC.</p> <p>Release CPOD management from duties</p>
<input type="checkbox"/>	<u>Notify the State Office of Emergency Management:</u> <p>Notify State and local EOCs that all CPOD operations are discontinued, and demobilization is complete.</p>
<input type="checkbox"/>	<u>Return Records:</u> <p>Send all shipping, receiving, and truck logs, plus copies of all electronic media and records back to the county EOC.</p> <p>Send copies of bills, receipt of equipment, shipping reports, etc. back to the Logistics Section at the county EOC.</p>
<input type="checkbox"/>	<u>End Deployment:</u> <p>Everyone goes home for much needed rest.</p>

Attachment 1:

**New York State Major Hazard
Categories/Resource Needs Time Phased
Deployment and Agency Matrix**

New York State Major Hazard Categories/ Resource Needs Time Phased Deployment and Agency Matrix

The New York State Major Hazard Categories/ Resource Needs Time Phased Deployment and Agency Matrix can be found in its entirety in the State OEM Planning Section, the State OEM Operations Section, and on the P:/Planning drive.

NEW YORK STATE MAJOR HAZARD CATEGORIES/ RESOURCE NEEDS TIME PHASED DEPLOYMENT AND AGENCY MATRIX

The information contained in this section address the resource needs of the major hazard categories in New York State by timeline and by agency specific contribution. This is designed as a quick reference of the types of resources needed to address each hazard at different phases during the emergency. The resources include personnel, teams, equipment, supplies, services and facilities. Training needs are addressed by hazard and requirements through several mechanisms: a training needs assessment for local and state government, the after action review process as outlined in the after action review policy and the Homeland Security Exercise Evaluation Process. Funding for response resources they are provided by various state agency operating budgets, as well as the appropriation of emergency funds by the State Legislature and if the event is serious enough; through a Presidential Declaration or other Federal Emergency Program.

The Response Phase: The response phase is normally defined as the first week (pre impact-7 days) of operations when an event occurs. With some events, that have a pre-warning, these actions will begin before actual impact. Response Phase operations are normally focused on immediate emergency incident assessment, stabilization (such as search and rescue, etc.) and critical priorities to address basic human needs (food, water, shelter, medical). This phase also addresses disaster access and communications as well as critical infrastructure support (road opening, emergency power, emergency fuel, etc.).

Short Term Recovery Phase: The short-term recovery phase is normally defined as 1 week to 1 month (7-30 days) of the disaster onset. This period during an emergency begins the process of transitioning the response aspects of an event into longer term recovery. Actions conducted during this time typically include detailed damage assessment, debris management, critical infrastructure restoration, individual assistance to victims and several other areas.

Long Term Recovery Phase: The long term Recovery phase is normally defined as beyond 1 month (30+ days) of the disaster onset. This period is the process of transitioning the emergency to begin returning the situation to a normal or pre-event type status. Long-term recovery could theoretically take many years to achieve the normal or pre-event environment depending on severity and level of impact. Long-term recovery actions include permanent repair, construction, environmental cleanup, disaster assistance programs, economic viability, mitigation projects and other issues. The State's long term strategy is addressed in the State Comprehensive Emergency Management Plan.

NOTE: The phases and the below resource needs are guidelines for emergency situations. Each event is unique and specific needs will require evaluation at the time of the situation.

The information contained in this section address the resource needs of the major hazard categories in New York State by timeline and by agency specific contribution. This is designed as a quick reference of the types of resources needed to address each hazard at different phases during the emergency. The resources include personnel, teams, equipment, supplies, services and facilities. Training needs are addressed by hazard and requirements through several mechanisms: a training needs assessment for local and state government, the after-action review process as outlined in the after-action review policy and the Homeland Security Exercise Evaluation Process. Funding for response resources they are provided by various state agency operating budgets, as well as the appropriation of emergency funds by the State Legislature and if the event is serious enough; through a Presidential Declaration or other Federal Emergency Program.

Attachment 2:
**Guidance Document on Federal/State
Staging Centers, Staging Areas, FOSAs,
Regional Staging Areas, and Points of
Distribution**

Guidance Document on Federal/State Staging Centers, Staging Areas, FOSAs, Regional Staging Areas & Points of Distribution

The Guidance Document on Federal/State Staging Centers, Staging Areas, FOSAs, Regional Staging Areas & Points of Distribution can be found in its entirety in the State OEM Planning Section, the State OEM Operations Section, and the P:/Planning drive.

The guide is intended to be a resource for federal, state, and local partners in the logistical response for an incident or disaster. The guide is intended to provide minimum requirements for the establishment of logistical support facilities and is meant to be flexible to meet the needs of the incident. The guide is based on the principles of the Incident Command System (ICS) and the duties and responsibilities of the staff mirror those contained in ICS documents.

Guidance Document on Federal/State Staging Centers, Staging Areas, FOSAs, Regional Staging Areas & Points of Distribution

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New York State Comprehensive Emergency Management Plan

Coastal Storm Annex



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)	Reviewed by
Created August, 2008			Plans Section
September, 2008	Internal Review	Entire Document	Plans Section
October, 2008	DPC Review	Entire Document	Plans Section
April, 2009	Annual Review	Entire Document	Plans Section
April, 2010	Annual Review	Entire Document	Plans Section
June, 2010	Internal review-administrative change (DHSES/OEM)	Edits as appropriate	Plans Section
January, 2011	Administrative change	Edits as appropriate	Plans Section
July, 2011	Annual Review	Entire Document	“Under review by DPC
May, 2012	Annual Review	Entire Document	Internal OEM and DPC review
August, 2012	Activation Timeline	Response Section and Attachments	Plans Section
April, 2014	Annual Review	Entire Document	OEM/Plans Section
April, 2015	Annual Review	Entire Document	OEM/Plans Section
September, 2015	Activation Timeline, Fuel NY	Edits as appropriate	OEM/Plans Section
March, 2016	Annual Review	Entire Document	OEM/Plans Section
March, 2017	Annual Review	Entire Document	OEM/Plans Section
July, 2017	ESF, Activation Timeline	Entire Document	OEM/Plans Section
February, 2018	Annual Review	Entire Document	OEM/Plans Section
May, 2018	Activation Timeline	Edits as appropriate	OEM/Plans Section
August, 2018	Local timeline	Edits as appropriate	OEM/Plans Section
February, 2019	Annual Review, County Updates	Entire Document	OEM/Plans Section
January, 2020	Annual Review, EMAP Update	Entire Document	OEM/Plans Section
June, 2020	COVID-19 Update	Timeline & Roles & Responsibilities	OEM/Plans Section w/ DHSES Exec. input
March, 2021	Annual Review	Entire Document	OEM/Plans Section

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New York State Comprehensive Emergency Management Plan

Coastal Storm Annex

Section I: General Considerations and Planning Guidelines

A. Introduction

The State of New York experiences a wide variety of disasters that may cause loss of life, property, and income, disrupt the normal functions of government, communities, and families, and cause great human suffering. A large-scale emergency or catastrophic event will likely cross jurisdictional lines while stressing or exhausting resources at all levels of government. New York State is not alone. On a national level, the frequency and magnitude of events we as a nation experience provide a constant reminder that many events can easily overwhelm capabilities, cause great hardship, and result in disaster recovery efforts that unfold over years following the event.

Hurricane Irene, Tropical Storm Lee, and Super Storm Sandy proved to be devastating to New York State. However, all of these storms were not as intense as what could potentially impact the State. The impacts of a catastrophic hurricane making landfall in New York State could be horrific, potentially dwarfing the impacts that were experienced in the Gulf due to Hurricane Katrina in 2005. In addition to the global economic and societal importance of New York State, the State of New York possesses the most densely populated coastline of any area in the country. As a result, the State must give leadership and direction to prepare for, respond to and recover from the dangers and problems arising from such situations.

New York State leadership recognizes the threat of a coastal storm on the State's population, critical infrastructure sectors, the private sector, the economy, and the way of life. Local and State planning endeavors are ongoing in identifying policies, issues, mechanisms, and responsibilities in preparing for and responding to a coastal storm. Further, both agency-specific and multi-agency planning efforts that have recently been completed will continue to build upon the foundation of an integrated county, State, and Federal response. This Annex outlines New York State's strategy in preparing for, responding to, and recovering from a coastal storm in a collective, multi-agency State approach.

B. 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 functional and hazard-specific annexes will build upon.

The purpose of this Annex is to ensure that the strategic and broad-based nature of the State CEMP is more defined to allow the State to adequately prepare for, respond to and recover from a coastal storm. This will include utilizing individual agency activities as well as the activities of the State's Emergency Support Functions (ESFs), as appropriate. Further, this Annex identifies the key mechanisms in coordinating with the local response and identifies the lines of coordination to interoperate with the Federal response via the National Response Framework (NRF).

C. Scope

This Annex applies to any warm weather or cold weather coastal storm that warrants a response beyond standard agency statutory obligations to a collective State Disaster Preparedness Commission (DPC) response. This document applies to all State agencies and authorities that may be directed to respond to such an event and builds upon the process and structure of the State CEMP by addressing unique policies, situations, operating concepts, and responsibilities. Response operations to this type of event will encompass the efforts identified in this annex and utilize existing capabilities of other functional and hazard-specific annexes to the State Comprehensive Emergency Management Plan. Further, this Annex acknowledges that local and State response capabilities may be exceeded, necessitating the use of Federal agencies and resources.

It is important to note that several other State plans, either agency-specific or multi-agency, may be utilized to support the implementation of this Annex. For the purpose of redundancy, such plans are not reiterated here, but referenced. For example, the activation of this Annex may warrant the need for the State to request and receive the Strategic National Stockpile (SNS).

Figure 1, on the following page, identifies the structural relationship between the State CEMP, its annexes, and this Coastal Storm Annex. In reviewing, note the linkage to other documents that fall under Volume 2. Additionally, several other documents exist in State Office of Emergency Management (State OEM) to manage the activities of the State Emergency Operations Center (State EOC) in response to the event.

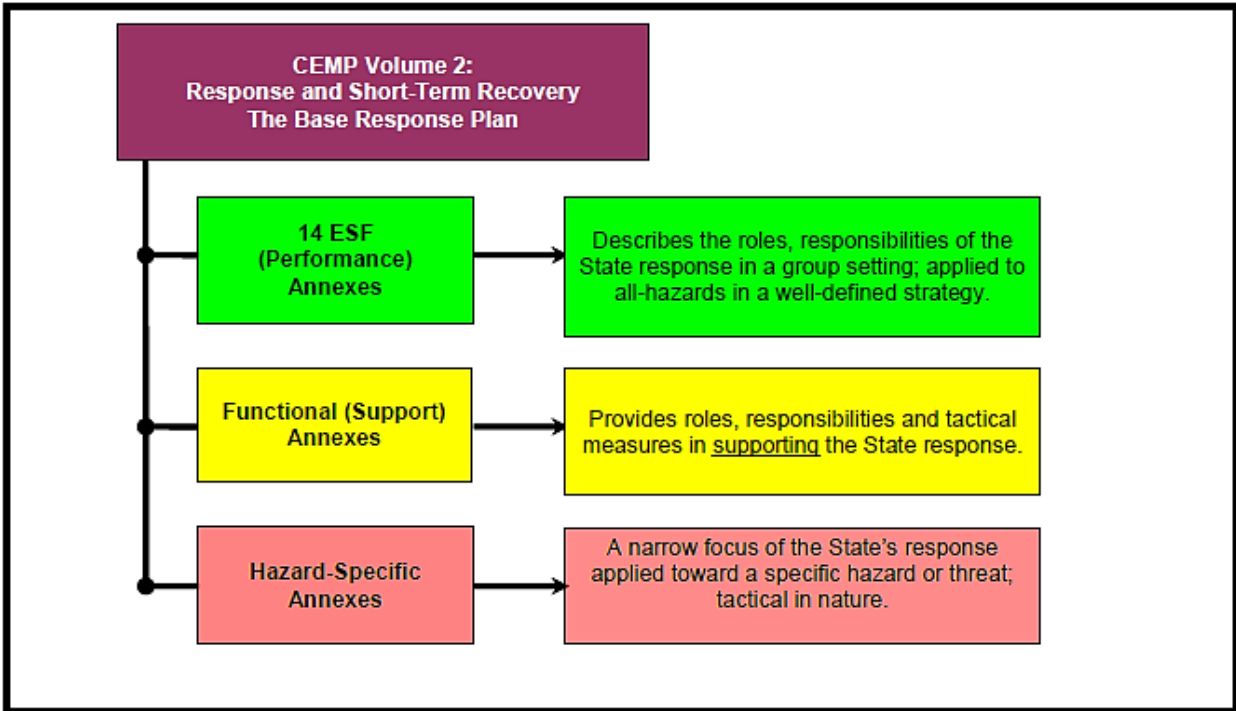


Figure 1: Structural Relationship of the State Comprehensive Emergency Management Plan and the NYS Coastal Storm Annex.

D. Situation

New York State resides within a region of the North Atlantic Ocean which is referred to as the Atlantic tropical cyclone basin, one of six basins in the world. The official Atlantic hurricane season begins on June 1 and extends through November 30 each year. This is the timeframe when most tropical cyclones occur, however, occasional tropical cyclones can occur outside of this period. The period of peak intensity for tropical development usually runs from Mid-August through Mid-September. This period is referred to as the Cape Verde season, which includes tropical system development of systems near Cape Verde Islands off the coast of Africa. These storms typically travel across the entire Atlantic Ocean towards the east coast of the United States. Hurricanes present themselves in different strengths or categories. The Saffir-Simpson Scale on the following page outlines the categories utilized by the National Hurricane Center (NHC).

During a pandemic, response efforts may have to evolve to maintain safe social distancing practices. These efforts could include, but are not limited to, sheltering, medical care, mortuary affairs, evacuation efforts, and other systems that may already be taxed or require adjustment to minimize congregate settings. This was seen during the COVID-19 response and concurrent tropical systems that affected the State. The State had to consider how to appropriately evacuate individuals and where they could be housed, while minimizing potential viral spread.

Category	Winds	Pressure	Damage
1	74 – 95 mph (64-82 knots) 119-153 km/h	to 980 millibars	No real damage to building structures. Damage primarily to unanchored mobile homes, shrubbery, and trees. Also, some coastal flooding and minor pier damage.
2	96 – 110 mph (83-95 knots) 154-177 km/h	965 – 979 millibars	Some roofing material, door, and window damage. Considerable damage to vegetation, mobile homes, etc. Flooding damages piers and small craft in unprotected moorings may break their moorings.
3 (Major)	111 – 129 mph (96-112 knots) 178-208 km/h	945 – 964 millibars	Some structural damage to small residences and utility buildings, with a minor amount of curtainwall failures. Mobile homes are destroyed. Flooding near the coast destroys smaller structures with larger structures damaged by floating debris.
4 (Major)	130 – 156 mph (113-136 knots) 209-251 km/h	920 – 944 millibars	More extensive curtainwall failures with some complete roof structure failure on small residences. Major erosion of beach areas. Terrain may be flooded well inland.
5 (Major)	157+ mph (135+ knots) 252 km/h or higher	<920 millibars	Complete roof failure on many residences and industrial buildings. Some complete building failures with small utility buildings blown over or away. Flooding causes major damage to lower floors of all structures near the shoreline. Massive evacuation of residential areas may be required.

Table 1: Saffir-Simpson Scale

Although the frequency of occurrences for hurricanes affecting New York State is less when compared to other States, hurricanes have directly impacted New York State. The National Hurricane Center has identified the hurricane activity from 1851 through 2004 in the United States, with specific information on both the severity/frequency of events as well as hurricanes that were considered a “direct hit.” This data is identified in Table 2 and Table 3, respectively. In general, the average is one hurricane every 9.6 years. Since 1886, 11 hurricanes have directly affected New York. Historical storm tracks are represented in Figure 2 on page I-6.

Area	Category Number					All (1-5)	Major (3-5)
	1	2	3	4	5		
U.S. (Texas to Maine)	119	79	75	20	4	297	99
Texas	27	18	12	8	0	65	20
Louisiana	23	17	16	3	1	60	20
Mississippi	5	6	8	0	1	20	9
Alabama	17	5	5	0	0	27	5
Florida	44	35	29	7	3	118	39
Georgia	16	6	2	1	0	25	
South Carolina	18	7	4	2	0	31	6
North Carolina	28	16	11	1	0	56	12

Area	Category Number					All (1-5)	Major (3-5)
	1	2	3	4	5		
Virginia	7	2	1	0	0	10	1
Maryland	1	1	0	0	0	2	0
Delaware	2	0	0	0	0	2	0
New Jersey	2	0	0	0	0	2	0
Pennsylvania	1	0	0	0	0	1	0
New York	7	1	5	0	0	13	5
Connecticut	5	3	3	0	0	11	3
Rhode Island	3	2	4	0	0	9	4
Massachusetts	6	2	3	0	0	11	3
New Hampshire	1	1	0	0	0	2	0
Maine	5	1	0	0	0	6	0

Table 2: Frequency/severity of coastal storms from 1851-2019: Courtesy – National Hurricane Center

Major Hurricane Direct Hits on the Mainland U.S. Coastline 1851-2019							
Area	Jun	Jul	Aug	Sep	Oct	All	
U.S. (Texas to Maine)	2	5	32	46	18	103	
Texas	1	1	11	7	0	20	
Louisiana	2	0	8	9	3	22	
Mississippi	0	1	5	4	0	10	
Alabama	0	0	1	4	0	5	
Florida	0	3	6	20	12	41	
Georgia	0	0	1	1	1	3	
South Carolina	0	0	2	2	2	6	
North Carolina	0	0	4	8	1	13	
Virginia	0	0	0	1	0	1	
Maryland	0	0	0	0	0	0	
Delaware	0	0	0	0	0	0	
New Jersey	0	0	0	0	0	0	
Pennsylvania	0	0	0	0	0	0	
New York	0	0	1	4	0	5	
Connecticut	0	0	1	2	0	3	
Rhode Island	0	0	1	3	0	4	
Massachusetts	0	0	0	3	0	3	
New Hampshire	0	0	0	0	0	0	
Maine	0	0	0	0	0	0	

Table 3: Major hurricane direct hits on the mainland U.S. coastline 1851-2019: Courtesy – National Hurricane Center

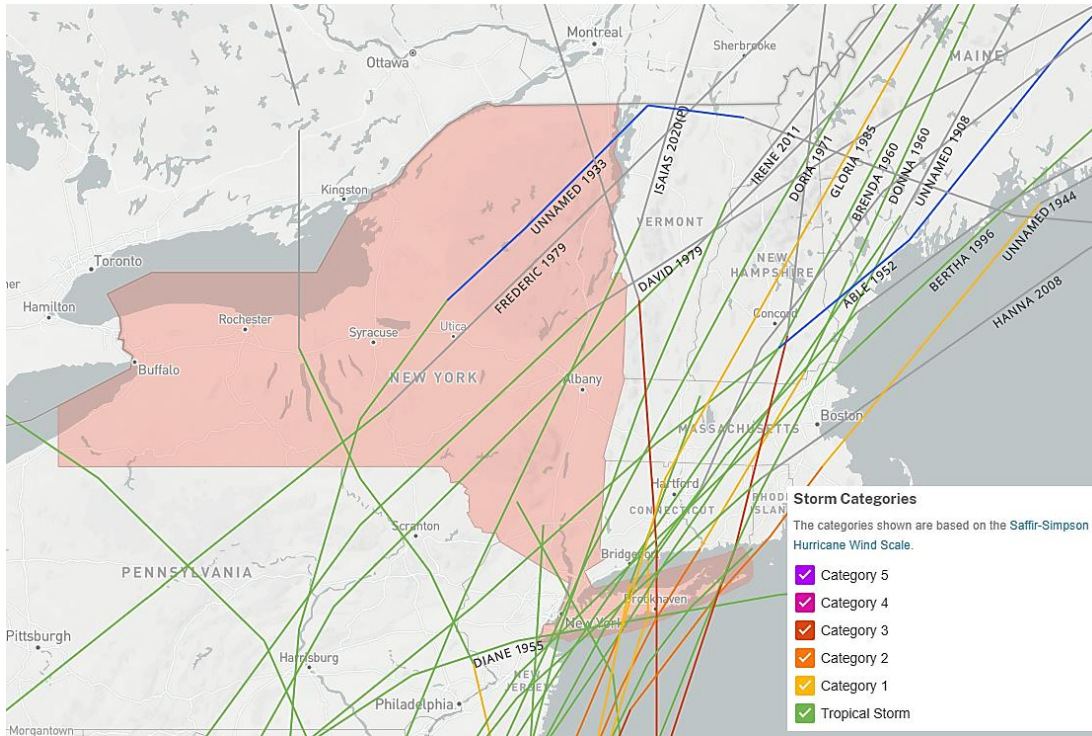


Figure 2: Hurricanes experienced in New York State from 1851-2020. Courtesy – NOAA
 (coast.noaa.gov/hurricanes/)

1. The Risk Assessment Process

The areas of New York State that are most susceptible to hurricanes consist of approximately 135 miles of Atlantic Coastline and 575 miles of Sound, bay and riverine shorelines predominately located in New York City, Westchester, Nassau, and Suffolk Counties. Yet, while the New York Metropolitan/Long Island Region is of prime concern, the remainder of the State may be impacted as well. These impacts are supported by several modeling techniques typically employed in coastal storm preparedness efforts.

A comprehensive and continual study has been undertaken by New York local, State, and Federal governments to identify the risk areas associated with hurricanes. In 2014, New York State completed a Hurricane Evacuation Study which consisted of hazard and vulnerability analyses for hurricanes. The Sea Lake Overland Surge from Hurricanes (SLOSH) application is the primary tool that is utilized by New York State to determine the anticipated extent of flooding from storm surge using a worst-case scenario for storm categories 1-4. A regional map depicting this surge inundation has been prepared including the areas of Suffolk, Nassau, New York City, and Westchester Counties and can be found in Attachment 6. Additionally, various products and tools provided by the National Hurricane Center are also used to identify those areas in the State which may be subject to high winds, based upon inland wind-decay models. It should be noted that while an extensive amount of risk assessment activities have already been undertaken, much more work is needed to ensure that the maximum risk is identified to allow the State and local governments to adequately mitigate and prepare for a coastal storm.

a. Storm Surge

Storm Surge is the abnormal rise in sea level accompanying a hurricane or other intense storm, such as a nor'easter. New York State is especially susceptible to extremely high surge values and these values are maximized in the New York City Metropolitan area where the coastline from New Jersey to New York forms a right angle. The shape and orientation of Long Island Sound makes it a natural funnel for northeast winds to blow into and pile up water in the western Sound during major storm events. Such set ups then propagate into New York Harbor through the East River. Northeast winds over the coastal Atlantic Ocean also raise sea level against the south coast of Long Island due to the Ekman effect, further driving storm waters into New York Harbor. Hurricane Evacuation Studies conducted jointly by State OEM, coastal counties, the Federal Emergency Management Agency (FEMA), and the U.S. Army Corps of Engineers (USACE) have identified this risk and communities that would be vulnerable to storm surge utilizing the SLOSH Model. In 1995, a Metro New York Transportation Analysis was conducted and identified that a category three hurricane on a worst-case track could create a surge of up to 25 feet at JFK Airport, 21 feet at the Lincoln Tunnel entrance, 24 feet at the Battery, and 16 feet at LaGuardia Airport. These figures do not take into account the wave action on top of the storm surge.

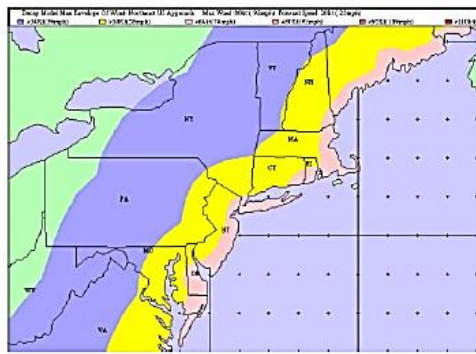
b. High Winds and HURREVAC Wind Decay Modeling

HURREVAC is a web-based program and decision-making tool for hurricane preparedness utilized by Federal, State, and local officials. The HURREVAC application provides some generalized wind decay information as a coastal storm moves from the coastal areas inland. Figure 3 on the following page shows the traditional wind decay models for Category 1 and Category 3 Hurricanes and are based upon the Maximum Envelope of Winds or the MEOW model. The MEOW model identifies the decay of the hurricane wind field at landfall to estimate the maximum sustained surface wind as a storm moves inland. This model can be used for operational forecasting of the maximum wind of land falling tropical cyclones. It can also be used to estimate the maximum inland penetration of winds for a given initial storm intensity and forward storm motion.

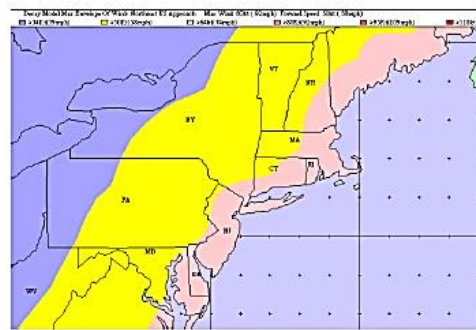
The graphic provides valuable information into some of the anticipated coastal and inland wind impacts that can potentially be expected based upon a variety of storm scenarios with varying winds and forward speeds. As illustrated by the graphics, the faster the forward movement of the tropical system, the farther inland the winds will penetrate. Hurricane-force winds can easily destroy poorly constructed buildings and mobile homes. Wind speeds usually decrease significantly within 12 hours after landfall. Nonetheless, winds can stay above hurricane strength well inland. Debris such as signs, roofing material, and small items left outside become flying projectiles in hurricanes. Extensive damage to trees, towers, water, and underground utility lines (from uprooted trees), and fallen poles cause considerable disruption. High-rise buildings are also susceptible to hurricane-force winds,

particularly at the higher levels since wind speed tends to increase with height. With increasing intensity of the hurricane, it will be expected that high winds will be felt well inland. As an example, a 75 mph fast moving system will likely produce winds in excess of 58 mph throughout the southeastern portion of New York State and the Lower Hudson Valley. For the same storm with an intensity of 95 mph, it can be expected that the wind field of 58 mph winds will be expanded throughout the Southern Tier region and throughout the Catskills and Adirondacks, while the lower Hudson Valley, New York City, and Long Island will experience winds in excess of 74 mph. A category 2 hurricane with 109 mph winds will generally yield at least 58 mph winds throughout the State with winds of 74 mph extending throughout the Hudson Valley and 92 mph winds can be expected in New York City and Long Island.

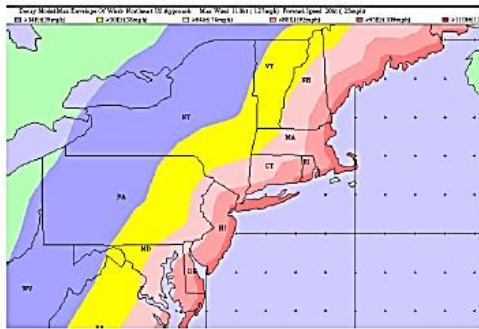
c. Excessive Rainfall/Flooding



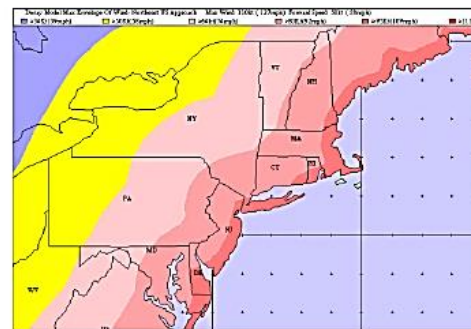
Cat 1 Storm - Slow Moving



Cat 1 Storm - Fast Moving



Cat 3 Storm - Slow Moving



Cat 3 Storm - Fast Moving

■ >34kt(39mph)
 ■ >50kt(58mph)
 ■ >64kt(74mph)
 ■ >80kt(92mph)
 ■ >95kt(109mph)

Figure 3: HURREVAC wind decay modeling: Source – State OEM

Flooding is one of the most serious and often overlooked hazards that accompany hurricanes. Over the past 30 years, inland flooding has been responsible for nearly 50% of the deaths associated with hurricanes. Excessive rainfall and flooding from tropical systems in New York is a relatively common occurrence. Historically, notable tropical cyclone-

related flooding incidents in the State include Hurricanes Connie and Diane in 1955, Hurricane Agnes in 1972, Tropical Storm Floyd in 1999, Tropical Depression Ivan in 2004, and lastly, Hurricane Irene and Tropical Storm Lee in 2011. For future events, it is highly likely that a strong coastal storm will cause significant flooding from storm surge and rainfall to coastal areas but will also significantly impact the remainder of the State. The excessive rainfall amounts anticipated with a coastal storm will likely be felt Statewide, causing riverine flooding in many of the State's waterways. New York State is no stranger to flooding and is among the Nation's leaders in experiencing Federally declared flood disasters. These disasters include one of the most recent flooding events in June of 2006, which devastated the Southern Tier and portions of central New York, resulting in damages in excess of 300 million dollars.

d. Tornadoes

Tornadoes are most likely to occur in the right-front quadrant of the hurricane, which is typically where the strongest winds are generally located. However, they are also often found elsewhere embedded in the rain bands, well away from the center of the hurricane. Studies have shown that more than half of the land-falling hurricanes produce at least one tornado. The tornadoes associated with hurricanes are typically less intense than those that occur in the Great Plains, however, the effects of tornadoes, added to the larger area of hurricane-force winds, can produce substantial damage.

e. Secondary Hazards

Like many other hazards, hurricanes are typically accompanied by a series of secondary hazards or cascade effects that become evident in the wake of the storm. In addition to the hazards listed above, other hazards that may be associated with hurricanes include electric power outages, water supply contamination, flooding of sewage treatment facilities, hazardous materials spills/releases, landslides, and even the potential failures of dam structures.

f. HAZUS-MH Data

Figure 4 (on the next page) illustrates hurricane tracks that were developed for State modeling purposes using the FEMA's HAZUS-MH (Multi-Hazard).

HAZUS-MH is an electronic risk assessment tool that provides planners with valuable information for assessing the potential effects and outcomes of a coastal storm. By nature, model runs for storm tracks with varying landfall locations and approach direction will have different levels consequences, such as the amounts of debris generated, sheltering and housing needs and total cost of the disaster. In using HAZUS-MH, the State used several

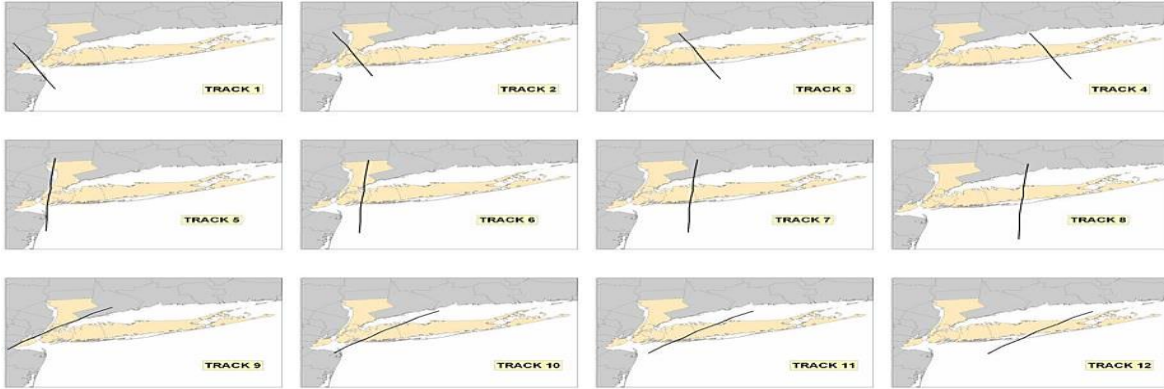


Figure 4: HAZUS Model Scenario Tracks: Source – State OEM

scenarios and storm tracks for its modeling purposes: Northwest, North, and Northeast tracks.

After running several storm scenarios, it was determined that as the storm tracks were shifted towards the west (closer to New York City), and increased in intensity, the total cost from wind damages significantly increased. The following graphic, figure 5, represents the Total Economic Losses generated from the hurricane scenarios modeled. Based upon the model runs, total economic losses ranged from 78.45 million dollars for a Category 1 storm impacting primarily the east end of Long Island to 350.228 billion dollars for a Category 3 Hurricane impacting the greater metropolitan area of New York City.

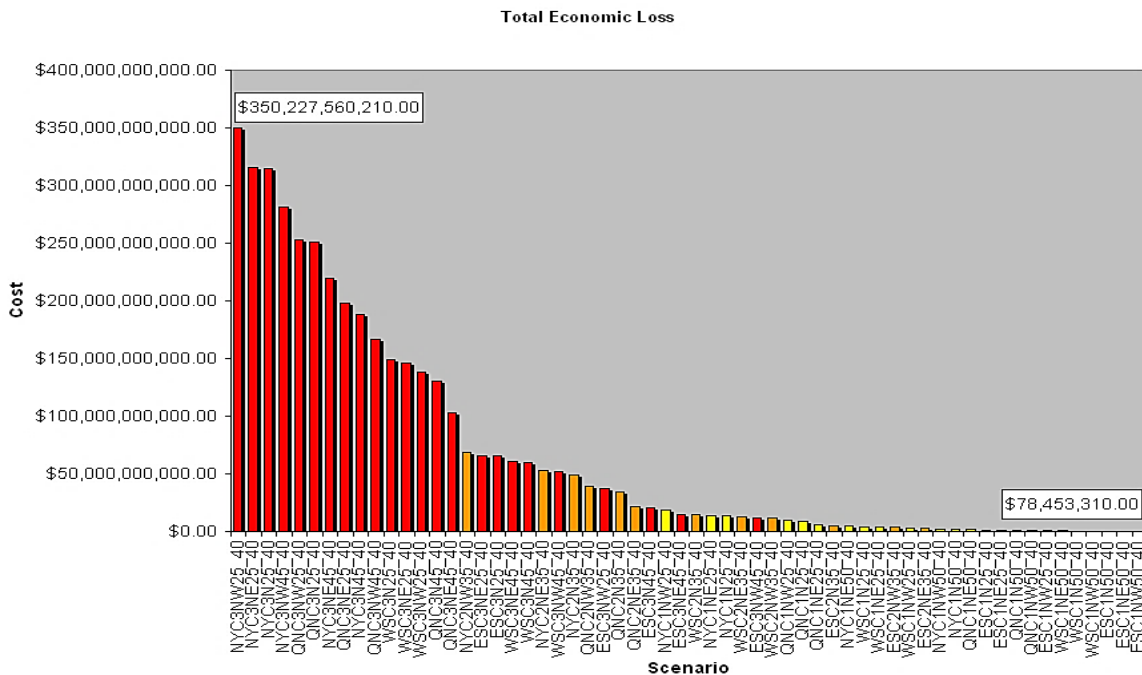


Figure 5: Projected Total Economic Losses for Hurricane Scenario: Source - NYSEOM

E. Planning Assumptions

1. The State of New York and its neighboring jurisdictions will likely experience a significant coastal storm that could potentially have devastating and catastrophic effects on the State, impacting residents and commerce on an international level.
2. Based on the effects of the aftermath of Hurricane Sandy in 2012, areas prone to storm surge are more susceptible to damage.
3. Extensive coastal building and expansion has increased the potential for monetary, commercial, and personal losses as a result of coastal storms. HAZUS modeling has indicated that there is the potential for damages exceeding \$350 billion should a powerful storm directly impact the New York City Metropolitan area. Most storm scenarios produced monetary damages exceeding \$75 million, not inclusive of infrastructure.
4. Population growth and densities have occurred in many coastal communities without adequate expansions of the transportation infrastructure. Coupled together, this could be potentially disastrous in regard to the damage incurred and for coastal residents seeking refuge away from storm surge areas.
5. The magnitude and scope of a coastal storm may require the opening of numerous emergency facilities (i.e., Disaster Assistance Centers/Service Centers) over a large geographic area, which will require participation from numerous State and local agencies and non-governmental organizations.
6. The environmental impacts are likely to be extensive, possibly taking years for the environment to fully recover.
7. Response capability and capacities will likely be exceeded in most jurisdictions and at all levels of government.
8. All 16 critical infrastructure/key resource sectors may potentially suffer severe damage.
9. The public transit system in the New York Metropolitan area will go through a phased shut down prior to storm arrival. This may result in a large number of daily commuters that are in need of transportation out of the identified risk areas to their home of record.
10. Debris management will likely be a major issue requiring regulatory waivers, expediency in permitting, specialized hauling, disposal issues, and will require extraordinary coordination amongst stakeholders in clearing roadways for resource and material support.
11. Evacuations in coastal communities will predominantly be conducted for residents evacuating storm surge areas to seek protection on higher ground within the county. This does not indicate a full evacuation of a county to neighboring counties or States.
12. The evacuation of health-care facilities such as hospitals, nursing homes and assisted living facilities will require significant interagency and intergovernmental coordination,

logistical support, and early warning. It is unlikely that all such facilities will be able to be fully evacuated prior to landfall. In some cases, the risk of evacuating patients may be too great versus trying to shelter them in place. In such instances, government needs to remain aware of the status of the facilities and its occupants and be in position to act quickly in support of the facility immediately following the storm. These actions may include supporting those who remained in place while services to the facility are restored or, if the occupants can be safely relocated, supporting their movement to an alternate location.

13. Post-landfall, the transportation infrastructure, including roads, bridges, and tunnels, may be unusable pending inspection or out of service for a period of time. This may impact the ability for the State to deploy supplies, equipment, and personnel to response agencies as well as emergency relief supplies to coastal community inhabitants.
14. If enough warning of an approaching coastal storm is provided, the State will have a narrow window of opportunity to pre-deploy State resources, relief supplies and materials to the at-risk areas prior to the storm making landfall. If this is not possible or feasible, then those resources will need to be withheld until the storm's passing.
15. Response actions need to be swift and decisive, necessitating the use of a variety of State and Federal statutes and authorities to effectively respond to and recover from a strong coastal storm.
16. Law enforcement support and security will be a significant concern. As witnessed in Hurricane Irene, law enforcement resources will likely be requested to augment local capabilities in support of evacuation, securing evacuated areas, shelter security, and to support the repatriation process.
17. Multiple States may be impacted by one large coastal storm making landfall on the East Coast. As a result, resource availability through Emergency Management Assistance Compact (EMAC) partners or the Federal government may be delayed, in limited supply, or simply unavailable.
18. The Governor may request a Federal pre-landfall disaster declaration from the President.
19. Through activation of the NRF, the Federal government may implement a proactive staging of Federal assets before landfall. The State and local jurisdictions need to be in a position to accept and effectively utilize those resources as they become available.
20. State agencies supporting this Annex may determine that their regional offices are located in areas that may be potentially affected by the approaching storm or that the continued operation of their agency's mission from that location may place their personnel in harm's way. Therefore, agencies may need to operate from an alternate facility as identified in their agency-specific Continuity of Operations Plan (COOP).
21. In the event of a pandemic occurring concurrently with hurricane season, congregate sheltering may not be an appropriate option or may require changes in the delivery to

ensure a safe level of social distancing. Also, evacuations may take longer than normal due social distancing protocols. Response efforts may need to be activated earlier, for example, evacuations that are currently planned for a -72-hour (to landfall) initiation may need to be initiated sooner, such as -96-hours. This will require not only a sooner initiation of response efforts but also more resources to minimize the impacts of the pandemic while also ensuring safe evacuations.

F. Concept of Operations

1. Initial notification of a Hurricane or Tropical Storm will be identified through continuous monitoring of meteorological conditions potentially impacting the State. Monitoring activities are performed by the National Weather Service and Local Weather Field Offices, State OEM, New York State Department of Environmental Conservation, and local Emergency Management Offices.
2. Upon initial notification of an active Atlantic Tropical Cyclone, the State OEM Planning and Operations Sections will initiate monitoring activities of the system, paying specific attention to location and proximity to New York State, system intensity, projected paths, and expected intensification. Similar monitoring activities and meteorological support functions will be performed by the New York State Department of Environmental Conservation.
3. As the threat to New York State increases, State OEM will conduct additional outreach to the National Weather Service Area Offices and State OEM regional offices. Additional conference calls will include preliminary (Tier 1) discussions with members of the Regional Emergency Liaison Team (RELT). A full description and assignment of conference calls can be found in Attachment 2.
4. State OEM will facilitate additional outreach and coordination to State agencies to advise agencies and State ESF coordinators of the situation. Discussions will include agency-specific preparations for individual agency preparedness, as well as multi-agency preparedness efforts in preparing for an activation of the State EOC.
5. If conditions warrant the activation of the State EOC, State OEM will notify other appropriate DPC agencies representative and will include the activation of all of the State's ESFs. In addition, State OEM will notify the county emergency manager(s), and others as deemed necessary. It is at this point that agencies may begin staffing or activating their agency operations centers (AOCs), as appropriate.
6. State OEM will coordinate response activities in support of a State-established Multi-Agency Coordination (MAC) Group, being cognizant of response operations at the local level. In doing so, the State may deploy personnel to establish a field coordination element to leverage, prioritize and direct incoming State and Federal resources in support of local government. Such response operations will be coordinated through State OEM staff assigned to local/regional Emergency Operation Centers (EOCs).

7. The Governor could exercise his authority in declaring a State Disaster Emergency. Upon the declaration of a State Disaster Emergency, the Governor may direct any and all State agencies, including non-DPC agencies, to provide assistance under the coordination of the DPC.
8. State assistance will be supplemental to local efforts. Support may include, but not be limited to providing security, evacuation support, public health, and emergency medical support, providing human needs support, public information, emergency services support, environmental remediation, and search and rescue.
9. State OEM will coordinate with the Department of Homeland Security (DHS) and FEMA and other Federal agencies as needed and will coordinate with multiple Federal ESFs.

G. Legal Authorities

This authority to develop this Annex and implement specific response actions to effectively respond to a coastal storm can be found in a variety of New York State Laws, regulations, and Federal authorities, including:

1. State Authorities

- New York State Constitution
- New York State Executive Law, Article 2-B (4/1/79), as amended
- Executive Order # 26.1 of 2006, as amended (NYS Adoption of the Incident Command System)

2. Federal Authorities

- National Oil and Hazardous Substance Pollution Contingency Plan
- Flood Control Act of 1960 (US Army Corps of Engineers): Laws authorizing the allocation of resources for planning activities related to Hurricane Preparedness.
- Federal Robert T. Stafford Disaster Assistance and Relief Act.
- Homeland Security Presidential Directive (HSPD) 5: Enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system.
- Homeland Security Presidential Directive 7: Requires Federal departments and agencies to develop methods and technologies to protect all critical infrastructures and key resources of the government and economic sector. A secondary goal is to foster the development of methods and technologies that can minimize the impact if an adverse event actually occurs. Federal departments and agencies have been instructed to work with State and local governments, and with the private sector, to accomplish the objectives laid out in this directive.

- Presidential Policy Directive 8 (3/2011): Established the National Preparedness System, focusing on resilience, preparedness, mitigation, and security.
- National Windstorm Impact Reduction Act of 2004: Laws pertaining to windstorms to consist of three primary mitigation components: improved understanding of windstorms, windstorm impact assessment, and windstorm impact reduction. The components shall be implemented through activities such as data collection and analysis, risk assessment, outreach, technology transfer, and research and development.

H. Annex Maintenance, Distribution, and Revision Process

The NYS OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

New York State Comprehensive Emergency Management Plan

Coastal Storm Annex

Section II: Risk Reduction

A. Preparedness

A variety of risk reduction measures have taken place at all levels of government, many of which have been implemented by local government or through consolidated efforts of local, State and Federal-level partnerships. These efforts range from structural improvements, hazard mitigation planning efforts, training and exercising, response planning efforts, and a host of studies and initiatives to support coastal emergency preparedness. In addition, several new planning efforts are on the horizon which should have a profound positive impact in increasing the level of preparedness in many communities of the State.

1. Coastal Program Studies, Analyses, and Initiatives

Beginning 1993, New York State completed an initial Hurricane Evacuation Study (HES) of the Greater New York Metropolitan area (Westchester County, New York City, Nassau, and Suffolk counties). The studies are performed in conjunction with the State's Federal counterparts at the U.S. Army Corps of Engineers, DHS/FEMA and was designed to assist the State and local jurisdictions with planning for and responding to a hurricane.

The HES consists of several analyses including a Hazards Analysis, Vulnerability Analysis, Behavioral Analysis, Transportation and Shelter Analyses. These products are used to identify the areas at risk, vulnerable population and structures within these areas, the expected behavioral patterns of residents within the study area, demands that will be placed on the transportation infrastructure, the time required to evacuate, and the expected shelter demand. The HES was expanded upon in 1995 with the production of the Metro New York Transportation Study, which took an in depth look at the transportation support facilities (rail, bridges, etc.) and their vulnerability to winds and surge from hurricanes of varying intensities.

In 2000, 2005, and 2008, the HES continued to update and incorporate new advances in mapping and technology, behavioral, demographic and population changes, the update of planning assumptions and recalculation of clearance times. The HES was recently completed in 2017 for New York City and Nassau, Suffolk, and Westchester Counties.

In 2005, New York State had initiated a process utilizing the HAZUS-MH application for wind to model several sample hurricanes. This report is an interim product of the findings that have been compiled from this process to date and have been used to better understand and plan for

the impacts associated with these scenarios. Compiled together, all of this study information serves, in part, as a technical basis for State and local planning efforts.

In 2014, a limited number of coastal counties have developed pre-scripted resource and/or mission requests. These requests will be provided to the State as a coastal storm unfolds. Some of the requests will require the State's attention and will need to be satisfied by State and/or Federal resources. Upon completion, the use of pre-scripted requests will serve as another means of the State and local governments being able to prepare and posture themselves for a coastal storm. These requests will be catalogued in this Annex when finalized by the counties and provided to the State as final products.

2. Local Coastal Planning Efforts

Many coastal communities are undergoing a variety of planning efforts in preparation for a major coastal storm. These planning activities have culminated over several years and include county-level emergency management plans to prepare for, respond to, and recover from a coastal storm. Mechanisms of these plans include crucial elements such as mass care and housing, evacuation methodologies, security, public warning, and emergency information, and direction and control. Further, the jurisdictional plans that have been developed in New York City and Nassau, Suffolk, and Westchester Counties have been done in unison, each recognizing the human and economic concerns, transportation issues, geopolitical concerns, and regional impacts that serve as common denominators to that region of the State. Efforts included developing and implementing a synchronization matrix, which ties the evacuation decisions and timelines across all the coastal jurisdictions to ensure coordination in evacuating at-risk communities. Additional efforts include conducting a Gap Analysis, flood initiatives, and several public outreach events designed to educate and inform the public about coastal storm preparedness. Also, as referenced earlier, some jurisdictions have developed pre-scripted mission requests in an effort to expedite the request process. Attachment 6 includes maps and supportive data that outline some of the activities listed above. In reviewing, note that the differences in storm surge inundation associated with each category of a hurricane, the evacuation zones, shelter data, and the points of distribution (PODs) that coastal counties have identified to distribute relief supplies.

Coastal counties have an immense challenge in adequately preparing for a coastal storm. Yet, while the preparedness efforts of each coastal community are noteworthy, there is little in the way of hurricane/coastal storm preparedness efforts outside of the counties that are mentioned above.

3. Local Hazard Mitigation Planning Efforts

Similarly, mitigation planning efforts are under way or complete for many jurisdictions in the State, including the New York Metropolitan region. Pursuant to the Disaster Mitigation Act of 2000 (DMA 2000), local multi-hazard mitigation plans are required to focus on natural hazards

that are likely to cause a substantial impact on that jurisdiction. These efforts include identifying risks and vulnerabilities, inventorying assets, estimating losses, and ways to prevent or mitigate the impact of those hazards. Coastal storms are recognized as one of those hazards. These efforts are ongoing and include short-term and long-term programs and capital improvement projects that will help make communities disaster resistant or resilient. Additionally, the data collected in the assessment process keys planners into identifying contingencies in response to those risks. Further, the pre-event data collection provides an easy access point for county, State and Federal officials to use in conducting preliminary damage assessments and justifying a Federal disaster declaration.

4. State Hazard Mitigation Planning Efforts

Volume 1 of the State CEMP is the *State Multi-Hazard Mitigation Plan*. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the State. This focus includes addressing coastal storms that may impact the State. The mitigation plan outlines the State's overall strategic hazard and risk policies for natural hazards mitigation and provides a support basis for local governments to use in their individual and collective mitigation planning efforts. The development of the mitigation plan incorporated input from many State agencies, with the most recent iteration approved by FEMA in 2018.

5. State Response and Recovery Planning Efforts

While the value of the mitigation planning effort is recognized, planning requirements mandate that mitigation plans profile natural hazards only. To address this, the State has also developed numerous hazard-specific annexes that take an in-depth look at some of the State's highest rated hazards.

Volume 3 of the State CEMP is the Long-Term State Recovery Plan. This volume includes the mechanisms for utilizing long-term recovery components, including mitigation, provided for under the Federal Robert T. Stafford Disaster Relief and Emergency Assistance Act and a variety of Federal-State programs. The activation of the recovery plan will necessitate the activation of State Recovery Support Functions (RSFs) to mirror the Federal response. RSFs are intended to facilitate the coordination and delivery of Federal assistance to supplement the recovery efforts of local and State governments and are designed to operate within a timeframe of months to years. Volume 3 also recognizes the primacy of local governments in the implementation of long-term recovery plans and, depending on the nature and impact of the disaster, new programs might be necessary to effectuate full recovery.

6. Continuity of Operations Planning

Individually, many New York State agencies have been actively involved in their own agency-specific planning and COOP development. Many State agencies have completed their COOP efforts, while others are in varying points of the planning process. The development and implementation of these types of planning efforts further support the State's ability to provide essential services in response to a coastal storm. In 2019, the State received its accreditation under EMAP; included in the accreditation is a COOP requirement for the DPC agencies. All DPC agencies have completed their COOPs as of 2019.

7. Training and Exercising

The State of New York sponsors and conducts a variety of training to improve response capability. This includes varying levels of training in the Incident Command System and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements. Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

State, county, and local planning representatives have attended a variety of training in support of their coastal preparedness efforts. This includes attending training at the National Hurricane Center, as well as several deliveries in the State of the HURREVAC program. Both of these highly acclaimed training forums provide planners with the tools used in modeling scenarios, which in turn support local plan development and decision making during an actual event.

The State has had real-world experience in responding to coastal storms. In addition to the typical nor'easters that occur nearly every year, the State has supported response and recovery efforts across the nation in support of other states' response to coastal systems. These have included activating the Human Services Branch (now ESF #6) and deploying numerous State personnel to the affected area in response to requests fielded by State OEM from the EMAC.

In addition to real-world responses, the State also conducts a variety of exercises to assess and improve upon its response capabilities. In most cases, the State utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises provide viable input into plan development and help to ensure that the plan is effective in its scope and application. Since 1999, the State has conducted eight major coastal storm exercises, one which was held as recent as July of 2014. There was also a Coastal Storm Workshop with all State agencies that took place in 2019.

The improvements that are recognized through real-world events or through a formal exercise process have led to the development of this Annex. As part of a comprehensive planning, training, and exercise program, State OEM will endeavor to conduct training sessions, seminars, and briefings on this Annex with the appropriate stakeholders. The formal training and outreach process will be concurrent with each plan revision cycle.

8. Federal Policy on Hurricane Response

Federal policy provides for pre-landfall **emergency** declarations with Federal assistance limited to Category B (Emergency Protective Measures) of the FEMA Public Assistance Program. This includes Direct Federal Assistance, which provides for the mission assignment of Federal resources to lessen the burden on State responders.

Under federal policy, certain criteria must be met in order for a pre-landfall emergency declaration to be considered. Such criteria include the following:

- The State's emergency plan has been initiated.
- A projection by the National Weather Service that the State, or portion of it, will be threatened by a major hurricane.
- Other criteria to be met include **either**:
 - The State, or jurisdiction(s) thereof, has issued **mandatory** evacuation orders for three or more counties / parishes, or any geographical area with a combined population of more than 100,000 residents; **or**
 - The declaration is necessary to provide operational Federal support (e.g., teams, equipment, supplies) to meet critical pre-positioning and readiness requirements which would overwhelm the capability or capacity of State resources.
 - At the time of the request, the State must be under a hurricane watch or warning.
 - The request must be made while the storm is at a category 3, 4, or 5.
- Under the interim policy, the standard policy for requesting a declaration remains the same, whereby the governor must declare a State of emergency and make request of the President that a Federal Emergency Declaration be issued. The President will consider the request and act in accordance of the law.
- Only the President can decide to make Emergency and Major Disaster declarations. By making a pre-landfall emergency disaster declaration, the President is in no way obligated to either approve or disapprove any declaration request.
- The Federal share for assistance for a pre-landfall emergency declaration won't be less than 75 percent of the eligible costs, and funding will be recommended at a 75 percent Federal/25 percent non-Federal cost-share.
- The pre-landfall declaration only covers one category of work, emergency protective measures.

New York State Comprehensive Emergency Management Plan

Coastal Storm Annex

Section III: Response

A. Overview

NYS Executive Law, Article 2-B identifies that local chief elected officials have the primary responsibility to respond to emergencies within their jurisdiction. This primacy exists at all levels of government in the State, with the State serving in support of local government. Requests for State assistance are generally submitted to the State via each county, with State assistance being supplemental to local response efforts. Further, the State also serves as the conduit for EMAC support and in requesting and receiving Federal resource support.

It is worth noting that this request process and structure is in place to ensure that there is a centralized coordination of resources and direction of requests for assistance. This coordination is not just important for the purposes of functionality but is also founded in State Executive Law and is an operational component for National Incident Management System (NIMS) compliance. In smaller, more localized events, these lines of coordination may appear easier to manage in satisfying local resource requests when State, EMAC, and Federal resources are in abundant supply. However, in a catastrophic event that impacts multiple counties and multiple States, some resources may be scarce, potentially resulting in jurisdictions having to compete for those very same resources. As such, the State response must put itself in a position to leverage what resources are available and have the ability to prioritize local resource requests as they are received.

State response activities may be agency-specific to meet statutory obligations or be performed under a multi-agency setting to meet common operating goals or objectives. The fourteen ESF annexes to the State CEMP identify multi-agency activities in coordinating a collective State response in support of a specific function or activity. Each ESF is comprised of various agencies that are assembled to coordinate the activities of their own agency in support of the ESF activities. Agency-specific support of ESF supplies an individual focus of that agency from the agency representative. Typically, the agency representative will not coordinate agency-specific activities outside the parameters or mission of the ESF. Thus, if an agency is needed to support multiple ESFs, and multiple ESFs are activated, each agency may send multiple representatives to support the various ESFs.

B. Alert, Notification and Activation

The State's alert, notification, and activation scheme is linked to local, county and Federal-level operating plans. This taxonomy allows for the State's posture to be aggressively forward-

leaning in anticipation of response activities and requests for assistance. Graphics to support the taxonomy can be found in Attachment 1.

During Steady-State operations, the State EOC maintains a readiness posture, while conducting normal day-to-day operations, and conducts surveillance and monitoring of any potential emergency. Monitoring of any tropical events is ongoing through numerous sources including the State Watch Center (SWC), the National Weather Service (NWS), the NHC, and other notable tropical storm tracking websites.

During routine monitoring, should the NHC issue a forecast that identifies the potential for a tropical storm or hurricane to directly impact New York State, the SWC will provide an initial notice to State agencies and counties of the potential of a coastal storm.

The following timeline is to be used as a guide. Past experiences and history have shown New York State that the track and timing of a coastal storm varies. As a result, all coastal storm timelines and predictions for landfall should not be treated equally. This timeline may be shortened, or sped up, in a pandemic environment to accommodate activities that warrant social distancing.

1. Level 4: This level should be initiated **at approximately 144 hours (6 days out)** prior to the forecast arrival of substantial tropical storm force winds. State OEM staff will begin to assess and analyze the anticipated storm path and timing using various systems and open-source information. The combined efforts will provide the Director of OEM with a synopsis for informed Executive decision making. Based on the synopsis and other participating factors, the Director may decide to activate the State EOC to a Level 3 at no later than 120 hours (within the next 24 hours).

Goal: Conduct joint assessment and decision-making, initial MAC Group call, begin measures to increase State posture, and notify agencies of staffing requirements for upcoming operational period(s).

At this level, the following actions may be taken:

- At the discretion of the State OEM Director, an initial MAC Group call may be convened to discuss the implications of the synopsis. Ideally, the MAC Group call should represent the entire DPC.
- 2. Level 3:** This level is initiated based on an assessment that there is an increased probability of a tropical storm or hurricane striking New York State. This level should be initiated **at approximately 120 - 96 hours (5 days out)** prior to the forecast arrival of tropical storm force winds.

Goal: To provide a continued assessment of storm information, make projections on potential consequences, assess local preparations, conduct initial briefings/analyses with agencies, and make preparations to increase the State response posture.

Level 3 will consist of ESF Coordinators only.

Initially, daytime staffing of the State EOC may be sufficient as the initial operational period(s) for this level of activation may coincide with normal working hours before proceeding to an extended and/or continuous operational period cycle as an event becomes imminent.

At this level, the following actions may be taken:

- If warranted, the State EOC will **begin to implement 8 or 12-hour staffing patterns** to support day operations.

- State OEM will activate ESF #5 to provide a continued technical analysis of the storm. Using varying modeling techniques and open-source data, the Situation Unit will assess storm track, interpret the forecasting data, and provide an ongoing assessment of State and local actions being planned or implemented.

- After reviewing the storm synopsis, the Director of State OEM will determine the need to increase or decrease the State's response posture. If it is determined to increase, the need for mobilization and pre-deployment of State resources/staff will be assessed.

- At this time, the level of preparedness for all DHSES-based assets will be assessed to ensure a state of readiness. This includes:
 - Logistical facilities, emergency stockpiles, supplies and equipment.
 - Emergency communications equipment, support equipment and vehicles.
 - Identifying staffing patterns, operational periods, shift rotations, and potential field deployments.
 - Initial notification to State Incident Management Team (IMT) personnel of potential deployment.

- State ESF Coordinators will be notified by the State Watch Center (SWC) for their required presence. The State ESF Coordinators* are as follows:
 - ESF #1 Department of Transportation
 - ESF #2 Office of Interoperable and Emergency Communications
 - ESF #3 Department of Environmental Conservation
 - ESF #4 Office of Fire Prevention and Control
 - ESF #6 DHSES Individual Assistance
 - ESF #8 Department of Health

- ESF #9 Office of Fire Prevention and Control
- ESF #10 Department of Environmental Conservation
- ESF #11 Department of Agriculture and Natural Resources
- ESF #12 Department of Public Service
- ESF #13 Division of State Police
- ESF #15 DHSES Public Information Office

*ESF #5 and #7 are coordinated by the State OEM

- State OEM and the ESF Coordinators will jointly identify which agencies of each ESF may be required to support the activation level for the current response level. If the ESF Coordinator determines that additional agencies are needed, those agencies will be notified to staff the State EOC via the SWC.
- At the discretion of the State OEM Director, a MAC Group call may be convened to provide an update of the implications of the weather forecast. As the response moves forward, the State OEM Director will conduct a MAC Group call each time there is a potential increase or decrease in State EOC activation level.
- State ESF Coordinators: ESF Coordinators will be asked to begin dialogue and address preparatory measures with the member agencies of their respective ESF. Agency and ESF discussion will include aggressive development of staffing plans and that each agency/ESF begin to:
 - Asset protection: assess the agency's level of vulnerability to the impending event and mitigate as appropriate.
 - Review the level of agency-specific preparedness to implement continuity measures.
 - Review the level of preparedness to support a collective, State response as identified in each ESF annex and this Coastal Storm Annex.
 - Establish priorities in preparing for the event - such as identifying available resources, future resources requirements and internal staffing patterns.
 - Address any sector-specific coordination or customer-based concerns or outreach, as appropriate.
 - Identify and raise any specific needs, issues or gaps that require support or coordination from State OEM.
- Other agencies may be brought into the discussion, as appropriate. At this point, the importance of individual and family preparedness should be reiterated to all staff and agencies.

3. Level 2: This level is initiated when the State receives notification from multiple weather sources that there is a high likelihood of a tropical storm or hurricane striking New York State.

This level should **be initiated no later than approximately 96-72 hours out (4 days out / at least 48 hours in advance of a Tropical Storm Watch)**, prior to the forecast arrival of sustained tropical storm force winds.

Goal: In addition to those identified in Level 3, assess local response posture and activities, continue briefings/analyses with ESFs, increase in preparations in implementing the State response posture, make preparations for initial requests for assistance, and make provisions to rapidly assess damages.

In addition to those agencies identified in Level 3, State OEM will request **all** ESF Member Agencies to send a representative to the State EOC.

At this point, the State EOC will be maintained at a 12-hour (Day) staffing operations.

At this level, the following actions may be taken:

- Initial Executive discussions should be considered for a Governor's declaration of a State Disaster Emergency.
- State OEM will facilitate a RELT conference call with the at-risk communities. Discussion points will include:
 - Storm-related specifics, questions, or concerns.
 - Anticipated local response actions.
 - Upcoming protective actions (and timing).
 - Identifying any potential resource requests or shortfalls.
- Initial consideration will be given to establishing a Joint Information Center (JIC) through ESF #15 to begin developing and disseminating critical public messaging and advisories.
- ESF Coordinators will be provided updated storm data and will be tasked with identifying potential actions, developing staffing patterns, begin preparations to implement response activities, and identify any resource support issues as the State moves forward in the response.
- State OEM will contact FEMA Region II to determine Federal posturing and preparedness and what resources, if any, may be pre-positioned or proactively deployed to the State or region.
- State OEM will engage in dialogue with other at-risk States in the region to determine operating timelines and potential protective actions that will directly or indirectly impact the State. Discussions may include resolving any potential State-to-state

communications issues, overlap and operational concerns, and set the parameters to maintain an open dialogue between the States.

- State OEM will coordinate with local, State, and Federal partners to ascertain status and availability of potential field locations to be used as staging areas, mobilization sites, and distribution centers. This outreach will serve as a primer for the State's ability to access these locations in the event that they are needed.
- ESF #5 will continue to provide an ongoing assessment of storm information (track, intensity, timing), and an assessment of State and local response activities being planned or implemented.

At approximately 72 hours (3 days out) prior to the forecast arrival of sustained tropical storm force winds, the State EOC will be maintained at 24-hour staffing operations. It is at this point that the State can expect to begin to receive requests for assistance and local situational/operational information.

Note: This is an opportune time for a follow-up Executive-level discussion regarding the decision for the Governor to declare a State Disaster Emergency. This action enables the use of EMAC resources and can be followed by a formal request for a Federal Presidential Emergency Declaration (informally known as a Pre-Landfall Emergency Declaration).

At this time, along with all previous actions, the following actions may be taken:

- State OEM will facilitate a follow-up RELT conference call with the at-risk communities. Discussion points will include:
 - Storm-related specifics, questions, or concerns.
 - Anticipated local response actions.
 - Upcoming protective actions (and timing).
 - Identify potential resource requests, gaps, and needed support.

From this point forward, State OEM will continue to facilitate this call at regular intervals. It is anticipated that at this point, local emergency operation centers will begin to activate, and the State will begin to receive requests for State assistance from the at-risk communities. Local actions warranting potential State support can be found in Attachment 5 – *County Protective Action Decision Timeline*.

- State OEM may work to assemble and coordinate multi-agency teams to local or regional EOCs, as needed.
- All command and general staff positions will be filled. Section status will increase to accommodate the needs of the incident as it progresses.
- The State OEM Director will hold a MAC Group meeting, with representation as identified up to this point, and other agencies as needed. Discussion points will

include ESFs identifying potential actions, staffing and resource support issues and the following:

- An assessment of any potential requests for assistance.
 - The protective actions being implemented at agency facilities within the at-risk area.
 - Any potential challenges, policy issues, or circumstances prohibiting operational capabilities or functions.
 - Any potential continuity of operations issues.
 - An assessment of readiness to integrate with the incoming Federal response.
 - Advising agencies to consider taking protective actions for all State facilities located within potentially impacted areas.
 - The need to activate an AOC to support the level of response.
 - Advising that logistical arrangements should be made internally by each agency and immediately upon the authorization to deploy to the field (e.g. county EOCs).
- Begin pre-positioning of relief supplies, equipment, materials, and personnel to support feeding, sheltering, and short-term recovery efforts. The resources will be coordinated through the State EOC operating structure to ensure coordination with ESF #7 and any activated staging site, points of dispensing, or distribution center. Examples may include:
 - Food, water, bedding, and durable medical equipment: This is accomplished by member agencies of ESF #6 and #8 to address local shelter shortfalls and functional medical needs.
 - Generators, fuel, tarps, portable pumps – accomplished by ESF #7.
 - Debris clearing equipment, chippers, chain saws – accomplished by several agencies that support ESF #1 and #3.
 - Personnel and equipment to support security, access, and egress – accomplished by member agencies of ESF #13.
 - Environmental monitoring equipment, supplies, and personnel – accomplished by member agencies that support ESF #8.
 - Personnel to support damage assessment activities – facilitated by State DHSES.
 - Deployment of sandbags, sandbagging equipment – coordinated through ESF #7.
 - Establish contact with the Hurricane Liaison Team (if deployed) at the National Hurricane Center to prepare for on-going communications and videoconference capabilities – ESF #5.
 - Status of the CI/KR sectors, and efforts to support the restoration of the energy sector – accomplished by member agencies of ESF #12.

- Support Health Care evacuations coordinated with NYS Department of Health Healthcare Facility Evacuation Center (ESF #8).
 - Prepare Urban Search and Rescue Teams (USAR Teams) Swift Water Rescue Teams (ESF #9).
- The identification and deployment schedule of field-level operational components should be considered at this point.
 - Staff deploying to at-risk areas should begin their deployment within the next 24 hours. This will allow staff to be in position to begin to perform their respective functions with more than 36-48 hours prior to the arrival of tropical storm winds.
 - The lines of communications and coordination between the State EOC and deployed staff will be tested and remedied, as appropriate.
 - In addition to managing staffing assignments, field personnel will begin providing situational reports and information to the State EOC on a regular, cyclical basis (i.e., once per operational period).
- State OEM will reinitiate contact with FEMA Region II to determine Federal posturing and preparedness and determine what resources, if any, are being pre-positioned or proactively deployed to the State or region. This outreach may include a request for a Federal IMAT.
- At this point, State OEM may conduct outreach through EMAC to determine the status of EMAC resources and any potential mission requests from other states/regions.
- If not activated at the previous time frame (96 - 72 hours) the State should begin to establish a Joint Information Center (JIC) through ESF #15 to develop and disseminate critical public messaging and advisories based on the situation.
- State OEM will ensure that each agency involved with incident management or incident support activities (if any) is providing the appropriate situational awareness and resource status information to State and local governments.
- At this point, incident support facilities that were identified in level 3 (i.e., staging areas, mobilization sites) should be established and begin the process of becoming functional.
- As the event continues to move forward, State DHSES will begin to identify preliminary damage assessment teams, potential site visits, and deployment timelines.
- If not already done, agencies may activate their AOC to support the level of response.

4. **Level 1:** This level will be activated **no later than approximately 36 - 24 hours (1 day out)** prior to the forecast arrival of sustained tropical storm force winds impacting New York State.

Goal: In addition to those previously listed: ensure the appropriate level of functionality to effectively respond to requests for assistance, storm-related impacts, make final State-level preparations, and be capable to fully integrate with an incoming Federal response organization.

Note: Once the State experiences the arrival of tropical storm force winds (39 mph), most local, county and State external operations in the at-risk areas will cease until the passing of the storm.

At this level, the following actions may be taken:

- This level is triggered by the activation of the National Response Framework, the Regional Response Coordination Center (RRCC) and the National Response Coordination Center (NRCC), bringing Federal ESFs online. This level marks the point where a Federal IMAT and appropriate Federal ESF leadership begin to arrive at the State EOC. This presence will warrant the integration of the Federal system into the State's response organizational structure in place in the State EOC. This includes integration into:
 - Federal IMAT arrival in the State EOC.
 - MAC Group meetings, conference calls and briefings.
 - The Planning Section (ESF #5), operational planning meetings, and Command and General Staff meetings.
 - Logistics and Operations sections.
 - State and Federal ESFs.
 - Preliminary discussions regarding a joint field office (JFO).
- State OEM will facilitate a final pre-landfall conference call with the at-risk communities. Discussion points will include:
 - Update on storm-related specifics, questions, or concerns.
 - Update on the State's response posture and structure.
 - Status of local response actions and protective actions.
 - Identify any outstanding resource requests and anticipated needs and gaps.
- State and Federal disaster declarations may be in process, pending or complete at this point. As such, State OEM will determine Federal posturing and preparedness and what resources, if any, are being pre-positioned or proactively deployed to the State or region.

- Federal resources implementing State and/or Federal missions in the field will be coordinated through the State EOC via the State ESFs to the organizational structure in the field.
- State field deployments should begin arriving at forward locations with last minute deployments being factored. This is the last opportunity to make the decision and quickly deploy State resources and personnel to the at-risk areas. Deployments must be completed and in place within **24 hours** (prior to the onset of tropical storm winds). All resources deployed to the field should be preparing for sheltering throughout the arrival and passing of the storm.
- The State OEM Director, with input from ESF #12, will assess the need for the implementation of the FUEL NY Plan.
- The State will designate a State Coordinating Officer (SCO) to work in unison with the Federal Coordinating Officer (FCO), as identified. The SCO and FCO will be in position at the State EOC until a joint field office (JFO) is established.
- State OEM will begin assembling and pushing out EMAC requests as warranted.
- Follow-up MAC Group meetings will continue. State Agencies in the State EOC will be advised of storm-related data to disseminate to their home agency staff for internal distribution. At this point, State agencies in the at-risk areas may be advised to cease all operations and implement continuity measures.
- ESF Coordinators will continue to be provided updated storm data and will be tasked with identifying potential actions, developing staffing patterns, beginning preparations to implement response activities, and identifying any resource support issues as the State moves forward in the response.
- After the storm has passed, the State response level will remain a level 1 until conditions warrant a change in response level.

C. Response Organization

The State of New York endorses the use of one response organizational structure that will include all responding agencies: local, State and Federal. State agencies will be organized under the framework of the NIMS Incident Command System (ICS), as required by Executive Order 26.1 of 2006, and the NIMS, as required by HSPD #5. 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 CEMP: *Response and Short-Term Recovery*. Specific to

coastal storm, 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 MAC Group and other coordinative elements at field locations. NYS will also be represented at the Joint Field Office, when established, to assist in the local/State/Federal coordination of Federal assets.

The State may utilize and deploy the State's Incident Management Team (IMT) to the area of impact. The IMT will serve to support county EOC 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.

In addition to the State EOC a multi-agency Regional Operations Center (ROC) in the New York City metropolitan area has been developed and is fully capable of operating during a coastal storm response.

In a strong coastal storm, especially one that causes extensive Statewide flooding, the conditions may warrant that more than one State-level field coordinating element be established in the State. This may include geographically dividing the State into multiple divisions, with several field coordinating points in place operating within assigned regions of the State. This structure will require additional oversight from the State EOC and the JFO in determining which region has higher response priorities, needs, and could most benefit from resources being requested from that region of the State.

Information management and situational awareness is critical in responding to a large-scale emergency or disaster. Command structures at all levels need an accurate, articulate, and continuous operating picture of the event. This operating picture, combined with ongoing situational awareness, can provide local and State leadership with the specifics to make informed and accurate decisions. Further, timely, accurate, and verified information allows leaders at all levels to somewhat predict or prepare for response issues in advance, allowing them to contingency plan and correct before executing operational plans. The activation of a Situation Room or Multi-Agency Situation Unit (MASU) in the State EOC will be the key resource in assessing the overall impact of a coastal storm, the likely response and recovery issues that will need to be addressed, and the status of the State's response. These elements will provide the ability to ascertain, process and verify information received from agency-specific lines, Federal-State-local coordinative lines, and from counterparts in the field, such as representative in county EOCs or a field coordinating element. The Situation Room or MASU will be situated in the Planning Section at the State EOC and will be the lead in assembling the State's operating picture and will support the development of materials to brief the State MAC Group.

1. Joint Information Center/Public Information

The State recognizes the need to consistently disseminate critical public information. To meet this challenge, the State will establish a Joint Information Center (JIC) at or near the disaster site. The JIC will serve as the sole source of official information regarding all incident activities and will provide a forum for the coordinated release of all information. The representation will include local government officials, State officials (as the lead), and will include representation from Federal ESF 15 - External Affairs. JIC operations will be coordinated as stated in the Emergency Public Information Annex to the State CEMP. The release of information may include public service advisories regarding:

- Dissemination of event facts, data, and hazards.
- Locations of food, shelters, supplies, commodities.
- Locations of disaster recovery centers.
- Fraudulent practices, price gouging, buyer-beware concerns.
- Locations of waste sites, household hazardous waste issues.
- Public health concerns, epidemic information, food storage, mold.
- Safety messages for traveling, fire safety, public inquiry numbers.

D. Response Agency Roles/Responsibilities

This section reviews existing roles, responsibilities, and capabilities State agencies, ESFs and provides an overview of the local and Federal response.

1. Local Government

Local government will be actively involved in the response and should be utilized to the fullest extent possible. Each county, and many local governments, has a CEMP which provides the framework for the jurisdiction's response to emergencies and disasters. As previously identified, many coastal communities have in-depth coastal plans to address evacuations, sheltering, debris management, and public information.

Each locally developed plan will differ in its implementation, including in response capabilities, surge capacities and in the ability to exercise authorities. Therefore, it is prudent for the State to conduct timely situational reporting to identify any gaps in the protective measures or response activities that are generated either at the local, State or Federal levels of the response.

2. State Emergency Support Functions and Federal Integration

The State response includes many components and capabilities, both State EOC-based and field-level. Under the State CEMP, the State possesses 14 ESFs that provide the utility for a host of capability, and full integration with each of the Federal ESFs. State ESF

missions and capability-based assignments follow. Included are additional operational areas that warrant special attention, with ESF-based activities found in Attachment 3.

3. Waiver of Restricting Codes

The response and recovery to a coastal storm may require the Governor to temporarily suspend specific provisions of statutes, local laws, orders, rules, or regulations to facilitate the response or recovery efforts. This authority exists in State Executive Law, Article 2-B, § 29-a. These waivers would ensure that emergency response operations are not unnecessarily hindered or restricted. The authority to suspend State laws, rules, or regulations rests solely with the Governor. The need for waivers will be dependent upon the situation; however, some examples include, but are not limited to:

- Department of Health:
 - May work with the Governor's counsel to waive provisions of the State Education Law related to the licensure of health care professionals;
 - The Office of Health Systems Management may put in place an expedited permitting process related to the certification of additional beds; and
 - May waive Medicaid requirements in order to provide medical care for those who have been negatively impacted by the disaster.

In addition, the Federal government may waive provisions of Federal statutes and regulations in order to assist the State in its response and recovery efforts. In these cases, the appropriate State agency may take part in the Federal waiver process. Some examples of this include, but are not limited to:

- Department of Labor: Implements special assistance programs such as Disaster Unemployment Assistance for those who may not be eligible for regular Unemployment Insurance benefits as authorized by the President pursuant to 42 U.S.C. § 5177.
- Department of Transportation (DOT): Works with the Federal Department of Transportation to develop and implement waivers for:
 - Overweight vehicles and oversize equipment limits on the NYSDOT system due to structural considerations on bridges and pavement. This capability can also be utilized by the Thruway Authority and the State Bridge Authority.
 - DOT grants permits for overweight vehicles and oversize equipment limits on the NYSDOT system due to structural considerations on bridges and pavement.
 - Approval for extended hours of labor by personnel that drive large commercial motor vehicles and are involved in emergency restoration of electric, gas and/or communications utility services or in the emergency distribution of petroleum.

In some cases, agencies may not need a gubernatorial waiver in order to participate in response and recovery efforts, but the declaration of an emergency may be the trigger which leads to increased participation or a ramped-up response by the agency. In some cases, the declaration may actually trigger authority specified in the agency's enabling statutes. Some examples include:

- Agriculture and Markets: May increase efforts to inspect and test food to ensure safety. It may also increase the use of its embargo authority.
- NYS Energy Research and Development Authority: May assist the State Department of Transportation in applying for waivers of Federal transportation restrictions for fuel delivery.
- Office of Temporary and Disability Assistance (OTDA): OTDA takes necessary actions to expedite the provision of financial and social services assistance to victims of disaster.
- Department of Environmental Conservation (DEC): May, in an emergency, make emergency orders with respect to petroleum fuels and natural gas without notice or a hearing for the owner of the resource. In addition, during an emergency the Department may waive procedural permitting requirements and issue emergency authorizations. See Environmental Conservation Law §§ 23-0305 & 70-0116.

4. Intrastate and Interstate Coordination

As with many types of disasters, a coastal storm will not stop at borders. In addition, evacuations, road closures and other protective actions implemented in New York State may have a resonating effect on the State's neighboring jurisdictions. As part of the response process, the actions taken in New York will be documented in situational assessments, reports, and public information statements. Ongoing pre-landfall discussions should unveil what at-risk States will be doing in response to the event. Post-landfall, interstate coordination may require facilitative support to ensure that essential supplies, goods, and services can be shipped/deployed to the State around restricted or impacted areas. Further, missions that are ongoing on one side of a jurisdictional boundary may be mirrored on the other. Information sharing will be key in addressing these issues. The sharing of this information will occur through traditional State-to-state statutory lines, which are often agency-specific, and through the State EOC multi-agency response structure. Resources and movements will be coordinated through local government, as appropriate, as well as with the neighboring State(s). The coordination with the local level in New York State will be managed through local government in the State via the command structure in place in New York State. Interstate coordination will be managed through the State EOC to the State EOC of the State(s) involved. Federal assistance with the RRCC and ESF #15 may be needed as well.

New York State Comprehensive Emergency Management Plan

Coastal Storm Annex

Section IV: Recovery

A. Overview

Dependent on the type of destruction and damage caused to the communities and individuals along the storm track, the response to such an event may be short-lived or could extend for a prolonged period of time, perhaps even years. Emergency response activities may include control measures that have been rapidly employed and may result in a slow demobilization of response agencies and activities.

A variety of forces may influence the direction of the recovery process. Considerations that have to be analyzed for an effective response and prompt recovery include the safety of responders, repair and re-opening of critical transportation routes, remoteness of areas, and the needs and requirements for the restoration of utility systems.

Regardless of the extent of damage, the State of New York will strive to assist local governments, businesses, and citizens in recovering from the impacts of any emergency. Where possible, hazard mitigation measures will be incorporated into recovery activities in order to lessen the impact of reoccurrence or eliminate it entirely.

B. Demobilization of the State Response

Following any disaster, the response organization must at some point transition from a short-term recovery to a long-term recovery. In some cases, the stimulus to transition is very clear, while in other cases it is not. In the case of a coastal storm, the demobilization of the State's response will be initiated when the State Unified Command determines that adequate progress has been made in restoring essential services and functionality to the affected areas. This will likely occur when it is recognized that the infrastructure in those areas is able to support reentry, maintain safety and security provide self-sustaining economic viability, and when some sense of normalcy is evident.

When a centralized State coordination presence is no longer required in the affected area, the State EOC will develop and implement a demobilization plan to transfer responsibilities and suspend unnecessary field and agency operations. State EOC and field-level Planning Sections will respectively develop a scalable demobilization plan for the release of appropriate components. As the need for full-time interagency coordination at the State EOC ceases, plans for selective release of State resources, demobilization, deactivation, and closeout are developed. The State EOC may remain operational at

reduced staffing to ensure longer term missions are completed and to maintain situational awareness to support additional response operations.

When the State response effort is deactivated, specific procedures for deactivation will be followed to ensure proper record keeping and handling of contracts as well as recovery of deployed equipment and materials. Demobilization and deactivation activities are planned, coordinated, and executed to ensure that all level of government, tribal, and private sector response and recovery personnel are maintained at a state of readiness commensurate to operational field response and recovery operations. Actions may include:

- Relaxing traffic and access control points.
- Follow-up water supply analyses, remediation of hazardous materials and monitoring hazardous waste sites.
- Conducting ongoing debris removal and environmental remediation activities.
- Additional food safety messages, handling practices, inspections, and monitoring.
- Assessing resources and authorities that may be needed for subsequent coastal storms.
- Estimating the overall impact on the State, including mortality, financial impacts and the disaster recovery mechanisms that can support the general public.
- Continue risk communications for mental health support, recovery programs, individual and family preparedness and safety messages regarding mold.
- Communicating with local government, healthcare providers, the media, and the public about any subsequent coastal storms.

C. The Recovery Process

As the State EOC activation ceases, and the JFO activates, the Federal government will transition out the ESFs and implement the RSFs. Although the RSF structure builds upon the ESF structure, RSFs are different from ESFs in that they have a different set of mission objectives, time spans and skill sets. Recovery Support Functions bring together the core recovery capabilities of State and Federal departments and agencies to focus on community recovery needs. The objective of the RSF is to facilitate coordination and delivery of Federal assistance needed to supplement recovery efforts. RSFs are designed to operate within a timeframe of months to years.

The State has recently updated Volume 3 of the State Comprehensive Emergency Management Plan, *Long-Term Recovery*. Volume 3 outlines the State RSF construct and lays the foundation for the implementation of the State RSF Annexes. The State RSFs match the Federal RSFs as identified in the National Disaster Recovery Framework (NDRF) and are organized in six manageable, multi-agency components:

- **Community Planning and Capacity Building:** The core recovery capability for community planning is the ability to effectively plan and implement disaster

recovery activities, engaging the whole community to achieve their objectives and increase resilience.

- **Economic:** The core recovery capability for economic recovery is the ability to return economic and business activities (including agricultural) to a state of health and develop new economic opportunities that result in a sustainable and economically viable community.
- **Health and Social Services:** The core recovery capability for health and social services is the ability to restore and improve health and social service networks to promote the resilience, health, independence, and well-being of the whole community.
- **Housing:** The core recovery capability for housing is the ability to implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience. Like infrastructure and safety services, housing is a critical and often challenging component of disaster recovery.
- **Infrastructure Systems:** The core recovery capability for infrastructure systems is the ability to efficiently restore the infrastructure systems and services to support a viable, sustainable community and improve resilience to and protection from future hazards. The Infrastructure Systems RSF promotes a holistic approach to disaster recovery coordination, support, planning and implementation for infrastructure systems that serve the community.
- **Natural and Cultural Resources:** The core recovery capability for natural and cultural resources is the ability to protect natural and cultural resources and historic properties through appropriate response and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and in compliance with appropriate environmental and cultural resources laws.

Each ESF Annex includes the RSF assignments and mission areas for each of the agencies listed in the ESFs. Attachment 7 identifies the State RSF construct.

1. Funding and Compensation

Whenever the Governor finds that a disaster has occurred or may be imminent and local capabilities may be exceeded, the Governor may declare a State Disaster Emergency. Whenever the Governor finds that the event is of such severity and magnitude that the State will be overwhelmed, the Governor can request Federal assistance.

The State CEMP outlines the disaster relief funding and programs that would be applicable for an incident of this type. Included are provisions for Public Assistance (PA) and Individual Assistance (IA), which would aid in supporting government response operations and provide some recovery assistance for individuals and their families, businesses and

sectors identified in the preceding pages. The implementation of the recovery process is identified in Volume 2 of the State CEMP – *Response and Short-Term Recovery*. Short-term recovery processes include:

- Coordinating assistance programs to help individuals, households, and businesses meet basic needs and return to self-sufficiency. Such programs include housing assistance, other needs assistance, crisis counseling services, disaster legal services, and unemployment or reemployment programs.
- Establishing Disaster Recovery Centers: With Federal, State, tribal, local, voluntary, and nongovernmental organizations represented, staff provide recovery and mitigation program information, advice, counseling, and related technical assistance. Some of these programs include:
 - **Farm Service Agency (FSA):** May Provide agricultural loans up to \$500,000 to farmers, ranchers, and landowners to cover production, property losses, and physical structures part of farming operations.
 - **U.S. Department of Agriculture (USDA):** May extend food stamp benefits to households to replace food that was spoiled due to power loss. May provide households with emergency food stamp benefits.
 - **Internal Revenue Service (IRS):** Allows certain casualty losses to be deducted on Federal income tax returns for the year of the loss or through an immediate amendment to the previous year's return.
 - **Bureau of Alcohol, Tobacco and Firearms (ATF):** Businesses may file claims for payment of Federal excise taxes paid on alcoholic beverages or tobacco products lost, rendered unmarketable or condemned by a duly authorized official under various circumstances, including where the President has declared a major disaster.
 - **U.S. Department of Labor (DOL):** Disaster unemployment assistance and unemployment insurance benefits may be available through the State unemployment office and supported by the U.S. Department of Labor.
 - **Department of Veterans Affairs (VA):** Provides death benefits, pensions, insurance settlements and adjustments to home mortgages for veterans impacted by a disaster.
 - **U.S. Department of Health and Human Services (DHHS):** Offers a crisis counseling program to help relieve any grieving, stress, or mental health problems caused or aggravated by the disaster or its aftermath. These *short-term* services, provided by FEMA as supplemental funds granted to State and local mental health agencies, *are only available to eligible survivors of Presidential-declared major disasters*. Crisis counselors are often on-hand at Disaster Recovery Centers (when they are established). Crisis counseling services are also offered by the American Red Cross, the Salvation Army, other voluntary agencies, as well as churches and synagogues.

- **Federal Emergency Management Agency (FEMA):** Through an agreement with FEMA the **Young Lawyers Division of the American Bar Association**, provides free legal advice for low-income individuals regarding cases that will not produce a fee (i.e., those cases where attorneys are paid part of the settlement which is awarded by the court). Cases that may generate a fee are turned over to the local lawyer referral service.
- Individuals, families, and businesses may be eligible for Federal assistance if they live, own a business, or work in a county declared a Major Disaster Area, incur sufficient property damage or loss, and, depending on the type of assistance, do not have the insurance or other resources to meet their needs.
- Coordinating with private-sector and nongovernmental organizations involved in donations management and other recovery activities.
- Coordinating public assistance grant programs authorized by the Stafford Act.
- Coordinating with the private sector on restoration and recovery of CI/KR. Activities include working with owners/operators to ensure the restoration of critical services, including water, power, natural gas and petroleum, emergency communications, and healthcare.
- Coordinating mitigation grant programs to help communities reduce the potential impacts of future disasters. Activities include developing strategies to rebuild resilient communities.

It is important to note that the coordination of Federal assistance through State command structure does not end following the demobilization of the field structure or the State EOC. In many cases, the agency that has primacy with that sector often continues to monitor and support the recovery efforts of that jurisdiction into the long-term recovery phase. This is similar and consistent with the Federal approach as well. After the JFO closes, ongoing activities transition to individual agencies with primary recovery responsibilities. Federal partners then work directly with their regional or headquarters offices to administer and monitor recovery programs, support, and technical services.

2. Social and Economic Effects

The economic effects of a coastal storm on the State, even on a small scale, may be enormous to the victims and their families, public and private entities, and to subsidiary and support industries of our economy. Employment may be affected over a wide range of sectors, from the farming and subsidiary industries, to distributors, the retail industry, the shipping industry, education, and to government. The impact on the sectors that serve as the foundational elements of our way of life may have a cascading effect. The potential exists for many businesses that rely upon or support those sectors to be severely impacted, including local businesses, distributors, healthcare, and any reliant business, market, or industry. Movement restrictions that occurred during pre and post-landfall may promote erratic prices of common products, services, or commodities. This is especially the case in

the food service industry where most food providers maintain minimal or “just in time” inventories. Those inventories are traditionally shipped via several bridge and tunnel networks that may have been severely impacted during the storm.

The State will need to take proactive measures in reenergizing the State’s economy. A variety of mechanisms to support the economy and the consumer (general public) in times of disaster are already identified in the Human Services Annex to the State CEMP. In addition, these efforts may include:

- Monitoring excessive pricing practices to prevent “price-gouging”.
- Providing Unemployment Insurance Benefits and personnel services, including job counseling.
- Providing additional assistance to small businesses with grants and loan programs and assist an even larger group of businesses, through a broad range of services, to help the entire business community.
- Utilizing discretionary powers for abating penalties and extending tax due dates as warranted by the emergency.
- Providing advice on tax law provisions for losses related to the disaster.
- Working with lending institutions in requesting compassion and restraint for victims of a coastal storm.
- Working with insurance companies to allow insurance adjusters to begin the process of assessing damages in an effort to speed up the loss adjustment process.

The bullets above note just a few of the potential State mechanisms that could be utilized to reenergize the economy and support the general population. The State’s ability to implement such actions, and others, rests with the agency that has the statutory obligation and authority to do so. Additional recovery programs can be found in Volume-3 of the State CEMP, *Long-Term Recovery*.

3. Public Awareness

Ongoing media campaigns may be conducted to re-emphasize the importance of personal and business preparedness. Informational and educational materials should be disseminated to the public through a variety of different venues. The State and County should foster relations with the media, especially prior to the start of future hurricane events to get out the messages necessary on preparedness plans and kits, evacuations and sheltering. The media has to be effectively used to disseminate information on evacuation and shelters, and informational websites should be made available for the public to access. All informational materials should also be converted to numerous languages to meet the needs of the populous.

Attachments

Attachment 1: *State Coastal Plan Timeline and Executive Action Guides*

Attachment 2: *Coastal Storm Regional Conference Calls*

Attachment 3: *ESF-Based Activities*

Attachment 4: *List of Reference used in Plan Development*

Attachment 5: *County Protective Action Decisions by County*

Attachment 6: *SLOSH, Evacuation, Shelter and Point of Distribution Maps*

Attachment 7: *State RSF Construct*

Attachment 8: *Glossary and List of Acronyms*

Attachment 1

State Coastal Plan Timeline and Executive Action Guides



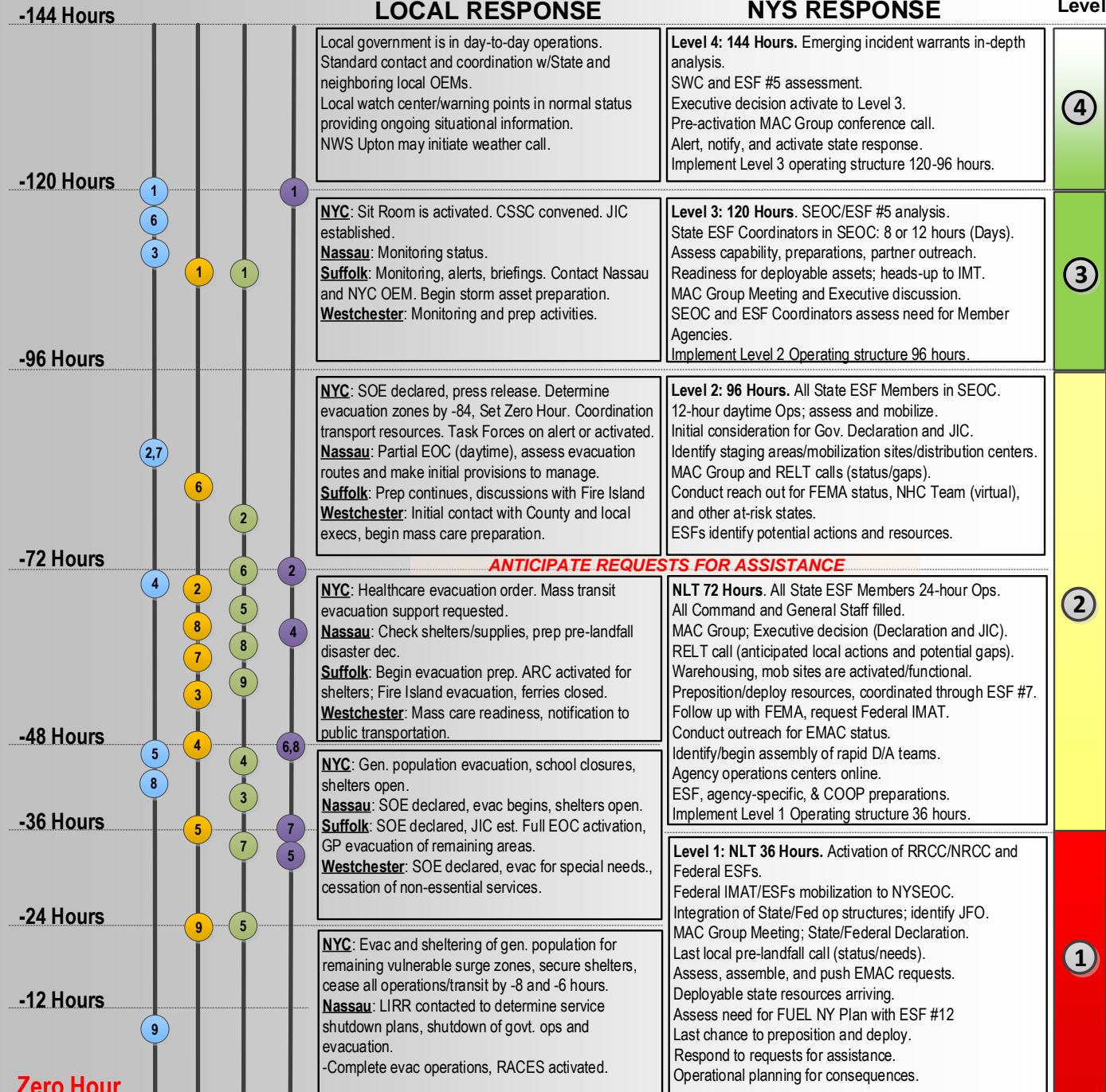
Homeland Security and Emergency Services

Emergency Management

RESPONSE OPERATIONS & PROTECTIVE ACTION DECISION TIMELINE

STORM TIMELINE

SEOC Activation Level



ANTICIPATE REQUESTS FOR ASSISTANCE

Key: Local Decision-Making Timeline

- 1 = Data Gathering/Assess
- 2 = Activation Notification
- 3 = JIC established
- 4 = HCF Evacuation
- 5 = GP Evacuation
- 6 = Partial EOC
- 7 = Full EOC Activation
- 8 = Shelters
- 9 = Begin Mass Transit Shutdown

February 2021



STATE EMERGENCY OPERATIONS CENTER LEVEL 4 - GOAL: Conduct joint assessment and decision-making, initial Multi-Agency Coordination (MAC) Group call, begin measures to increase state posture, and notify agencies of staffing requirements for upcoming operational period(s).

Activities: The State EOC maintains a readiness posture. Proceed with following at no later than -144 to -120 hours (6 days out):

- Direct State Watch Center staff, OEM Planning, Operations and GIS staff, to assess the anticipated storm path and timing.
- Obtain synopsis for informed Executive decision making.
- Decide to activate the State EOC to a Level 3 at no later than 120-96 hours (within the next 24 hours).
- Decide to conduct an initial MAC Group conference call.
- Decide on 8 or 12 hour shifts for the upcoming operational period.

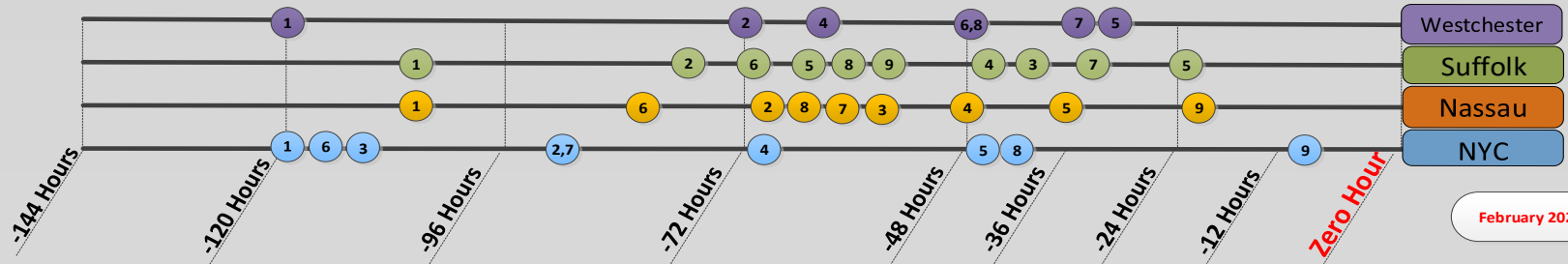
MAC Group call conducted with DPC Agencies:

- | | |
|-----------------------------------|----------------------------------|
| <input type="checkbox"/> SOFA | <input type="checkbox"/> ITS |
| <input type="checkbox"/> Ag&Mkts* | <input type="checkbox"/> DOL |
| <input type="checkbox"/> OCFS | <input type="checkbox"/> OMH |
| <input type="checkbox"/> DOCCS | <input type="checkbox"/> MTA |
| <input type="checkbox"/> DCJS | <input type="checkbox"/> DMNA |
| <input type="checkbox"/> State ED | <input type="checkbox"/> OPRHP |
| <input type="checkbox"/> ESD | <input type="checkbox"/> OPWDD |
| <input type="checkbox"/> NYSERDA | <input type="checkbox"/> PANY&NJ |
| <input type="checkbox"/> DEC* | <input type="checkbox"/> PSC* |
| <input type="checkbox"/> DFS | <input type="checkbox"/> DSP* |
| <input type="checkbox"/> OFPC* | <input type="checkbox"/> DOS |
| <input type="checkbox"/> OGS | <input type="checkbox"/> TA |
| <input type="checkbox"/> DOH* | <input type="checkbox"/> DOT* |
| <input type="checkbox"/> DHSES* | <input type="checkbox"/> OVS |
| <input type="checkbox"/> HCR | <input type="checkbox"/> ARC |

Direct ESF Coordinators (*only) above to begin staffing State EOC no later than 120 hours.

Key: Local Decision-Making Timeline

1 = Data Gathering/Assess 2 = Mobilization 3 = JIC established 4 = HCF Evacuation 5 = GP Evacuation 6 = Partial EOC 7 = Full EOC Activation 8 = Shelters 9 = Begin Mass Transit Shutdown

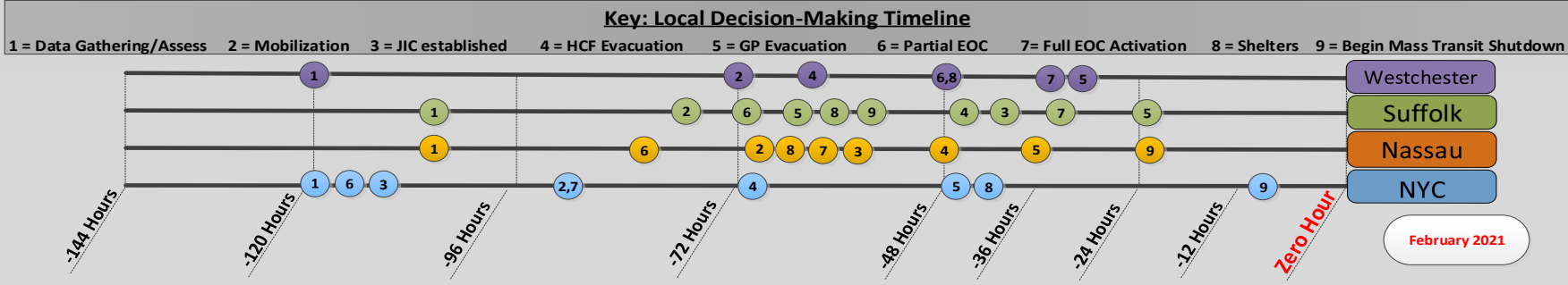


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STATE EMERGENCY OPERATIONS CENTER LEVEL 3 - GOAL: To provide a continued assessment of storm information, make projections on potential consequences, assess local preparations, conduct initial briefings/analyses with agencies, and make preparations to increase the state response posture.

- Activities:** This level should be initiated no later than -120 to -96 hours (5 days out) prior to the forecast arrival of tropical storm force winds. Level 3 will consist of ESF Coordinators only.
- Determine if day-time staffing of the State EOC may be sufficient.
 - Implement **8 or 12-hour** staffing patterns to support operations.
 - Stand up the SEOC Situation Room, ESF #5; basic Ops section/ESF #7.
 - Determine need to activate multi-agency situation unit (MASU).
 - Determine the need for mobilization and pre-deployment of State resources/staff and/or an increase or decrease in state posture.
- Instruct all DHSES-based assets to ensure a state of readiness. This includes:**
- Logistical facilities, emergency stockpiles, supplies and equipment.
 - Emergency communications equipment, support equipment and vehicles.
 - Identifying staffing patterns, operational periods, shift rotations, and potential field deployments.
 - Initial notification to State IMT personnel of potential deployment.
 - Direct State ESF Coordinators** to address preparatory measures with partner agencies:
- ESF #1: DOT, ESF #2: OIEC, ESF #3: DEC, ESF #4: OFPC, ESF #6: DHSES IA, ESF #8: DOH, ESF #9: OFPC, ESF #10: DEC, ESF #11: Ag&Mkts, ESF #12: PSC, ESF #13: DSP, ESF #15: DHSES PIO
- Instruct ESF Coordinators in the SEOC to identify potential actions, develop staffing patterns, begin preparations to implement response activities, and identify any resource support issues as the State moves forward in the response.
 - Ensure State OEM and the ESF Coordinators jointly identify which agencies are required to address current needs.**
- Conduct MAC Group** conference call to discuss the implications of the weather synopsis; include aggressive development of staffing plans. Direct agencies to:
 - Assess the level of vulnerability to the impending event, and mitigate as appropriate.
 - Review the level of agency-specific preparedness to implement continuity measures.
 - Review the level of preparedness to support a collective, state response as identified in each ESF annex and the Coastal Storm Annex.
 - Establish priorities in preparing for the event - such as identifying available resources, future resources requirements and internal staffing patterns.
 - Address any sector-specific coordination or customer-based concerns or outreach, as appropriate.
 - Identify and raise any specific needs, issues or gaps that require support or coordination from State OEM.
 - Advise all Coordinator and Member Agencies of Level 2 (Days only) at 96 hours.
 - Advise all Coordinator and Member Agencies of 24/7 ops at 72 hours.





STATE EMERGENCY OPERATIONS CENTER LEVEL 2 - GOAL: In addition to those identified in Level 3, assess local response posture and activities, continue briefings/analyses with ESFs, increase in preparations in implementing the state response posture, make preparations for initial requests for assistance, and make provisions to rapidly assess damages.

Activities: This level should be initiated no later than -96 to -72 hours out (4 days out / at least 48 hours in advance of a Tropical Storm Watch).

At 96 hours:

- Direct all ESF Coord. and Member Agencies to report to the State EOC.
- State EOC will be maintained at 12-hour (Day) staffing.
- Primer for initial consideration for a Governor's declaration of a State Disaster Emergency.
- Facilitate a RELT conference call (anticipate local request, protective actions, local response actions)
- Initial consideration to establish JIC.
- Contact FEMA Region II to determine Federal posturing, resources being mobilized.
- Open dialogue with other at-risk states in region to determine operating timelines and potential protective actions.
- Inquire of local, State, Federal partners to ascertain status and availability of potential field locations for staging, mobilization, etc.

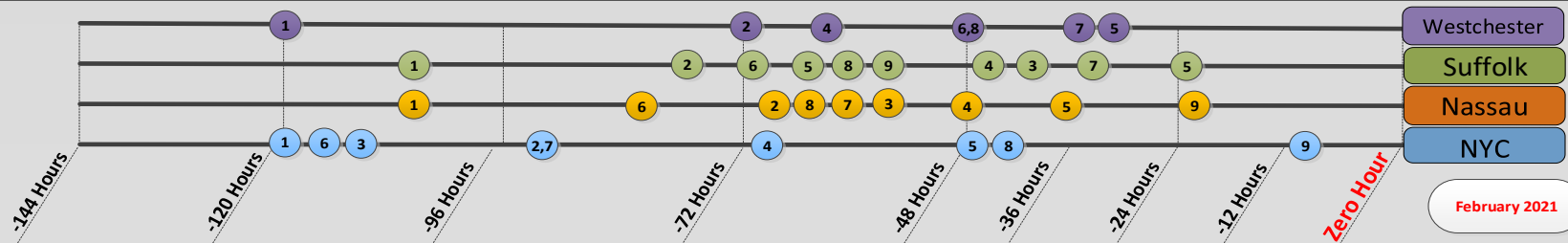
At 72 hours expect increase in local request for assistance:

- Begin 24 hour staffing – All ESF Coord. and Member Agencies.
- Follow-up Executive-level discussion regarding Governor decision to declare State Disaster Emergency. Direct Legal staff to draft declaration and pre-landfall request.
- Follow up RELT call. Continue to facilitate at regular intervals until 12 hrs.
- Direct assembly of multi-agency teams to local EOCs, as needed.
- Stand up ALL command and general staff positions.
- Reinitiate contact with FEMA Region II; determine Federal posture. Request may be made for Federal IMAT.
- EMAC outreach to determine status of resources and other mission request.

- Convene MAC Group meeting. Direct agencies/ESFs to identify potential actions, staffing/resource support issues, and any specific agency issues (Protective actions of affected facilities, COOP issues, the need for AOC, etc.).
- Direct the pre-positioning of relief supplies, equipment, materials, and personnel to support feeding, shelters, and short-term recovery efforts (coordinated with ESF #7). Include the following:
 - Food, water, bedding, durable medical equipment (ESF #6 and #8).
 - Generators, fuel, tarps, portable pumps (ESF #7).
 - Debris clearing equip., chippers, chain saws (ESF #1 and #3).
 - Security, access, egress supporting equipment (ESF #13).
 - Environmental monitoring equip., supplies, personnel (ESF #8).
 - Personnel to support damage assessment (State DHSES).
 - Deployment of sandbags/equipment (ESF #7).
 - Establish contact with Hurricane Liaison Team at the NHC (ESF #5).
 - CI/KR sectors, efforts to support restoration of energy sector (ESF #12).
 - Support Healthcare evacuations coordinated with the HEC (ESF #8).
 - Prepare USART/Swift Water Rescue Teams (ESF #9).
- Identify and direct the deployment schedule of field-level ops components considered. **Take note to deploy w/in 24 hours to allow** staff to be in position 48-hours+ prior to landfall; test communications lines, coordination, incident reporting, and assess local needs, gaps and issues.
- If not identified at 96 hours, set activation for the JIC NLT 36-24 hrs through ESF #15.
- Incident support facilities that have been identified should be established and become functional.
- State DHSES begin to identify PDA teams, potential site visits, and deployment timeline.
- Agencies may activate their Agency Operations Center to support the level of response.

Key: Local Decision-Making Timeline

1 = Data Gathering/Assess 2 = Mobilization 3 = JIC established 4 = HCF Evacuation 5 = GP Evacuation 6 = Partial EOC 7= Full EOC Activation 8 = Shelters 9 = Begin Mass Transit Shutdown



February 2021



STATE EMERGENCY OPERATIONS CENTER LEVEL 1 - GOAL: In addition to those previously listed: ensure the appropriate level of functionality to effectively respond to requests for assistance, storm-related impacts, make final state-level preparations, and be capable to fully integrate with an incoming Federal response organization.

Activities: This level will be initiated no later than -36 to -24 hours (1 day out).

- Deployments should begin arriving at forward locations.
- Last opportunity to make decision and quickly deploy state resources and personnel to the at-risk areas.**
- Deployments must be completed and in place within 24 hours.
- Facilitate final pre-landfall RELT conference call with the at-risk communities:
 - Update on storm-related specifics, questions, or concerns.
 - Update on the state's response posture and structure.
 - Status of local response actions and protective actions.
 - Identify any outstanding resource requests and anticipated needs and gaps.
- Inquire as to State and Federal disaster declarations may be in process, pending or complete.**

This time will likely coincide with the activation of the National Response Framework, the Regional Response Coordination Center (RRCC) and the National Response Coordination Center (NRCC), bringing Federal Emergency Support Functions (ESFs) on line. This level marks the point where a Federal IMAT and appropriate ESF leadership may begin to deploy/arrive at the State EOC. This will warrant the integration of the Federal system into the State's response organizational structure. Includes integration into:

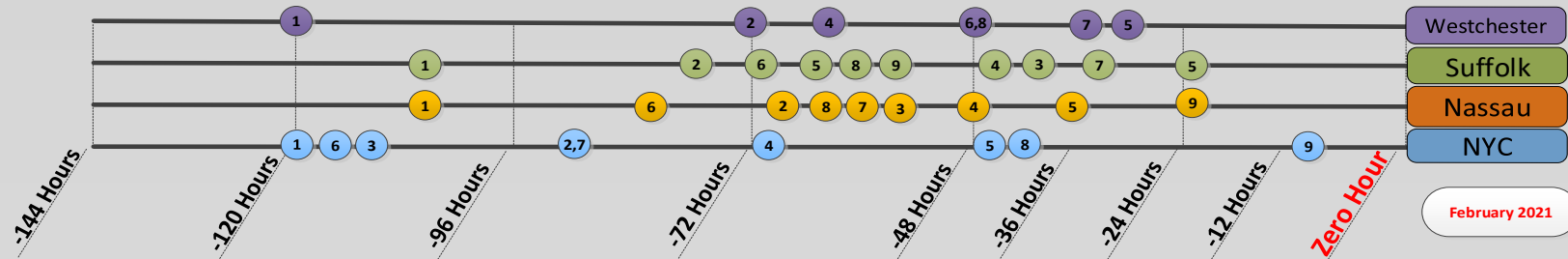
- Arrival of Federal IMAT in the State EOC.
- MAC Group meetings, conference calls and briefings.
- ESF #5, operational planning cycles, and Command and General Staff meetings.
- Logistics and Operations sections.
- State and Federal ESFs begin integration and unity of effort.
- Preliminary discussions regarding a joint field office (JFO).

MAC Group meetings will continue. State Agencies in the State EOC will be advised of storm-related data to disseminate to their home agency staff for internal distribution. At this point, State agencies in the at-risk areas may be advised to cease all operations and implement continuity measures.

- Designate a State Coordinating Officer (SCO).
- Direct the assembly of and push out EMAC requests.
- Assess the need for the implementation of the FUEL NY Plan.
- Advise to cease all operations and implement continuity measures.

Key: Local Decision-Making Timeline


1 = Data Gathering/Assess 2 = Mobilization 3 = JIC established 4 = HCF Evacuation 5 = GP Evacuation 6 = Partial EOC 7= Full EOC Activation 8 = Shelters 9 = Begin Mass Transit Shutdown



February 2021

Attachment 2

Regional Emergency Liaison Team (RELT) Conference Call

VERSION 2.0	Regional Emergency Liaison Team (RELT) Conference Call Procedure	
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DATE & TIME:	Dial-In: ()	Access #:
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REQUESTING AGENCY (Chair):	<input type="checkbox"/> NASSAU <input type="checkbox"/> NYC <input type="checkbox"/> SUFFOLK <input type="checkbox"/> WESTCHESTER <input type="checkbox"/> NYS DHSES <input type="checkbox"/> <i>Request from Key Agencies/Organizations – [NYS DHSES approval]:</i>
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OVERVIEW:

- **RELT** is a collaborative initiative of the New York City Urban Area Workgroup
- **RELT** is a forum to support inter-jurisdictional situational awareness and decision-making. It functions through on-demand conference calls between principal emergency management representatives from NYC, Nassau, Suffolk, Westchester and NYS.
- **RELT** may be initiated by any of the above-referenced entities
- **The Chair** will be the entity that requests the **RELT** call
- **RELT** should be focused on **discussing protective actions** and **timing** that may have an effect on all parties involved. Content discussed should be high-level decisions and/or information sharing.

THRESHOLDS: RELT works best for incidents that involve:

- Operations or actions that cut across jurisdictions
- Resource needs based on impacts affecting the region
- Executive decisions that have implications for other jurisdictions
- Needs for coordinated public messaging

Requesting jurisdiction should describe the issues needing regional support when requesting the call.

PROCESSES: (NYS convenes the RELT call through either)

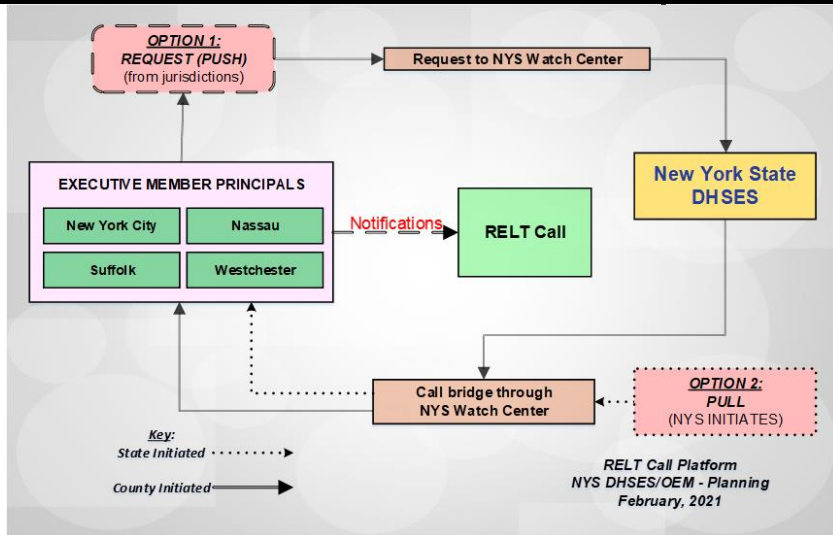
1. **(PUSH)** – Request from any principal: Nassau County, New York City, Suffolk County, or Westchester County
2. **(PULL)** – NYSDHSES initiates the call on its own initiative.

Steps to Initiate:

1. **Requesting Jurisdiction** contacts DHSES
2. **DHSES** endorses & initiates request
3. **State Watch Center** distributes notifications and information

NYS DHSES supports via the following:

- *Receiving requests for RELT calls from jurisdictions*
- *Scheduling the RELT call and establishing a call bridge*
- *Forwarding RELT call requests to jurisdictions*



ATTENDANCE

Nassau OEM

NYCEM

NYS DHSES

Suffolk DFRES

Westchester DES

Other:

Key Agencies/Organizations - Upon Request

MTA

PANYNJ

FEMA

NYS DOH

TRANSCOM

National Weather Service

Public Information

Legal Counsel

Other:

INCIDENT

Weather

Transportation

Public Health

Mutual Aid

Other:

Incident Name:

Situation Report:

Primary Issue(s) / Needs:

Notification List

(to be filled out by the Director, and notified by the State Watch Center)

States

New York State

Agency Rep: _____

New Jersey

Agency Rep: _____

Connecticut

Agency Rep: _____

Counties

New York City

Agency Rep: _____

Nassau

Agency Rep: _____

Suffolk

Agency Rep: _____

Westchester

Agency Rep: _____

Rockland

Agency Rep: _____

Orange

Agency Rep: _____

Jurisdictional Agencies

MTA

Agency Rep: _____

PANYNJ

Agency Rep: _____

Other

Agency: _____

Agency Rep: _____

Agency: _____

Agency Rep: _____

Agency: _____

Agency Rep: _____

Agency: _____

Agency Rep: _____

AGENDA

1. Attendance – NYS DHSES

2. Incident Overview / Status –

Chair/Requestor

3. Decision Making and Triggers – *Counties*

NOTES

- Decision-making priorities
- Strategic objectives
- Timeframe
- Policy considerations

4. Operational Coordination – *Counties*

- Traffic control and routing plans
- Transit and road closures
- Sheltering
- Public health response
- Other operating agencies required

5. Logistics & Resource Requirements – *Counties*

- Scarce resources
- Mutual aid requests
- Heavy equipment movements
- Federal and State allocations

6. Public Messaging and Press – *Counties*

- Scheduled press conferences
- Press releases
- Public announcements
- Social media messaging

7. Schedule Next Call – Chair/Requestor

Date:

Time:

Dial-in:

Access #:

ACTION ITEMS

1.	RESPONSIBLE PARTY:
2.	RESPONSIBLE PARTY:
3.	RESPONSIBLE PARTY:
4.	RESPONSIBLE PARTY:
5.	RESPONSIBLE PARTY:
6.	RESPONSIBLE PARTY:
7.	RESPONSIBLE PARTY:
8.	RESPONSIBLE PARTY:
9.	RESPONSIBLE PARTY:
10.	RESPONSIBLE PARTY:

Attachment 3

ESF-Based Activities

New York State Coastal Storm Annex

ESF-Based Activities

Operational Strategy

ESF 1: Transportation

Strategy: Provide resources and support for the assessment, management, and restoration of the State transportation systems and infrastructure.

Activate Full ESF.

Assess status of all transportation networks, including State Thruway system and State highways, waterways, and rail systems.

Obtain status of air traffic control and airports.

Utilizing established reporting networks, obtain status of privately-owned transportation infrastructure.

Provide initial assessment report to ESF 5.

Provide preliminary damage assessment information from affected areas.

Provide resources to clear and open impassable roadways for emergency vehicles.

Support operations associated with the re-opening of transportation infrastructure and other public property to facilitate repairs of the utility infrastructure.

Assist with identification of and provide support for traffic management for evacuations and re-entry.

Coordinate with Federal ESF 1 for operational planning integration.

Provide resources to inspect and, if necessary, repair PANY&NJ bridges, tunnels and/or transit systems.

Provide limited transportation for response personnel and general public.

Identify transportation routes for debris management resources.

Support debris clearance efforts as required.

Demobilize ESF and transition to RSF.

ESF 2: Communications

Strategy: Provide coordinated support for the repair and restoration of communications infrastructure. Work with private sector to reestablish communications systems.

Activate full ESF.

Assess status of communications infrastructure.

Provide initial status report to ESF 5.

Mobilize communications assets to safe locations.

Provide mobile command post and radio communications vehicles.

Establish and provide live video feed of impacted area, as requested.

Coordinate with Federal ESF 2 for operational planning integration.

Deploy and establish portable radio repeaters.

Provide person to person communication via handheld radios on a limited basis in the field.

Provide preliminary damage assessment information from affected areas.

Deploy emergency remote office support to forward operating point.

May support restoration of mainframes and servers, voice, and telephony services to government entities.

Establish local operable communication networks, including local to State, State to state, and State to federal communications.

Work with private sector in assessing and restoring the communications sector.

Coordinate with private carriers for the access of temporary cell sites on wheels (COWs), cells on light trucks (COLTs), and other communications equipment.

Demobilize ESF and transition to RSF.

ESF 3: Public Works and Engineering

Strategy - Provide for restoration and monitoring of the public works systems, including water and wastewater.

Activate Full ESF.
Assess status of public infrastructure.
Assess status of water/wastewater systems, canals, and waterways.
Provide initial status report to ESF 5.
Provide support for access to and egress from the area of impact.
Assess bridges in the affected area for structural integrity.
Provide support for the evaluation and testing of drinking water supplies in coordination with ESF 8.
Provide technical assistance with wastewater treatment plant recovery operations.
Support damage assessment as required.
Coordinate with Federal ESF 3 for operational planning integration.
Identify and implement any permits that are applicable to the incident.
Provide preliminary damage assessment information from affected areas.
Identify potential debris management site(s).
Provide engineering and contracted support for State facilities.
Provide available contracting services for 911 centers and government buildings.
Provide personnel with technical expertise in architectural, engineering, and construction management services, including support of damage assessments and hazardous materials testing, environmental analyses, engineering services, design analyses, and construction inspection services.
Provide personnel and equipment for management of debris.
Ensure that emergency workers at debris management sites are provided safety guidance from ESF 5, if required.
Demobilize ESF and transition to RSF.

ESF 4: Firefighting

Strategy - Activate and provide support for firefighting operations.

Activate full ESF.
Assess status of local fire operations/capability and needs.
Provide initial status report to ESF 5.
Deploy ESF 4 assets to the affected area(s).
Implement the New York State Fire Mobilization and Mutual Aid Plan (FMMAP), as required.
Provide assistance with evacuation as required.
Provide preliminary damage assessment information from affected areas.
Coordinate with Federal ESF 4 for operational planning integration.
Provide coordination and support for traditional firefighting capabilities.
Provide technical expertise for fire service issues.
Coordinate technical support for specialized responder safety issues associated with fire ground activities.
Provide resource support to triage/treatment sites as available.
Coordinate and support wildland and urban fire operations.
Provide limited aerial firefighting capability.
Deploy Damage Assessment Response Teams (DARTs) and other inspection teams to assess properties.
Demobilize ESF and continue coordination of FMMAP, as needed.

ESF 5: Information and Planning

Strategy – Manage the collection and evaluation of information in regard to the incident.

Fully activate ESF; augment with NWS.
Provide operational briefings to ESFs.
Request NWS Albany liaison.
Contact Hurricane Liaison Team member at FEMA Region II.
Provide ongoing analysis and updates/briefings of storm track, intensity, timing, and flood/storm surge potential.
Advise ESF 15 of conditions for public dissemination, as appropriate.
Coordinate with Federal ESF 5 for IAP and operational planning integration.
Produce Incident Action Plans and coordinate operational reporting.
Disseminate information regarding status of utilities, including power outages and public water safety.
Demobilize the ESF.

ESF 6: Mass Care, Housing and Assistance

Strategy - Provide for Community Reception Centers (CRCs), and FNSS provision; provide, activate, and support shelter sites; provide management and logistical support for family reunification.

Fully activate ESF.

Assess need for and status of local/county shelters, congregate care centers.

Provide initial status report to ESF 5.

Mobilize shelter equipment/caches and stockpiles and Statewide/national shelter support staff.

Identify and support general population shelters and the activation of additional mass care sites in contiguous counties.

Initiate contact with contiguous States and counties to determine their mass care status.

Mobilize and provide food preparation, delivery of ready-to-serve food.

Coordinate with ESF 8 to identify homebound/independent living in area of impact and to provide medical transport to mass care sites.

Coordinate with ESF 8 regarding food safety, functional medical need sheltering, and related medical functions for support of established facilities.

Provide language access assistance.

Assist with the reporting and reunification of displaced/missing persons and support family reunification efforts at mass care sites.

Coordinate shelter for service animals assisting individuals with disabilities.

Provide mental health assistance for survivors and responders.

Provide preliminary damage assessment information from affected areas and support the damage assessment process as needed.

Coordinate with Federal ESF 6 for operational planning integration.

Mobilize domestic pet sheltering resources and coordinate volunteers to support pet sheltering activities.

Facilitate the transportation of injured or stray domestic animals to animal care facilities.

Assist with the facilitation of capture and impoundment of animals at large.

Coordinate response with State veterinary associations and assist in obtaining reimbursement for veterinary services assisting or impacted by storm.

Assist with or provide medical treatment for animals that may be used during search and rescue activities.

Assist with the return of domestic animals to owners.

Stand up call center.

Begin case management.

Identify temporary housing needs; attempt to secure short term housing solutions.

Coordinate mobilization of Disaster Assistance Service Centers (DASCs) and transition to Disaster Recovery Centers (DRCs), as appropriate.

Coordinate unemployment benefits, job placements and assist with insurance claims.

Push disaster recovery information out to mass care sites.

Demobilize the ESF and transition to RSF.

ESF 7: Logistics

Strategy - Establish a coordinated State-Federal logistics response capability, including resource support and supply chain management by State/County; also establish a donations management program.

Fully activate ESF.
Activate all stockpiles; prepare to deploy to area of impact.
Provide status report to ESF 5.
Submit initial Emergency Management Assistance Compact (EMAC) requests.
Assess local/county logistics and locations.
Identify state staging areas and incident support bases that can be used; make contact to ensure availability.
Provide preliminary damage assessment information from affected areas as it becomes available.
Coordinate efforts for State logistics support to the incident; determine needs and respond to requests as necessary.
Provide purchasing support of commodities, services, and labor through approved protocols.
Establish and manage incident donations management program.
Provide vehicle transportation support for the movement of supplies and equipment as needed.
Ensure collection/documentation of equipment deployed, leased, and/or procured.
Coordinate with FEMA IMT to identify joint State/federal staging areas, ISBs.
Follow up EMAC requests: IMTs, EOC support.
Coordinate the request of Intrastate Mutual Aid for potential resources as requested.
Coordinate with Federal ESF 7 for operational planning integration.
Provide procurement and contracting services as required and available.
Consolidate asset tracking reports from ESFs.
Demobilize ESF; return equipment to pre-event state.

ESF 8: Public Health

Strategy - Identify the various medical and public health response capabilities and management.

Fully activate ESF.

Assess status of local healthcare and EMS systems. Provide status report to ESF 5.

Activate Statewide EMS plan; coordinate support to local healthcare facilities as required. Request national ambulance contract if necessary; coordinate with local government requests and assignments.

Coordinate the use of MCI equipment and supplies, if required.

Coordinate with Federal ESF 8 for operational planning integration.

Coordinate with healthcare coalition and HEC (NYC Metro area).

Coordinate with all ESFs regarding health issues.

Assess the public health & medical needs in unison with the Federal Emergency Response Team. This includes an assessment of the healthcare system/facility infrastructure.

Through ESF 15, use various risk communications to inform the public, media, and healthcare providers in responding to the event to enhance public health and safety and reduce hazard risks.

In coordination with ESF 3, provide wastewater treatment plant inspection and operation expertise.

Respond to medical surge capacities; identify Federal facilities (e.g., VA, Federal military installations) that may be able to support triage, treatment, and available bed space.

Ensure that the protective actions in healthcare facilities are synchronized with local governments.

Invoke the Governor's legal authorities, such as the suspension of licensing requirements, to support the survey of availability of clinical & hospital staffing, holding & control of drugs & medical supplies intended for wholesale distribution, obtaining necessary inventories, & coordinating the distribution of assets to the designated locations.

As needed, coordinate the distribution of the Strategic National Stockpile (SNS), utilizing volunteers at traditional and/or nontraditional Points of Dispensing (PODs) and at the SNS mobilization center and distribution sites.

Coordinate State and Federal medical personnel (USPHS, NDMS, DMORT) to support patient care and fatality management.

In coordination with ESF 6, assist in the trace-forward or trace-back of animal-borne diseases that may occur as a result of the event.

Implement enhanced epidemiological surveillance in affected jurisdictions, if required.

Coordinate the support and delivery of emergency responder medical needs and provide technical knowledge on EMS issues.

Provide support for management and coordination of public health needs for the population and healthcare systems impacted by the event.

Provide regulatory oversight and guidance to reception and congregate care centers.

Identify and support medical needs shelters.

Coordinate support for worker protection and safety of emergency responders.

Provide for environmental and water quality testing and monitoring and food inspection services in public facilities.

Provide for safety monitoring and inspections of food and livestock that may be subjected to contamination.

Provide guidance for cemetery management and supervisory support for operations.

Provide limited chaplain personnel, mental health services, and counseling support at established Family Assistance Centers (FAC).

As needed, coordinate with Disaster Mortuary Services (DMORT) in establishing temporary morgue facilities, victim identification, and processing, preparing, and disposition of the remains.

Demobilize the ESF and transition to RSF.

ESF 9: Search and Rescue

Strategy - Identify, provide, and coordinate search and rescue capabilities in response to an emergency event.

Fully activate ESF.

Through ESF 4, activate Fire Mobilization and Mutual Aid Plan for resources needed to support USAR efforts.

Assess status of actionable USARTs.

Provide status report to ESF 5.

Assess status of FDNY/NYC NYTF-1, request activation if not already deployed.

Activate NYTF-2.

Request EMAC teams through ESF 7.

Obtain communications assessment from ESF 2. Coordinate point-to-point communication needs if required.

Coordinate technical support for specialized responder safety issues related to structural collapse activities.

Coordinate the use of fire service assets for USART activities.

Coordinate and support wildland and urban related search and rescue activities.

Provide preliminary damage assessment information from affected areas.

Coordinate with ESF 8 to determine locations of triage/treatment sites.

Coordinate decontamination of SAR members and equipment used with ESF 10 if hazardous materials are identified.

Report access/egress challenges to ESF 1 and ESF 3.

Coordinate with Federal ESF 9 for operational planning integration.

Coordinate federal/State USART activities in support of local government.

Return all equipment in service; document costs for reimbursement.

Demobilize ESF.

ESF 10: Oil and Hazardous Materials

Strategy - Coordinate the direction and control of State multi-agency resource capabilities and assistance in response to an oil or hazardous materials incident.

Fully activate ESF.

Through ESF 4, activate the State Fire Mobilization and Mutual Aid Plan for resources needed to support hazardous materials response.

Obtain safety protocols, including dose/exposure, from ESF 5.

Assess current status of local/regional hazardous materials teams.

Provide status report to ESF 5.

Deploy capabilities to the affected area(s).

Provide decontamination support for people, vehicles, and emergency workers as needed.

Coordinate State support and response to the control and containment of an actual or potential hazardous materials release, with a focus on identification of hazardous substances, environmental sampling, air plume modeling, private sector response, substance recovery, and long-term environmental concerns. This shall include applying and coordinating State and Federal Superfund stabilization measures.

Coordinate State hazardous materials repose activities with the USCG for releases or cascade effects on waterways or with the EPA for effects on land, as outlined in the National Oil and Hazardous Substances Pollution Contingency Plan (NCP).

Provide preliminary damage assessment information from affected areas.

Coordinate with Federal ESF 10 for operational planning integration.

Coordinate technical support for specialized responder safety issues associated with hazardous materials operations.

Provide support to monitor levels of contamination in identified zones and debris sites.

Document all responder activities, exposures, and equipment usage/loss.

Coordinate private contracted resources for response and remediation, as needed.

Demobilize ESF and transition to RSF.

ESF 11: Agriculture and Natural Resources

Strategy - Coordinate efforts to ensure the agricultural community and national resources are preserved and protected.

Fully activate ESF.

Identify agricultural, natural, cultural, and historic resources affected.

Provide status report to ESF 5.

Coordinate with ESF 8 to push information in regard to protective actions for agricultural community, if any.

Support food inspections and testing, as appropriate.

Activate and deploy rapid reaction team (RRT) to assess food storage, handling, and disposal.

Ensure that protected natural resources such as rivers, streams, and freshwater and tidal wetlands are protected during emergency response and recovery activities.

Provide preliminary damage assessment information from affected areas.

Coordinate the closure and manage access controls to State parks.

In support of ESF 6, coordinate efforts for county animal response teams, if warranted.

Provide laboratory testing services in support of surveillance and monitoring activities for diseases affecting the health of animals in the State.

Coordinate with Federal ESF 11 for operational planning integration.

Support the transportation, evacuation, and sheltering of farm animals, as appropriate.

Coordinate available volunteers to assist with the evacuation, feeding, and sheltering of farm animals.

Obtain safety measures for animals; provide information to veterinarians and animal health inspectors.

Implement increased inspection programs and movement control for contaminated animals, supplies, and goods. Embargo as required.

Support the transportation, evacuation, sheltering and reunification with owners of domestic animals and pets, as appropriate.

Assist emergency response teams with animal related problems that may arise.

Facilitate the impoundment or capture of animals at large.

Assist with the assessment of medical needs of animals affected by the storm; provide medical treatment and stabilization for affected animals.

Provide technical advice and coordinate with local communities and other government agencies as needed on carcass management issues.

Provide waste transporter and solid waste facility emergency authorizations/permit modifications as needed.

Coordinate with ESF 3 to determine debris management sites for disposal of contaminated debris.

Coordinate the implementation of Federal programs to secure/protect cultural resources, such as museums, archives, and State/national icons.

Document projected losses to agricultural community.

Demobilize ESF and transition to RSF.

ESF 12: Energy

Strategy - Provide for restoration and monitoring of the electrical grid following a coastal storm.

Activate full ESF.

Assess status of electrical grid and fuel supply infrastructure.

Provide status report to ESF 5.

Provide ongoing status assessments of the energy sector.

Provide early warning and analyses of potential disruptions to the energy supply chain, and provide monitoring of fuel inventory trends, pricing, and consumer patterns leading up to and following a hurricane/coastal storm event.

Coordinate receipt of damage assessment information from energy providers.

Coordinate with the energy sector to address supply/distribution issues.

Act as a liaison between the utilities and local/State entities to facilitate the utility service restoration process.

Provide regulatory oversight of private, investor-owned, and municipal utilities. Coordinate the flow of information from other State Power Authorities.

Allocate supplies of energy or resources; impose restrictions or implement waivers pertaining to energy use and resources.

Provide preliminary damage assessment information from affected areas.

Monitor and ensure adherence to requirements related to customers with life support equipment.

Coordinate with local energy producers/providers and NYISO for restoration.

Identify and support public and private utility providers that may have difficulty continuing to operate.

Provide energy sector information in regard to access, egress, and points of entry.

Coordinate with Federal ESF 12 for operational planning integration.

Implement NYS Strategic Fuel Reserve plan if directed to do so by the Executive Chamber.

Coordinate fuel supply/delivery issues associated with transportation with ESF 7.

Demobilize ESF and transition to RSF.

ESF 13: Law Enforcement and Security

Strategy - Provide intelligence, security, and integration with response efforts; Support evidence collection, access, and egress.

Fully activate ESF.

Assess status of State and local law enforcement and security capabilities.

Obtain initial situational assessment from actionable intelligence on the ground.

Provide initial status report to ESF 5.

Provide assessment of intelligence/threat information for those that are authorized.

Coordinate with Federal ESF 13 for operational planning integration and serve as lead in coordinating with Federal law enforcement personnel.

Provide personnel to work with law enforcement agencies who will investigate crimes occurring within the coastal storm event (i.e. looting, etc.).

Provide preliminary damage assessment information from affected areas.

Coordinate with ESF 1 regarding the clearance of debris and access to shelters and other related facilities.

Support traffic and access control points for areas where travel restrictions or evacuations are identified, including interstate thoroughfares.

Provide evacuation assistance as needed to State and local authorities.

Support security at mass care centers, adjunct medical facilities, and morgue sites.

Support security for the transportation of commodities, supplies, and relief materials.

Provide support in implementing security measures at SNS Mobilization Centers, traditional and non-traditional PODs, and distribution points where medical assets are being distributed to medical personnel.

Obtain safety information from ESF 8 if warranted; push to county/local law enforcement.

Provide fixed and rotary-wing aviation support. Coordinate with ESF 1 to obtain airspace/restrictions.

Provide security and protection to identified critical infrastructure, including marine patrol vessels.

Coordinate the deployment and movements of law enforcement personnel/equipment from around the State, Federal or EMAC sources.

Provide general law enforcement, traffic control, civil disturbance support, and security support as needed.

Provide support to ESF 8 for fatality management for scene security, access, and locating human remains.

Provide security at MTA and Port Authority facilities.

Provide assistance to local medical examiners and coroners in location, identification, and disposition of the deceased victims of a disaster.

Document all responder activities, exposures, and equipment usage/loss.

Demobilize ESF and transition to RSF.

ESF 15: External Affairs**Strategy - To coordinate the release of public information and warning.**

Activate full ESF.

Assess status of public notification and warning systems.

Identify and summarize releases of public information provided from known sources.

Provide assessment of public information to ESF 5.

Coordinate release of public messaging through IPAWS, NWS broadcasting, and other available sources, as needed.

Issue emergency alerts through press releases and social media.

Obtain health guidelines from ESF 8/DOH PIO, if warranted.

Coordinate with Federal ESF 15 for operational planning integration.

Establish (or support) a Joint Information Center (JIC) with Federal ESF 15. Provide staff as required.

Coordinate the release of information from across all State agencies, at the direction of the Command Element and the Executive Chamber's Office of Communication.

Release guidance on safety issues for people and pets, along with locations of mass care/shelter sites.

Release information on disaster assistance, call centers, recovery centers, and help lines.

Release information on hazardous waste disposal, food spoilage, and other personal safety concerns.

Coordinate public information with contiguous states regarding evacuees.

Establish contact with other State agencies for the release of public information as needed.

Release information on family assistance centers and family reunification.

Provide information on re-entry/return to affected area(s).

Demobilize the JIC as appropriate.

Document all releases of information, reports, and briefing documents produced by ESF 15.

Demobilize the ESF; continue to provide information as required in support of Joint Field Office (JFO).

Attachment 4

List of References Used in Plan Development

The following is a list of State and Federal documents that were used in the preparation of this Annex:

1. The New York State Comprehensive Emergency Management Plan:

Volume 1: State All-Hazard Mitigation Plan

Volume 2: Response and Short-Term Recovery

- Emergency Support Functions #1-13, #15 Annexes

Volume 3: Long-Term Recovery Plan

2. New York City Coastal Storm Plan

3. Nassau County Coastal Storm Plan

4. Suffolk County Coastal Storm Plan

5. Westchester County Coastal Storm Plan

6. National Infrastructure Protection Plan, 2013.

7. National Response Framework; June, 2016.

8. Homeland Security Presidential Directive (HSPD) # 5 – Management of Domestic Incidents; February, 2003.

9. Homeland Security Presidential Directive (HSPD) # 7 – Critical Infrastructure Identification, Prioritization and Protection; December, 2003.

10. *A Failure of Initiative*, Select Bipartisan Committee, February, 2006.

11. *Federal Response to Katrina: Lesson Learned*, The White House, 2006.

Attachment 5

***Protective Action Decision Timeline in New York City, and Nassau,
Suffolk, Westchester Counties***

I. New York City

1. EOC activation and declaration are predicated on storm progression, status of operations, and protective actions required.

2. Evacuation: Based on Category of storm and potential storm surge:

Zone A – Islands and all areas inundated by Category 1 storm surge

Zone B – all areas inundated by Category 2 (and some 3) storm surge

Zone C – all areas inundated by Category 3 and vulnerable to Category 4 storm surge

96 – 72 hours - Monitoring and preparedness activities

- Medical Transportation Resource Clearinghouse and Target Evacuation Operations to stage or deploy resources for evacuation of healthcare and special need evacuation in inundation zones;
- Prepare special needs shelters for activation;
- Initiate contact with utilities; advise of customers on life-sustained equipment;
- Coordination of transportation resources and establish evacuation routes as per plans
 - Mass transit (MTA - all divisions, LIRR, taxis);
 - Initiate contact with schools for bus availability.

72 hours: Disseminate notification for individuals with special needs and healthcare facilities; MTRC to activate special needs evacuation plan for facilities and populations within surge zones.

72 – 48 hours

- **State of Emergency Declaration**
- JIC established;
- Mass transit evacuation plans implemented at all transit areas – including bridges and tunnels – protocols in place for rerouting and reorganizing transportation services;
- Shelter systems and evacuation centers activated beyond at-risk areas;
- Evacuation order and press release for healthcare facilities, special needs, and nursing homes in inundation zones;
- Evacuation management plans activated; evacuation routes marked and accessible;
- US Coast Guard contacted for drawbridge closure timeline;
- Notification: Public notification of storm and possible evacuation within areas at-risk of or vulnerable to storm surge.

48 – 36 hours

- Targeted Evacuation Operations (FDNY) activated and deployed to Coney Island and the Rockaway Peninsula fire stations - transport special needs and healthcare populations;
- Assessment of transportation routes to determine need for contra-flow of Route 878 or traffic directional changes to support outgoing traffic.

36 – 24 hours

- Preparation for mass transit shutdown and reactivation;
- Evacuation routes evaluated for route changes or transportation reorganization;
- Utility companies contacted for operational status and in city generation capabilities;
- School closure.

24 – 6 hours

- Open general population shelters beyond surge zones as per plan;
- Evacuation and sheltering of general population from remaining vulnerable surge zones;
- Dissemination of evacuation orders to public within inundation zones.

6 – 3 hours

- Secure shelters;
- Secure transportation resources;
- Announce refuges of last resort;
- Termination of operations – mass transit, evacuation, infrastructure and road closures, utilities as per protocol.

3 – 0 hours

- Cease all operations;
- Utilities shutdown;
- Cease public transportation;
- Closure of transportation infrastructure;
- Divert evacuees to refuges of last resort;
- Termination of essential services.

**NYC Coastal Storm Activation Playbook:
Pre-Storm Decision-Making Timeline Worksheet**

Hours to Zero Hour	Date and Time* (X/XX, XXXX HRS)	Action
-120		Convene Costal Storm Steering Committee
		Finalize shelter facility list
		Initiate checks of DOE School Food supplies
-117		Issue mobilize orders for Interim Flood Protection Measures (IFPM)
		Open LC
-108		Issue first notification (“alert”) to shelter staff
-96		All CSP Task Forces and Functions on alert
		Order Generator Power Pack for SMNS and DAFN sites
		Validate HCF shelter-in-place requests
		City Emergency Declaration/Activate DDC Contracts
-84		Open HEC
		Open UORC/SCC
		Issue second notification (“stand-by”) to shelter staff
		Mobilize ESS and issue additional shelter support services notifications (no later than -84 HRS)
		Confirm fixed Zero Hour
-72		HCF Evacuation Order takes effect
		Begin deploying IFPM just-in-time measures
-60		Issue third notification (“deployment”) to shelter staff
		Deploy ESS and issue additional shelter support services notifications (no later than -60 HRS)
-48		Evacuation Order and/or Recommendation takes effect
		Shelter staff arrive at Evacuation Centers
		Evacuation Centers open to the public
		Mobilize CDP staff and supplies
		HEO begins
		Schools close
-8		Subway service begins to curtail
-6		Bus service begins to curtail; HEO ceases
0		Zero hour – evacuation activities cease
<i>To be completed by the EOC Planning Section in advance of the Commissioner Conference Call</i>		

*Timing of actions is suggested and may be altered as necessary

II. Nassau County

Emergency Operations Center (EOC) Activation Levels (storm dependent criteria):

- Level I 48 hours or when a Hurricane Watch is issued
- Level II 36 hours or when a Hurricane Warning is issued (State OEM requested to EOC)
- Level III 24 hours or when evacuation commences

Ongoing Activities

1. Communications with State, County Executives and agencies, Local governments, RELT, ARC, Port Authority and NYC, Westchester, and Suffolk County OEMs.
2. Monitor and support operations.
3. Press briefings and notifications throughout storm event; 1st briefing with County Executive at 72 hours.

120 – 96 hours

- Initial contacts to State, County, Local, RELT, ARC, RACES, and CERT;
- County and jurisdictional public works departments to survey evacuation routes for accessibility and status of refuges of last resort.

72 – 48 hours

- Joint information system established within a County MAC;
- Contact initiated with school superintendents;
- Long Island Bus Para-transit to suspend regular service at start of 48-hour period for special needs evacuation within surge areas;
- Critical transportation accessibility monitored at key locations along evacuation routes as per plan; evacuation routes established with assets pre-staged;
- ARC to establish out of surge shelters. *(For school-based emergency shelters, BOCES superintendents will be liaisons between school officials and ARC.);*
- Shelter supply trailers mobilized from surge zones, special needs shelter preparation.
** Appendix G States it will take “upwards of 48 hours” to evacuate the south shore’s vulnerable population (those not needing assistance).

48 – 36 hours - Level I activation - Watch

- **State of Emergency Declaration**
- Evacuation order for healthcare facilities, special needs, and nursing homes within surge zones;
- Long Island Para-transit activated;
- Long Island Bus to curtail regular service to commence emergency transport at 36 hours;

- Evacuation management plan implemented within surge areas: ensure route accessibility, traffic control; conduct door-to-door evacuation notifications, provide security in evacuated areas, and changes in traffic patterns;
- Request NY State Police to facilitate spontaneous evacuation on NYS Parkways;
- Pet Safe Coalition shelters activated;
- School closures.

36 – 24 hours - Level II activation - Warning

- General population evacuation of barrier beaches and coastal communities;**
- *Long Beach and Far Rockaways will be evacuated to Valley Stream Train Station*
- Long Island Bus begins emergency stops along evacuation routes to Nassau Community College;
- Evacuation and closure of park and recreational areas;
- Utilities contacted regarding time frame for service shutdown.

24 hours - Level III activation

- General population evacuation of remaining surge prone areas;
- Relocation of affected police and fire departments from surge areas – open shelters for first responders;
- Evacuation of non-essential government personnel from surge areas;
- Shutdown places of assembly.

12 hours

- Long Island Railroad contacted to determine service shutdown plans. (LIRR protocol is 8 hours prior to arrival of 39 mph sustained winds.);
- Announce and divert evacuees to refuges of last resort;
- RACES activated;
- Shutdown and relocation of County assets in surge zones;
- Press briefings on shut down of government operations and evacuation.

Arrival of 55 mph winds

- Cessation of evacuation and all exterior operations;
- Secure EOC and all County assets.

III. Suffolk County

Emergency Operations Center (EOC) Activation Levels (storm dependent criteria)

<u>Limited</u>	72 - 48 hours
<u>Full</u>	48 - 0 hours

Ongoing Activities

1. Communications with State, Local, County governments, ARC, hospitals, transportation, and utilities
2. Communications with the RELT
3. Press releases, media advisories and emergency instructions

120 – 72 hours

- Monitoring, initial alerts and briefings
- Contacts: Nassau OEM, New York City OEM, Port Authority, RELT to coordinate objectives
 - Private bus companies – availability for evacuation
 - DPW mobilized with request for NYSDOT to assess evacuation route accessibility

72 – 48 hours - Limited EOC Activation

- Halt incoming ferries to Fire Island;
- County Dept. of Health Services to begin preparations for evacuation of healthcare facilities, special needs, and nursing homes in inundation zones;
- American Red Cross activated for sheltering preparations;
- Joint Emergency Evacuation Program (JEEP) notified for evacuation of prequalified special needs individuals;
- Pre-stage police, DPW, and resource assets for traffic management along critical transportation segments used as evacuation routes (includes portions of and intersections along Sunrise and Montauk Highways, Route 27, Route 111, Route 25, and the ferry service from Fire Island);
- Initiate contact with school superintendents and utilities;
- Fire Island evacuation. Notifications to LIRR and Ferry Operators.

48 – 36 hours

- **By 48 hours: State of Emergency Declaration**
- JIC established;
- Evacuation order for healthcare facilities, special needs, and nursing homes in inundation zones;
- Press release advising of evacuation routes, pick-up points for evacuees with no transportation and public information call line;
- Evacuation Management Plan implemented – road closures, traffic control, detours;
- LIRR to activate Coastal Storm Evacuation Train Plan;
- School closures.

By 36 hours, Initiate or support Town initiatives to recommend or order Fire Island evacuation.

36 – 24 hours - Full EOC activation

- Staged zone evacuation for general population in inundation zones beginning with Zone 1;
- Activation of Bus Evacuation Pick-up Points Plan for general population with no means of transportation from inundation zones;
- Public notification of evacuation and transportation routes, emergency warnings and instructions;
- Pet-friendly shelters open;
- County Parks and Recreation Department to evacuate and close recreation areas;
- Utilities contacted for planned service shutdown.

24 – 12 hours - Full EOC Activation - Federal, State, County, Local, ESF agency representatives

- Evacuation orders for general population from other inundation zones;
- Evacuation of non-essential government personnel from inundation zones;
- Relocation plans for PD and fire departments located in storm surge zones;
- Shutdown places of assembly;
- Shutdown & relocation of County assets in storm surge zones;
- County-run shelters activated;
- RACES activated.

12 hours - **Arrival of 55 mph winds**

- Cease all evacuations;
- Divert evacuees to refuges of last resort;
- Cease all exterior operations;
- Secure EOC, County assets and equipment.

IV. Westchester County

Emergency Operations Center (EOC) Activation Levels (storm dependent criteria):

Level III	72 - 48 hours - Preliminary
Level II	48 - 36 hours - Partial
Level I	36 - 24 hours - Full

Ongoing Activities

1. Maintain contact and coordination with State, County, Local, other municipalities, and agencies;
2. Press briefings, public information, and emergency instructions through JIC;
3. Monitor roadways, airports, and other transportation routes;

4. Monitor and support all operations, including but not limited to sheltering and evacuation of healthcare facilities, special need populations and general population within surge areas.

- With Category 3 storms: Evacuation will begin when storm is off the South Carolina coast; NYS

120 Hours

- Storm monitoring and dissemination of information
- Initiate pre-planning activities including review of plans and procedures and operational readiness

96-72 Hours

- Storm monitoring and dissemination of information
- Communication with Region, County government, non-county response partners and municipal officials, including D/AFN stakeholders and select special facilities
- County departments initiate readiness activities:
 - Assess potential incident impact on their daily operations
 - Evaluate the status of personnel and equipment that will be needed for incident response / evacuation
- Initiate public communications planning
- Initiate mass care planning and transportation planning
- Initiate healthcare facility planning including scheduled conference calls
- Initiate cost tracking

72 – 48 Hours - Level III activation

- WCEOC Activated – Limited:
 - Operational during normal business hours but on call 24/7
- Continue storm monitoring and dissemination of information
- Continue intergovernmental and interagency conference calls
- Continue mass care planning and transportation planning
- Disseminate public preparedness information
- Plan for potential evacuation operations for health care facilities and people with disabilities and others with access and functional needs

48 – 36 Hours

- WCEOC Activated – Partial:
- Key personnel may be required for a period of time while others are on call, 24/7
- Continue storm monitoring and dissemination of information
- Continue intergovernmental and interagency conference calls; including D/AFN stakeholders, select special facilities, and other partners
- Special facility evacuation monitoring
- Mass care readiness – compile list of shelter locations in cooperation with Red Cross and local municipalities
- Initial consideration of:
 - Declaration of State of Emergency
 - Emergency protective measures
 - Pre-event Presidential Declaration request to NYS

- Facilitate information sharing with United Way-211 Call Center

36 – 0 Hours

- WCEOC Activated – Full:
- EOC becomes fully staffed and operational until directed otherwise
- Continue storm monitoring and dissemination of information
- Intergovernmental coordination conference calls, including D/AFN stakeholders, select special facilities, and other partners
- Continued discussion and coordinated planning for:
 - Declaration of State of Emergency
 - Emergency protective measures
 - Pre-event Presidential Declaration request to NYS
- Cessation of non-essential services
- Coordinate timing and support cessation of mass transportation activities and determine availability of buses and paratransit vehicles for evacuation support
- Monitor local shelter and mass care operations

24- 0 Hours

- Continue storm monitoring and dissemination of information
- Continue Intergovernmental coordination conference calls, including D/AFN stakeholders, select special facilities, and other partners
- Monitor evacuation and emergency protective measures
 - Shelters /Evacuation Centers open for public use
 - Support, as needed, public notification of Emergency Orders
 - Monitor local evacuation and mass care operations

0 Hours

- Arrival of sustained Tropical Storm Force Winds (34kts/39mph) marks cessation of operations due to the potential for unsafe working conditions for responders
- Continue storm monitoring and dissemination of information
- Personnel, evacuees, and any non-evacuated residents advised to relocate in to storm secure locations

+0-2 Days

- WCEOC Activated – Full:
- EOC fully staffed and operational until directed otherwise
- Continue monitoring and dissemination of information
- Re-establish communications with Municipal EOCs, hospitals, etc.
- Continue Intergovernmental coordination conference calls; including D/AFN stakeholders, select special facilities, and other partners
- Gather information relating to preliminary assessments of storm impacts:
 - Identify areas of the County without electricity
 - Status and function of water and sewer systems
 - Critical infrastructure damage, including communications systems, bridges and tunnels and roadways
 - Volume and location of storm-related debris
 - Status of private sector assets such as grocery stores and gas stations

- Support the restoration of essential public health and safety services
- Support the restoration interrupted utility and other essential services
- Support local mass care operations, upon request

+2-14 Days

- WCEOC Activated – Partial:
- EOC staffed and operation with key personnel as appropriate to the event impacts while others are on call, 24/7
- Continue monitoring and dissemination of information as needed; including D/AFN stakeholders, select special facilities, and other partners
- Continue Intergovernmental coordination conference calls as needed
- Support the restoration of essential public health and safety services
- Support the restoration interrupted utility and other essential services
- Support local mass care operations, upon request
- Support debris management operations
- Collect Initial Damage Assessment data for report to NYS OEM
 - Government response and recovery costs
 - Infrastructure damage
 - Business and residential damage
- Facilitate disaster recovery activities such as assistance programs and centers
- Demobilize EOC operations as appropriate to the event

+15 Days until Concluded

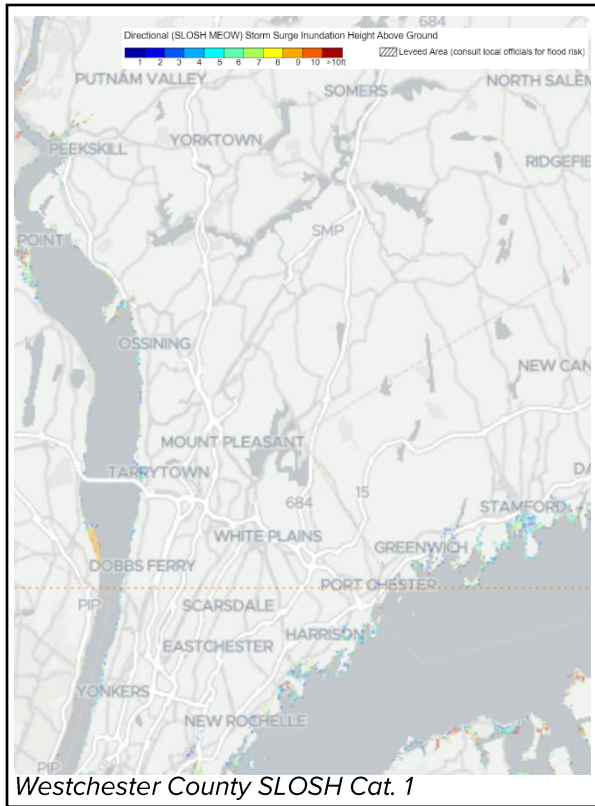
- Work with Federal Emergency Management Agency and State OEM to coordinate recovery programs as appropriate for the event; these may include:
 - Public Assistance
 - Individual Assistance
 - Small Business Administration assistance.
- Support the establishment of a Long-Term Recovery Coalition
- Document event damages and compile event history and County response
- Recover deployed assets and restock consumed supplies and materials

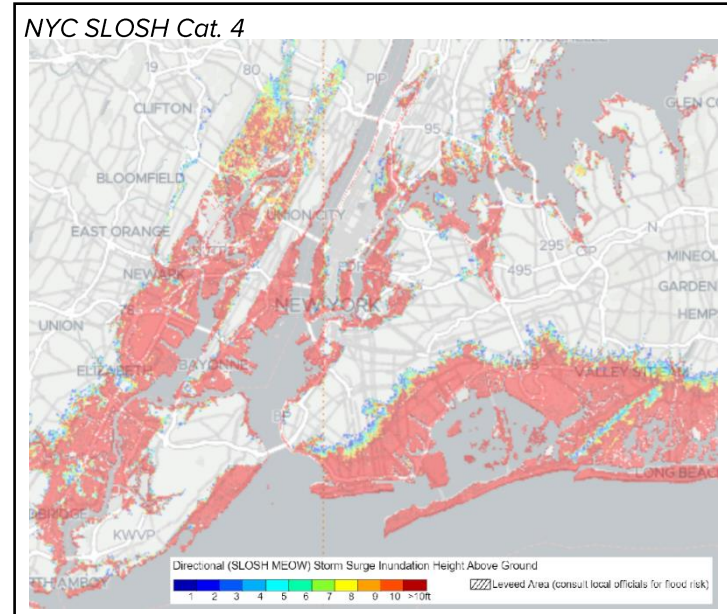
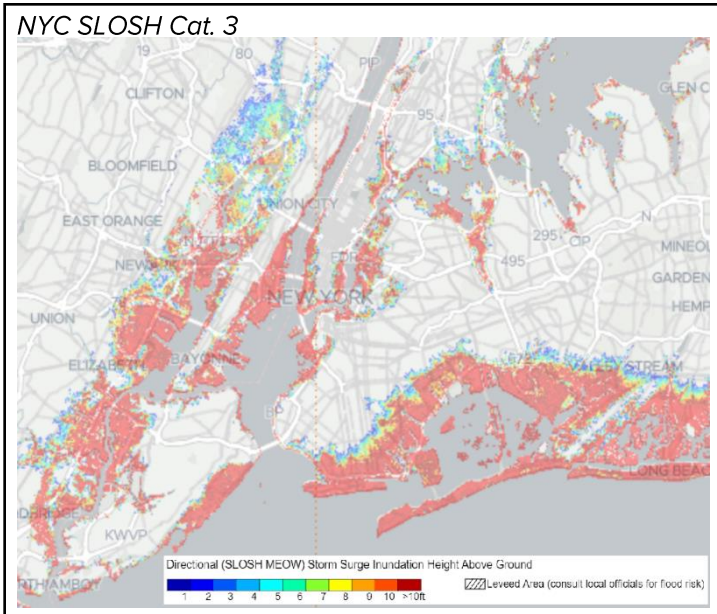
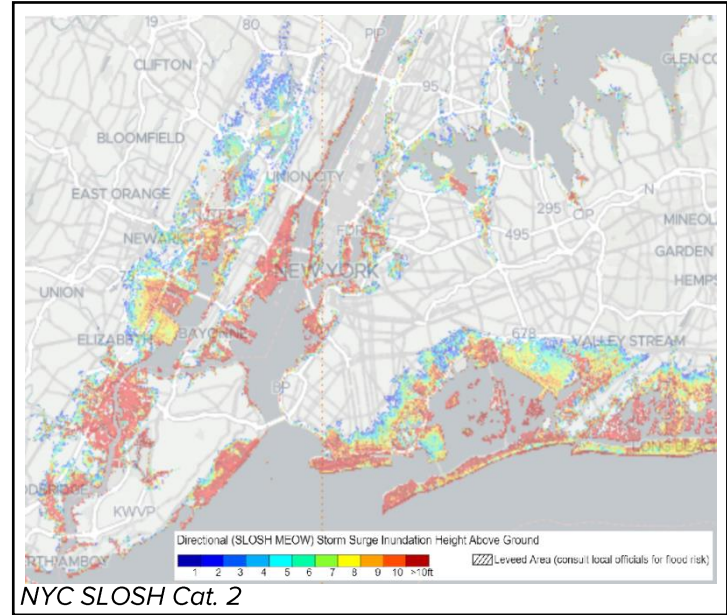
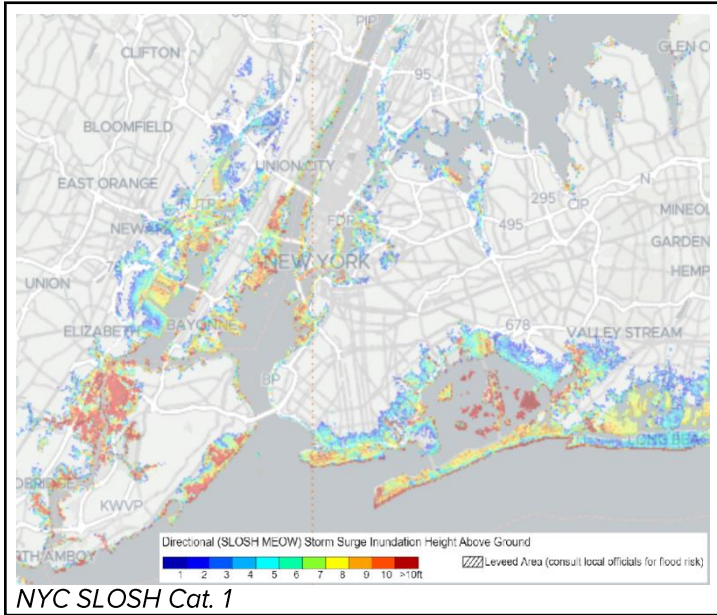
Post Incident Analysis

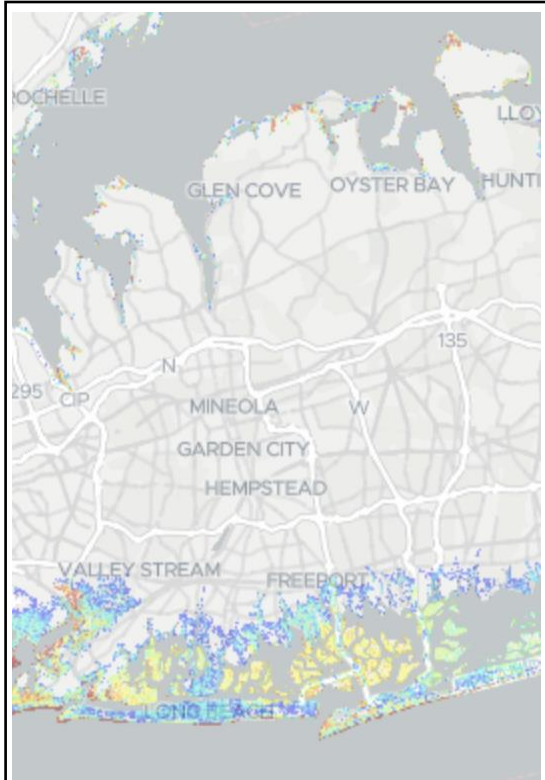
- Develop schedule to conduct post-incident analysis
- Collect and analyze feedback from local, County, and non-County partners
- Develop post-incident analysis including identifying areas of strength, areas for improvement and recommended actions
- Review and revise plans, procedures, and guidelines as appropriate

Attachment 6

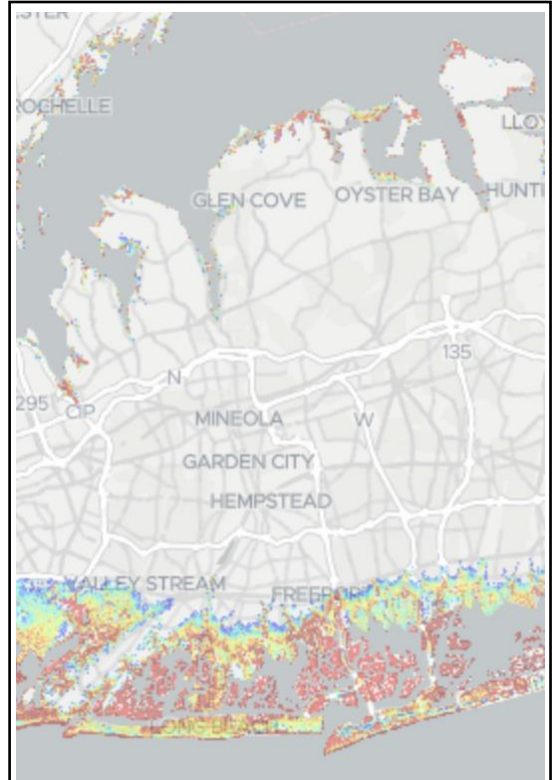
***Hurricane SLOSH Maps, Evacuation Zones, Shelter Locations, Points of
Distribution for New York City, and Nassau, Suffolk, Westchester
Counties***



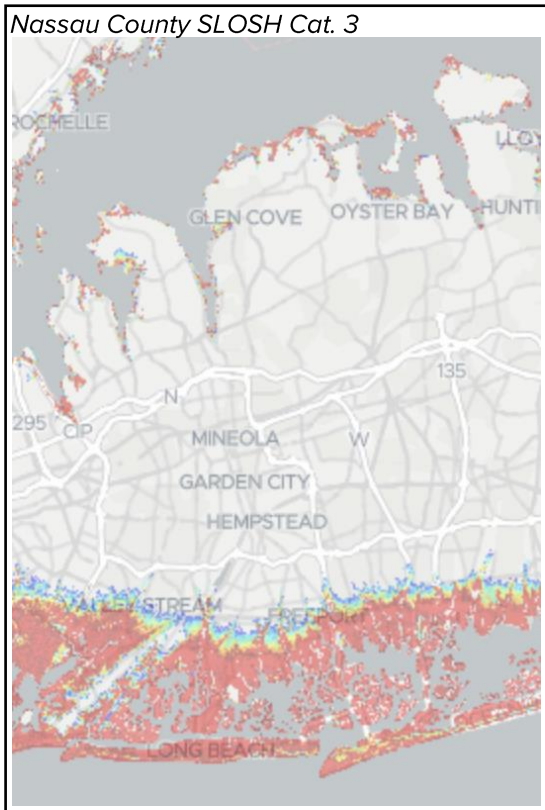




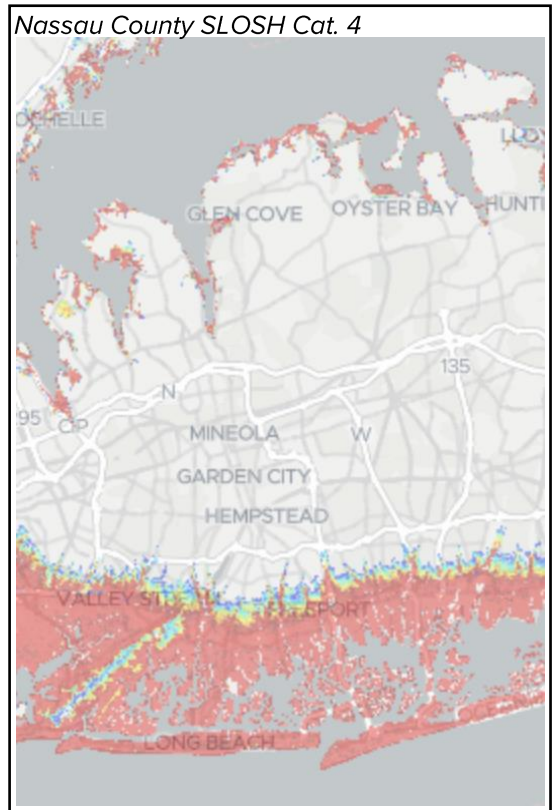
Nassau County SLOSH Cat. 1



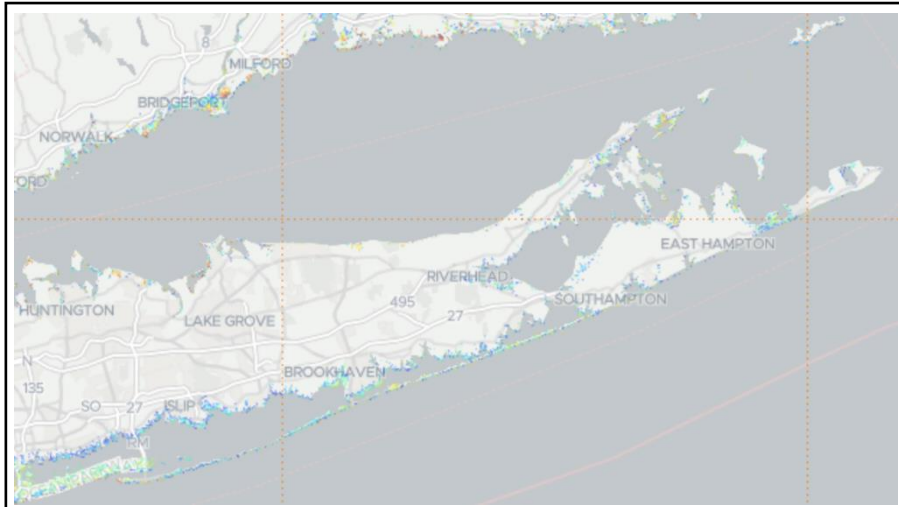
Nassau County SLOSH Cat. 2



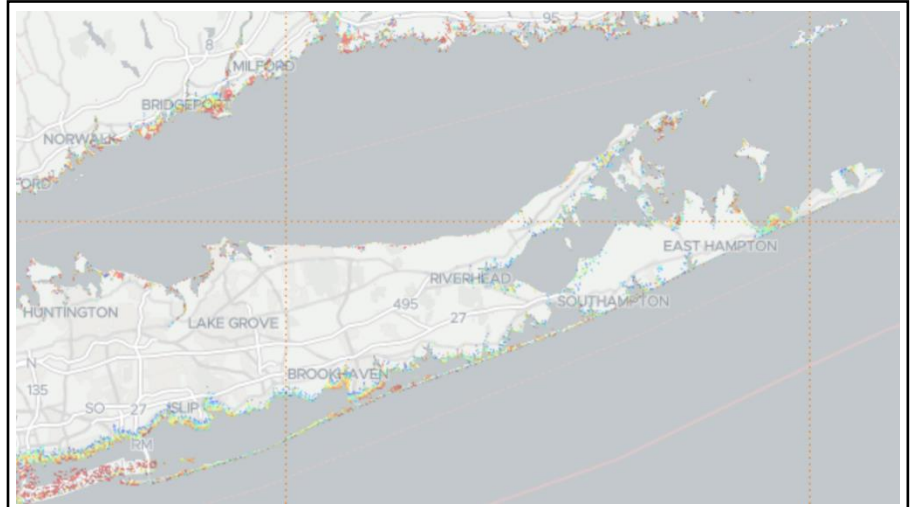
Nassau County SLOSH Cat. 3



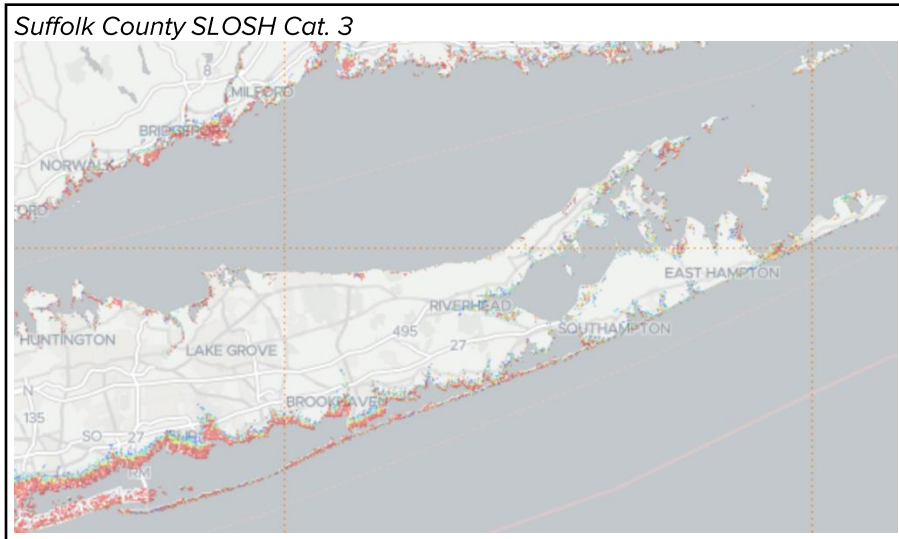
Nassau County SLOSH Cat. 4



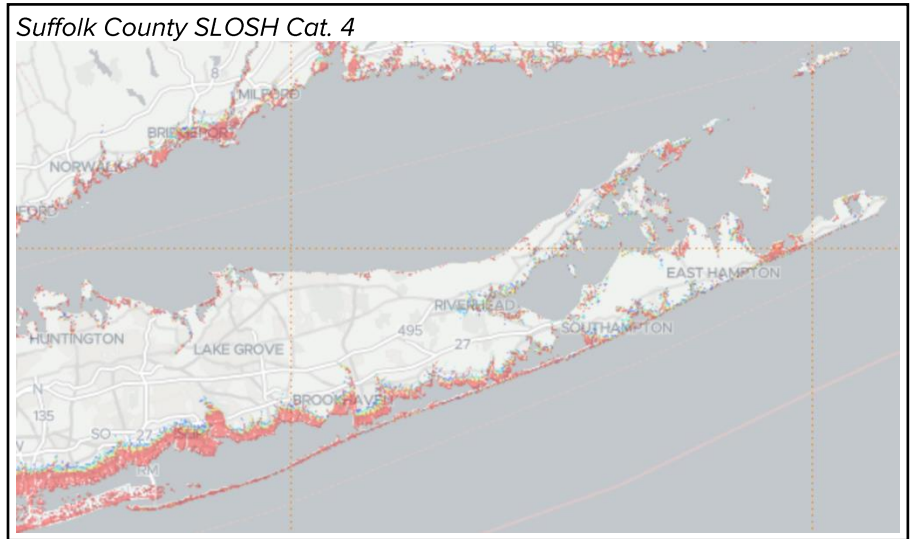
Suffolk County SLOSH Cat. 1



Suffolk County SLOSH Cat. 2



Suffolk County SLOSH Cat. 3



Suffolk County SLOSH Cat. 4

Attachment 7

State RSF Construct

Recovery Support Functions

Federal RSF and Mission Scope

New York State Recovery Support Function Complement (Updated 02/2021)

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	
	g	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z
Community Planning and Capacity Building: Supporting and building recovery capacities and community planning resources needed to effectively plan for, manage and implement disaster recovery activities.				X		X	X	X							X										X		X
Economic: Sustain and/or rebuild businesses and employment, and develop economic opportunities that result in sustainable and economically resilient communities after large-scale and catastrophic incidents				X		X	X	X								X		X							X		X
Health and Social Services: Assist locally-led recovery efforts in the restoration of the public health, health care and social services networks to promote the resilience, health and well-being of affected individuals and communities.	X	X		X		X		X					X	X	X					X							X
Housing: Address pre/post-disaster housing issues, coordinate and facilitate resources and activities to assist in the rehabilitation/reconstruction of destroyed /damaged housing and development of other new accessible, permanent housing.	X	X					X	X								X		X							X	X	
Infrastructure Systems: Support all levels of government and other infrastructure owners and operators in their efforts to achieve recovery goals relating to the public engineering of the Nation's infrastructure systems.			X	X	X		X		X	X				X	X	X			X	X					X	X	X
Natural and Cultural Resources: Assist all levels of government and communities address long-term environmental and cultural resource recovery needs after large-scale and catastrophic incidents.				X		X		X																X			X

Attachment 8

Glossary and List of Acronyms

I. Glossary

- Advisory:** Official information issued by tropical cyclone warning centers describing all tropical cyclone watches and warnings in effect along with details concerning tropical cyclone locations, intensity and movement, and precautions that should be taken. Advisories are also issued to describe: (a) tropical cyclones prior to issuance of watches and warnings and (b) subtropical cyclones.
- Best Track:** A subjectively smoothed representation of a tropical cyclone's location and intensity over its lifetime. The best track contains the cyclone's latitude, longitude, maximum sustained surface winds, and minimum sea-level pressure at 6-hourly intervals. Best track positions and intensities, which are based on a post-storm assessment of all available data, may differ from values contained in storm advisories. They also generally will not reflect the erratic motion implied by connecting individual center fix positions.
- Center:** Generally speaking, the vertical axis of a tropical cyclone, usually defined by the location of minimum wind or minimum pressure. The cyclone center position can vary with altitude. In advisory products, refers to the center position at the surface.
- Cyclone:** An atmospheric closed circulation rotating counterclockwise in the Northern Hemisphere and clockwise in the Southern Hemisphere.
- Direct Hit:** A close approach of a tropical cyclone to a particular location. For locations on the left-hand side of a tropical cyclone's track (looking in the direction of motion), a direct hit occurs when the cyclone passes to within a distance equal to the cyclone's radius of maximum wind. For locations on the right-hand side of the track, a direct hit occurs when the cyclone passes to within a distance equal to twice the radius of maximum wind. Compare indirect hit, strike.
- Extratropical:** A term used in advisories and tropical summaries to indicate that a cyclone has lost its "tropical" characteristics. The term implies both poleward displacement of the cyclone and the conversion of the cyclone's primary energy source from the release of latent heat of condensation to baroclinic (the temperature contrast between warm and cold air masses) processes. It is important to note that cyclones can become extratropical and still retain winds of hurricane or tropical storm force.

Eye:	The roughly circular area of comparatively light winds that encompasses the center of a severe tropical cyclone. The eye is either completely or partially surrounded by the eyewall cloud.
Eyewall/ Wall Cloud:	An organized band or ring of cumulonimbus clouds that surround the eye, or light-wind center of a tropical cyclone. Eyewall and wall cloud are used synonymously.
Flash Flood Warning:	Means a flash flood is imminent; take immediate action to protect life and property.
Flash Flood Watch:	Means a flash flood is possible in the area; stay alert.
High Wind Warning:	A high wind warning is defined as 1-minute average surface winds of 35 kt (40 mph or 64 km/hr.) or greater lasting for 1 hour or longer, or winds gusting to 50 kt (58 mph or 93 km/hr.) or greater regardless of duration that are either expected or observed over land.
Hurricane:	Pronounced rotary circulation, constant wind speed of 74 miles per hour (64 Knots) or more.
Hurricane Conditions:	Winds of 74 miles per hour (64 Knots) or greater and/or dangerously high tides and waves.
Hurricane Local Statement:	A public release prepared by local National Weather Service offices in or near a threatened area giving specific details for its county/parish warning area on (1) weather conditions, (2) evacuation decisions made by local officials, and (3) other precautions necessary to protect life and property.
Hurricane Season:	The portion of the year having a relatively high incidence of hurricanes. The hurricane season in the Atlantic, Caribbean, and Gulf of Mexico runs from June 1 to November 30. The hurricane season in the Eastern Pacific basin runs from May 15 to November 30. The hurricane season in the Central Pacific basin runs from June 1 to November 30.
Hurricane Warning:	A warning that sustained winds 64 kt (74 mph or 119 km/hr.) or higher associated with a hurricane are expected in a specified coastal area in 36 hours or less. A hurricane warning can remain in effect when dangerously high water or a combination of dangerously high water and exceptionally high waves continue, even though winds may be less than hurricane force.

Hurricane Watch:	An announcement for specific coastal areas that hurricane conditions are possible within 48 hours.
Indirect Hit:	Generally, refers to locations that do not experience a direct hit from a tropical cyclone but do experience hurricane force winds (either sustained or gusts) or tides of at least 4 feet above normal.
Landfall:	The intersection of the surface center of a tropical cyclone with a coastline. Because the strongest winds in a tropical cyclone are not located precisely at the center, it is possible for a cyclone's strongest winds to be experienced over land even if landfall does not occur. Similarly, it is possible for a tropical cyclone to make landfall and have its strongest winds remain over the water.
Nor'easter	A strong low-pressure system that affects the Mid-Atlantic and New England States. It can form over land or over the coastal waters. These winter weather events are notorious for producing heavy snow, rain, and tremendous waves that crash onto Atlantic beaches, often causing beach erosion and structural damage. Wind gusts associated with these storms can exceed hurricane force in intensity. A nor'easter gets its name from the continuously strong northeasterly winds blowing in from the ocean ahead of the storm and over the coastal areas.
Probability of Tropical Cyclone Conditions:	The probability, in percent, that the cyclone center will pass within 50 miles to the right or 75 miles to the left of the listed location within the indicated time period when looking at the coast in the direction of the cyclone's movement.
Radius of Maximum Winds:	The distance from the center of a tropical cyclone to the location of the cyclone's maximum winds. In well-developed hurricanes, the radius of maximum winds is generally found at the inner edge of the eyewall.
Storm Surge:	An abnormal rise in sea level accompanying a hurricane or other intense storm, and whose height is the difference between the observed level of the sea surface and the level that would have occurred in the absence of the cyclone. Storm surge is usually estimated by subtracting the normal or astronomic high tide from the observed storm tide.
Sub-Tropical Cyclone:	A non-frontal low-pressure system that has characteristics of both tropical and extratropical cyclones. Like tropical cyclones, they are non-frontal, synoptic-scale cyclones that originate over tropical or subtropical waters and have a closed surface wind circulation about a well-defined center. In addition, they have organized moderate to deep convection, but lack a central dense

overcast. Unlike tropical cyclones, subtropical cyclones derive a significant proportion of their energy from baroclinic sources and are generally cold-core in the upper troposphere, often being associated with an upper-level low or trough. In comparison to tropical cyclones, these systems generally have a radius of maximum winds occurring relatively far from the center (usually greater than 60 n mi), and generally have a less symmetric wind field and distribution of convection.

Sub-Tropical Depression:

A subtropical cyclone in which the maximum sustained surface wind speed (using the U.S. 1-minute average) is 33 kt (38 mph or 62 km/hr.) or less.

**Sub-Tropical Storm:
Small Craft Cautionary Statements:**

A subtropical cyclone in which the maximum sustained surface wind speed (using the U.S. 1-minute average) is 34 kt (39 mph or 63 km/hr.) or more. When a tropical cyclone threatens a coastal area, small craft operators are advised to remain in port or not to venture into open sea.

Tornadoes:

A violently rotating column of air, usually pendant to a cumulonimbus, with circulation reaching the ground. It nearly always starts as a funnel cloud and may be accompanied by a loud roaring noise. On a local scale, it is the most destructive of all atmospheric phenomena.

Tropical Cyclone:

A warm-core non-frontal synoptic-scale cyclone, originating over tropical or subtropical waters, with organized deep convection and a closed surface wind circulation about a well-defined center. Once formed, a tropical cyclone is maintained by the extraction of heat energy from the ocean at high temperature and heat export at the low temperatures of the upper troposphere. In this they differ from extratropical cyclones, which derive their energy from horizontal temperature contrasts in the atmosphere (baroclinic effects).

Tropical Depression:

A tropical cyclone in which the maximum sustained surface wind speed (using the U.S. 1-minute average) is 33 kt (38 mph or 62 km/hr.) or less.

Tropical Disturbance:

A discrete tropical weather system of apparently organized convection -- generally 100 to 300 nmi in diameter -- originating in the tropics or subtropics, having a non-frontal migratory character, and maintaining its identity for 24 hours or more. It may or may not be associated with a detectable perturbation of the wind field

Tropical Storm:

A tropical cyclone in which the maximum sustained surface wind speed (using the U.S. 1-minute average) ranges from 34 kt (39 mph or 63 km/hr.) to 63 kt (73 mph or 118 km/hr.).

- Tropical Storm Watch:** An announcement that sustained winds of 34 to 63 knots (39 to 73 mph or 63 to 118 km/hr.) are *possible* within the specified area within 48 hours in association with a tropical, subtropical, or post-tropical cyclone.
- Tropical Storm Warning:** A warning that sustained winds within the range of 34 to 63 kt (39 to 73 mph or 63 to 118 km/hr.) associated with a tropical cyclone are expected in a specified coastal area within 36 hours or less.
- Tropical Wave:** A trough or cyclonic curvature maximum in the trade-wind easterlies. The wave may reach maximum amplitude in the lower middle troposphere.

II. List of Acronyms

APHIS	Animal and Plant Health Inspection Service
BLS	Basic Life Support
CDC	U.S. Centers for Disease Control
CEMP	State Comprehensive Emergency Management Plan
CI/KR	Critical Infrastructure and Key Resources
COOP	Continuity of Operations Planning
CSCIC	Cyber Security and Critical Infrastructure Coordination
DHS	Department of Homeland Security
DMAT	Disaster Medical Assistance Teams
DMNA	Division of Military and Naval Affairs
DMORT	Disaster Mortuary Services
DOCCS	Department of Corrections and Community Supervision
DOD	Department of Defense
DOT	Department of Transportation
DPC	State Disaster Preparedness Commission
DPS	Department of Public Service
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EMAC	Emergency Management Assistance Compact
EPA	U.S. Environmental Protection Agency
ERT-A	Federal Emergency Response Team-A
ESF #1	Emergency Support Function (Transportation)
ESF #2	Emergency Support Function (Communications)
ESF #3	Emergency Support Function (Public Works and Engineering)
ESF #4	Emergency Support Function (Firefighting)
ESF #5	Emergency Support Function (Information and Planning)
ESF #6	Emergency Support Function (Mass Care, Emergency Assistance, Housing and Human Services)
ESF #7	Emergency Support Function (Logistics)
ESF #8	Emergency Support Function (Public Health and Medical Services)
ESF #9	Emergency Support Function (Search and Rescue)
ESF #11	Emergency Support Function (Agriculture and Natural Resources)
ESF #12	Emergency Support Function (Energy)
ESF #13	Emergency Support Function (Public Safety and Security)
ESF #15	Emergency Support Function (External Affairs)
FEMA	Federal Emergency Management Agency
HAN	NYS DOH Health Alert Network
HHS	U.S. Department of Health and Human Services
HSPD #5	Homeland Security Presidential Directive-5; NIMS
IA	Individual Assistance

ICS	Incident Command System
IMT	Incident Management Team
ITS	NYS Office of Information Technology Services
JIC	Joint Information Center
LHD	Local Health Department
MAC	Multi-Agency Coordination
MASU	Multi-Agency Situation Unit
MERC	Medical Emergency Response Cache
MI	Managed Inventory
NDMS	National Disaster Medical System
NFPA 1600	Standard on Disaster/Emergency Management and Business Continuity
NIMS	National Incident Management System
NIIMS	National Interagency Incident Management System
NIPP	National Infrastructure Protection Plan
NRF	National Response Framework
NYSERDA	NYS Energy Research and Development Authority
OMH	NYS Office of Mental Health
OSTP	Office of Science and Technology Programs
OTDA	Office of Temporary and Disability Assistance
PA	Public Assistance
PFO	Principal Federal Official
POD	Point of Dispensing
PPE	Personal Protective Equipment
State OEM	State Office of Emergency Management
State EOC	State Emergency Operations Center
SNS	Strategic National Stockpile
SSA	Sector Specific Agencies
USAR	Urban Search and Rescue
USDA	U.S. Department of Agriculture
USPHS	U.S. Public Health Service
WHO	World Health Organization
WPU	NYS DEC Wildlife Pathology Unit

New York State Comprehensive Emergency Management Plan

Pandemic Annex



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Reviewed by	Page(s)
January 2007	Administrative Change (Gov.)	Planning Section	Title Page
January 2007	GOER HR Guidance Memo	Planning Section	New Attachment (#5)
April 2008	Administrative Change (Gov.)	Planning Section	Title Page
April 2009	Scoping / Risk basis	Planning Section	All
August 2011	Entire Document review	Planning Section	All
October 2011	Entire Document review	Planning Section	All
January 2012	Entire Document review	Planning Section	All
March 2012	Activation Levels	Planning Section	All
January 2013	Annual Review	Planning Section	All
March 2015	Annual Review/Ebola Virus	Planning Section	All
March 2016	Annual Review	Planning Section	All
April 2017	Annual Review	Planning Section	All
March 2018	Changes warranted to address ESF construct, State Operating Levels, SEOC Organizational structure	Planning Section	All pages reviewed and updated as warranted.
January 2019	Annual Review/NYSDOH Update	Planning Section	All
January 2020	Annual Review & EMAP Update	Planning Section	All
June 2020	COVID-19 Response Update	Planning Section	All
March 2021	Annual Review & Update	Planning Section	All

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New York State Comprehensive Emergency Management Plan Pandemic Annex

Section I: General Considerations and Planning Guidelines

A. Introduction

Although remarkable advances have been made in science and medicine during the past century, we are constantly reminded that we live in a universe of microbes that are forever changing and adapting themselves to the human host and the defenses that humans create. While science has developed highly effective vaccines and treatments for many infectious diseases that threaten public health, the United States faces a burden of influenza that results in approximately 36,000 deaths and more than 200,000 hospitalizations each year. In addition to this human toll, seasonal influenza is annually responsible for a total cost of over \$10 billion in the United States¹. The State is constantly monitoring any new, potential threats, such as the coronavirus, which has the potential to spread across the globe.

A pandemic could have a much more severe impact and has the potential to cause more death and illness than any other public health threat². The last three pandemics, in 1918, 1957, and 1968, killed approximately 40 million, 2 million, and 1 million people worldwide, respectively. If a pandemic virus with similar virulence to the 1918 strain emerged today, in the absence of intervention, it is estimated that 1.9 million Americans could die and almost 10 million could be hospitalized over the course of the pandemic, which may evolve over a year or more. While the current COVID-19 pandemic is still evolving, the national death toll is over 500,000 individuals, with expectations of the death toll to continue to increase through Spring 2021. Over the course of the end of 2020 and beginning of 2021, new variants and strains were discovered and were found to be more infectious than past strains.

It should be noted that while many planning efforts on a local, county, State, or Federal level may reference pandemic planning in terms of an influenza outbreak, the same concepts are applicable on all levels to any type of viral outbreak. Throughout this Annex there will be references to pandemic influenza planning documents and guidance, which would be utilized in response to a variety of pandemic situations, such as the COVID-19 pandemic in 2020.

New York State leadership recognizes the threat of a pandemic on the State's population, critical infrastructure sectors, the private sector, the economy, and our way of life. Multiple State planning endeavors are complete with continuing efforts to maintain/update policies, issues, mechanisms, and responsibilities in preparing for and responding to this type of threat and emergency. Furthermore, both agency-specific and multi-agency planning efforts have been completed and will continue to build upon the foundation of the State's collective response.

This Annex outlines New York State's strategy in preparing for, responding to, and recovering from a pandemic in a collective, multi-agency State approach.

¹ Homeland Security Council, *National Strategy for Pandemic Influenza*; November 2005.

² U.S. Department of Health and Human Services, *HHS Pandemic Influenza Plan*; November 2005.

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

The purpose of this Annex is to ensure that the strategic and broad-based nature of the State CEMP is more defined to allow the State to adequately prepare for, respond to, and recover from a pandemic. This will include utilizing individual agency activities as well as the activities of the State's Emergency Support Functions (ESFs), as appropriate. Furthermore, this Annex identifies the key mechanisms in coordinating with the local response and identifies the lines of coordination to interoperate with the Federal response, including the U.S. Department of Health and Human Services (HHS) *Pandemic Influenza Plan*, via the National Response Framework (NRF).

C. Scope

In March 2014, the New York State Department of Health (DOH) released the updated DOH *Pandemic Influenza Response Plan*. This plan was initially released in 2006. The plan takes a comprehensive and in-depth approach for assisting public health officials and healthcare providers in preparing for and responding rapidly and effectively to a pandemic, consistent with national guidance. The scope of this plan focuses on the response activities of State and local public health officials in the public health sector. The primary concepts include, but are not limited to, surveillance and laboratory testing, healthcare planning, infection control, clinical guidelines and vaccine procurement, distribution, and use.

This Annex applies to any pandemic that warrants a response beyond standard agency statutory obligations to a collective State Disaster Preparedness Commission (DPC) response. This Annex applies to all State agencies and authorities that may be directed to respond to such an event and builds upon the process and structure of the State CEMP by addressing unique policies, situations, operating concepts, and responsibilities. Response operations to this type of event will encompass the efforts of the DOH *Pandemic Influenza Response Plan* and utilize existing capabilities of other functional and hazard-specific annexes to the State CEMP. Further, this Annex acknowledges that local and State response capabilities may be exceeded, necessitating the use of Federal agencies and resources.

If a potential novel strain of virus is evident in animals in the State, then State response operations for animal depopulation shall be coordinated as stated in Appendix 1 of the ESF #11 – Agriculture and

D. Situation

Pandemics occur when a novel virus with little or no natural immunity emerges and has the potential to infect a large populous through efficient human to human transmission; resulting in a potential widespread illness. Animals are the most likely reservoir and vector for these emerging viruses. Historically, avian viruses played a role in the last three influenza pandemics. Two of these pandemic-causing viruses remain in circulation and are responsible for the majority of influenza cases each year.³

Advanced planning and preparedness are critical components necessary to mitigate the impact a pandemic might have on the populous. A pandemic is likely to come in waves or phases, each lasting weeks or months. The unique characteristics of a pandemic may strain local, State, and Federal resources. It is unlikely that there will be sufficient personnel, equipment, and supplies to adequately respond to a pandemic that could overwhelm our nation's health and medical capabilities.

In addition, while a pandemic will not cause any "physical" damage, it will ultimately threaten all critical infrastructures by affecting essential personnel in the workplace for a period of time. This warrants planning efforts to consider a strategy that extends well beyond the health and medical sector, to include sustaining critical infrastructure, private-sector activities, the movement of goods and services, and economic and security considerations.

During the 2020-21 Novel Coronavirus (SARS-CoV-2 or COVID-19) response, the tactics used were new and innovative. COVID-19 required a higher level of surveillance, increased testing, social distancing, and mitigation protocols, and approaches to vaccination that had not been performed before. The increase testing had been reached through drive-thru and walk-thru testing sites across the state, a model which the State developed and was the first to deploy. For the first time in recent history, the State of New York employed social distancing and mask-wearing mandates as mitigation efforts, intended to slow the spread of the disease. The vaccination delivery required a collaborative approach through State-run sites, locally run sites, and medical and pharmaceutical delivery.

In 1999, the World Health Organization (WHO) published guidance that defined the phases of a pandemic. Updated guidance was published in 2005, 2013, and again in 2017 to redefine these phases. The most recent publication in 2017 provides a significant amount of data from the 2009 influenza A (H1N1) pandemic. Diagram 1 below identifies the current WHO classification system of a pandemic.

The current WHO guidance from 2017 includes a risk-based management approach to a pandemic; as linked to preparedness, response, and recovery, the conceptual framework encourages members to develop flexible plans based on a national risk assessment. In 2014, the Centers for Disease Control and Prevention (CDC) published their updated response framework.

³ Source: U.S. Centers for Disease Control and Prevention

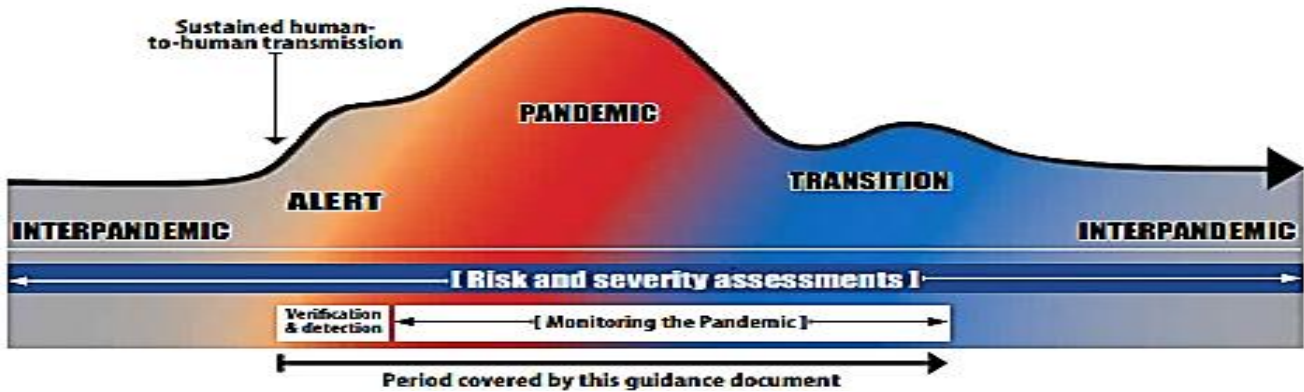


Diagram 1: The continuum of pandemic phases and surveillance components - Source: WHO, WHO Guidance for Surveillance during and Influenza Pandemic; November 2017.

It is important to note that the WHO does not identify a post-pandemic period to the phase schema. Although not part of the WHO phases for tracking the emergence of a pandemic, mitigation and recovery should be a part of every emergency response plan. Mitigation and recovery actions should be focused on continuing public health actions, including communication with the public on issues such as when public gatherings can resume, and continued monitoring of possible outbreaks of infection.

Represented in six pandemic intervals, the CDC intervals provide a general framework for continuity purposes, but also accommodates unique planning considerations and flexibility to execute at all levels: local, State, and Federal. The CDC intervals are outlined in Diagram 2 below.

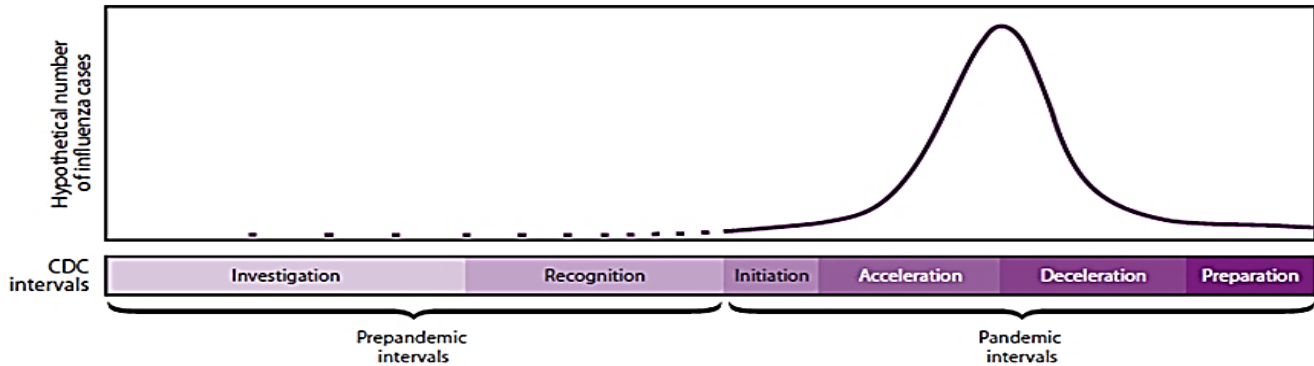


Diagram 2: *Preparedness and response framework for novel influenza A virus pandemics: CDC intervals* - Source: U.S. CDC, *Updated Preparedness and Response Framework for Influenza Pandemics*; September 2014.

This schema has been utilized by the HHS in the development of the Federal plan and by the DOH in developing the DOH *Pandemic Influenza Response Plan*. The goal of the schema is to assist public health officials and healthcare providers with preparedness, response, and recovery should a pandemic occur. Each of these plans identifies response actions relative to a “phase” or “intervals” of the pandemic. (See Table 1 on the following page).

Characteristic	COVID-19 (Current estimates, 2019-current) **	2009 H1N1 Flu (U.S. final estimates, Apr. 2009 – Apr. 2010)	Moderate (1958 / 68 - like)	Severe (1918 – like)
Illnesses	2,132,321	60.8 Million	90 Million (30%)	90 Million (30%)
Outpatient Medical Care	Not Reported	Not Reported	45 Million (50%)	45 Million (50%)
Hospitalizations	226,926	274,304	865,000	9,900,000
ICU Care	14,271	Not Reported	128,750	1,485,000
Mechanical Ventilation	3394	Not Reported	64,875	742,000
Deaths	116,862	12,469	209,000	1,903,000

Table 1: Number of Episodes of Illness, Healthcare Utilization, and Deaths Associated with H1N1 Influenza and Moderate and Severe Pandemic Scenarios. These estimates based on extrapolation from past pandemics in the United States. Note that these estimates do not include the potential impact of interventions not available during the 20th century pandemics - Source: U.S. HHS, CDC.

**Note: Statistics for the COVID-19 pandemic are unsettled as of this publication; the statistics included were compiled as of June 17, 2020 and are evolving on a daily basis.

The severity of a pandemic will be based on the virulence of the virus that presents itself. While the virulence of the virus cannot be predicted, two scenarios may be considered based on historical pandemics. Table 2 below identifies the potential number of indexed cases, deaths, and healthcare utilizations with moderate and severe pandemics.

TABLE. Preparedness and response framework for novel influenza A virus pandemics: World Health Organization phases and CDC intervals, with federal and state/local indicators

World Health Organization phases	CDC intervals	Federal indicators for CDC intervals	State/Local indicators for CDC intervals
Interpandemic phase: Period between influenza pandemics Alert phase: Influenza caused by a new subtype has been identified in humans	Investigation: Investigation of novel influenza A infection in humans or animals	Identification of novel influenza A infection in humans or animals anywhere in the world with potential implications for human health	Identification of novel influenza A infection in humans or animals in the United States with potential implications for human health
	Recognition: Recognition of increased potential for ongoing transmission of a novel influenza A virus	Increasing number of human cases or clusters of novel influenza A infection anywhere in the world with virus characteristics, indicating increased potential for ongoing human-to-human transmission	Increasing number of human cases or clusters of novel influenza A infection in the United States with virus characteristics indicating increased potential for ongoing human-to-human transmission
Pandemic phase: Global spread of human influenza caused by a new subtype	Initiation: Initiation of a pandemic wave	Confirmation of human cases of a pandemic influenza virus anywhere in the world with demonstrated efficient and sustained human-to-human transmission	Confirmation of human cases of a pandemic influenza virus in the United States with demonstrated efficient and sustained human-to-human transmission
	Acceleration: Acceleration of a pandemic wave	Consistently increasing rate of pandemic influenza cases identified in the United States, indicating established transmission	Consistently increasing rate of pandemic influenza cases identified in the state, indicating established transmission
	Deceleration: Deceleration of a pandemic wave	Consistently decreasing rate of pandemic influenza cases in the United States	Consistently decreasing rate of pandemic influenza cases in the state
Transition phase: Reduction in global risk, reduction in response activities, or progression toward recovery actions	Preparation: Preparation for future pandemic waves	Low pandemic influenza activity but continued outbreaks possible in some jurisdictions	Low pandemic influenza activity but continued outbreaks possible in the state

Table 2: Preparedness and response framework for novel influenza A virus: World Health Organization phases and CDC intervals, with federal and state/local indicators - Source: U.S. CDC, Updated Preparedness and Response Framework for Influenza Pandemics; September 2014.

It is evident that a pandemic may have far-reaching effects on the population as well as a variety of critical infrastructure sectors⁴, especially the public health sector. This is especially true when noting that the modalities that were present in previous pandemics pale in comparison to those of the twenty-first century. The potential severity of such an event, and its impact on the society creates a major concern for governments at all levels.

This Annex will attempt to tie additional response activities to the CDC Intervals for tracking to the State Emergency Operations Center (EOC) activation levels as identified in Volume 2 of the State CEMP, *Response and Short-Term Recovery*. However, the CDC Intervals nationally may not always correspond to State EOC activation levels, since New York State may not be experiencing the same pandemic challenges as other states.

E. Planning Assumptions

1. A pandemic is a public health emergency that rapidly takes on significant political, social, and economic dimensions. A pandemic is likely to affect all sectors of the critical infrastructure, public and private.
2. Susceptibility to the pandemic subtype will be universal. Traditional planning for influenza pandemics predicts that the clinical disease attack rate will be 30% in the overall population. Illness rates will be highest among school-aged children (about 40%) and decline with age. Among working adults, an average of 20% will become ill during a community outbreak. However, as seen with the COVID 19 pandemic, other viruses may have different clinical attack rates.
3. The number of hospitalizations and deaths will depend on the virulence of the pandemic virus.
4. Multiple waves (periods during which community outbreaks occur across the country) of illness may be likely to occur with each wave lasting two to three months. Historically, the largest waves have occurred in the fall and winter, but the seasonality of a pandemic cannot be predicted with certainty.
5. The public healthcare system will be overwhelmed across multiple nodes within the system, from virus testing to treatment centers. The situation may therefore warrant rapid expansion of the State's hospital & Intensive Care Unit (ICU) bed capacity, testing capacities, and require attending regulatory waivers from the State.
6. Workforce levels across multiple sectors may be overwhelmed and require augmentation, through mutual aid, intrastate, and interstate assistance. State healthcare workforce levels will be a particular area that will require augmentation and considerations for alternate levels of care provided will be made.
7. Although the government and health care workforce will be in extremely high demand, social distancing and business closures mean statewide unemployment claims will skyrocket during a Level 1 pandemic. The State Department of Labor (DOL)'s unemployment processing call centers will be strained to handle the sharp increase in call volume.

⁴ Homeland Security Council, *National Strategy for Pandemic Influenza Implementation Plan*; May 2006

8. New York's public health system relies on local health departments (LHDs) with authority and responsibility for public health preparedness and response at the local level. The DOH provides leadership, support, and coordination of this effort, including during a multi-jurisdictional emergency. Although pandemics may affect multiple jurisdictions simultaneously, all jurisdictional responsibilities are maintained.
9. The response to a pandemic may require new approaches to mitigate, surveil, prevent, and respond to the spread of the disease. These include drive-thru testing, mask mandates, and geographic restrictions or micro-clusters.
10. The State may need to implement protective actions (non-medical containment) that will likely be unfavorable to the general public. This may include closing schools, restricting travel, suspending mass gatherings, and imposing isolation or quarantine measures on the general public.
11. The incubation period can vary between 2-21 days. Non-medical containment will likely be covering the span of the incubation period until symptoms are presented.
12. Decisions about non-medical containment measures will be made in an atmosphere of considerable scientific uncertainty. Containment measures must be adapted to the epidemiological context of each phase of the pandemic.
13. Non-medical containment measures will be the principal means of disease control until adequate supplies of vaccine and/or antiviral medications are available.
14. Response actions need to be swift and decisive, necessitating the use of a variety of State and Federal statutes and authorities to effectively respond to and recover from a pandemic.
15. Vaccination and antiviral treatment are anticipated to be the most effective medical strategies for reducing pandemic virus morbidity and mortality. However, effective vaccines or antiviral medications may be non-existent or in limited supply. The State will promote, and coordinate use of vaccines and/or antivirals based on their availability and the best scientific evidence at the time. The DOH maintains a vaccine distribution plan that will be used to govern the distribution of a viral vaccine; that plan may be activated for subsequent pandemic responses coordinated by the State EOC.
16. Activities identified in any given pandemic phase are not necessarily assumed to be completed during that phase; activities started in one phase may continue into subsequent phases or reoccur as additional waves of the pandemic become evident.
17. It is possible that the State, in its response, may be eradicating animals that serve as a vector as well as responding to a pandemic impacting the population.
18. State agencies supporting this Annex may need to implement their lines of succession as identified in their agency-specific continuity of operations plan.
19. Government at all levels will likely be overwhelmed in a pandemic. This may have an adverse effect on the ability of the State to acquire support from Emergency Management Assistance Compact (EMAC) partners or acquire adequate Federal support under the NRF.

20. As evidenced by the COVID-19 outbreak, a Level 1 pandemic in New York State will likely induce a crisis of resource scarcity. Given the symptomatic variance of each viral pandemic, it may be difficult to predict which types of durable medical supplies will be in high demand during a given outbreak; however, the need for personal protective equipment (PPE) is a likely constant. This plan assumes that supplies of PPE will be strained during future pandemics of any kind.
21. During a nationwide pandemic outbreak, federal resources including medical supplies from the Strategic National Stockpile (SNS) may be limited.
22. In a situation of perceived or actual nationwide resource scarcity, there will be a market run on PPE and other virus-specific durable supplies, the State may seek federalization of the procurement process to offset open market competition.
23. The federal Defense Production Act (DPA) may be invoked for a nationwide pandemic accompanied by a scarcity of durable medical supplies, however, the outputs of that process will provide a belated benefit to states whose apex occurs relatively early in the pandemic cycle.
24. The New York Division of Military and Naval Affairs (DMNA) will likely be activated for a pandemic of the same speed and scale as COVID-19, i.e. a pandemic warranting the sustained activation of the State EOC at a Level 1 posture. DMNA will provide augmented staff and expertise to support all relevant ESFs.
25. The Governor may request that hospitals expand their bed capacity by as much as 100% to accommodate projected hospitalization needs at the apex of the pandemic. The DOH will issue regulatory waivers to allow hospital directors and county authorities to meet these requests legally. The Governor may also establish alternate care sites at non-traditional locations such as convention centers and college campuses. Surge capacity should include considerations for infectious disease and non-infectious disease patient care.
26. Without federalization of the procurement process, states will compete with each other on the open market for supplies during a pandemic crisis defined by resource scarcity. This will lead to additional resource scarcity, price gouging, and cascading issues downrange.

F. Concept of Operations

1. Initial notification of novel flu cases (in non-humans) may be realized through Federal or State agricultural agencies. Similarly, initial notification of a potential case of a pandemic in humans may be realized through Federal or State health surveillance networks. In either of the above noted cases, this information will be quickly disseminated throughout the Nation and the State of New York.
2. If a pandemic is discovered in the State (in non-humans), response actions will commence as identified in the *Emerging Infectious Diseases in Non-Human Populations Appendix* to the ESF #11 – Agriculture and Natural Resources Annex. Surveillance in the public health sector will be elevated to identify potential cases of the virus in humans.
3. Initial notification of a potential pandemic in New York State will likely come from practitioners, LHDs or from hospital emergency departments. This information will be realized through a variety of formal

information and reporting mechanisms that exist within the health and hospital networks, overseen by the DOH.

4. Samples for testing and surveillance taken by the provider will be sent to a local laboratory for analysis and/or sent to the Wadsworth Center and the CDC for confirmation. At the direction of the DOH, LHDs may consider establishing diagnostic testing centers at dispersed locations within geographic “hot spots” in the State. These may include walk-thru or drive-thru testing centers and need not be collocated with treatment facilities. Testing locations and testing operations in general will require a constant stream of testing supplies and trained practitioners capable of efficiently conducting mass testing operations. When the State EOC is at Level 1 activation, the State EOC will maintain and provide a running list of testing sites, along with hours of operation and points of contact, in the daily Leaders Intelligence Report (LIR).
5. Upon receipt of a confirmation that a potential pandemic has started or is imminent, notifications will be made to the public health sector via the mechanisms managed by the DOH.
6. Upon receipt, New York State Office of Emergency Management (OEM) will consult with the DOH and other State agencies, as appropriate, to determine if conditions warrant a collective State response. At this point, a Multi-Agency Coordination (MAC) Group conference call would be initiated to consider the demographics and implications of the potential event.
7. Consideration will be given to activate multiple ESFs to explore the anticipated response issues and consequences specific to the disease. The discussion should determine if the event can be mitigated through daily statutory-type responses (at the State and/or local level) or if the response warrants an activation of the State EOC.
8. If conditions warrant the activation of the State EOC, then State OEM will notify the appropriate ESF coordinating and member agencies, including ESF #1, ESF #3, ESF #4, ESF #5, ESF #6, ESF #7, ESF #8, ESF #11, ESF #12, ESF #13 and ESF #15. In addition, State OEM will notify the county emergency manager(s), and others as deemed necessary.
9. State OEM will coordinate response activities in support of ESF #8 and the Coordinating Agency – DOH, along with the other activated ESFs, being cognizant of response operations at the local level, and may utilize local/regional EOCs to facilitate response activities.
10. The Governor could exercise his authority and issue a State Disaster Emergency Declaration to direct any and all State agencies, including non-DPC agencies, to provide assistance under the coordination of the DPC. For a pandemic of the speed and scale of a nationwide novel coronavirus outbreak, i.e. warranting interstate response coordination, the Governor may also request that the Federal government issue a Major Disaster Declaration.
11. State assistance will be supplemental to local efforts. Support may include providing public health and emergency medical support, mortuary support, implementing traditional and/or non-traditional Points of Dispensing (PODs) for vaccine, providing security in quarantine and isolation, providing human-needs support and requesting/supporting operations of the SNS.
12. State OEM will coordinate with the Federal Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA) and ensure coordination with State and Federal ESFs.

13. At the discretion of the Governor, the DMNA with New York National Guard (NYNG) may be activated to augment the State's pandemic response capabilities and personnel. The NYNG may support, at minimum, State ESF #1, ESF #3, ESF #5, ESF #6, ESF #7, ESF #8, and ESF #9. The DMNA may provide military installations to stage supplies and personnel to staff those locations. The NYNG may provide vital transportation and logistical support to ESF #1 and ESF #7 with augmented trucking and warehousing capabilities.
14. The DOH will coordinate with the New York State Office of General Services (OGS) to maintain and enhance the Medical Emergency Response Cache (MERC) resources likely to be in high demand during the pandemic apex. ESF #7 will consider forward staging of resources to reduce travel time to areas of impact.
15. State OEM will coordinate with the Department of Corrections and Community Supervision (DOCCS), Division of Industries (Corcraft Products) to produce relevant supplies such as hand sanitizer, to offset resource scarcity where appropriate.
16. As applicable, the OGS and the Executive Chamber will establish a system for processing and tracking frontline medical supplies procured through donations. The Executive Chamber will be responsible for vetting large corporate donations. Donations will be parsed into frontline medical supplies and other supplies; donations will be warehoused and tracked by the OGS.

G. Legal Authorities

This authority to develop this Annex and implement specific response actions to effectively respond to a pandemic can be found in a variety of New York State Laws, regulations, and Federal authorities, including:

1. State Authorities

- Agriculture and Markets Law
 - Article 5 – Diseases of Domestic Animals
- Correction Law
 - Section 141 – Contagious disease in facility
- Executive Law
 - Article 2-B – General provisions related to disasters
 - Article 26 – General authority for Division of Homeland Security and Emergency Services (DHSES)
- Military Law
 - Sections 3 and 6 – Governor's power to order the organized militia into state service in emergencies
- Public Health Law
 - Article 2, Title I – General authority for Department of Health
 - Article 2, Title II – Public Health Council
 - Article 3 – Local Health Organizations
 - Article 13 – Nuisances and Sanitation
 - Article 21 – Control of Acute Communicable Diseases

- NY Code, Rules and Regulations
 - Title 10 – Department of Health Regulations

2. Federal Authorities

- 42 U.S.C. Chapter 68 – Disaster Relief
- 42 U.S.C. § 247d – Public Health Emergencies
- 42 U.S.C. § 264 – Regulations to control communicable diseases
- 42 U.S.C. § 267 – Quarantine stations, grounds, and anchorages
- 42 U.S.C. § 268 – Quarantine duties of consular and other officers
- 42 U.S.C. § 270 – Quarantine regulations governing civil air navigation and civil aircraft
- 42 U.S.C. § 271 – Penalties for violating of quarantine laws
- 50 U.S.C. Chapter 55 – Defense Production Act
- 42 C.F.R. Chapter I, Subchapter F, Part 70 – Interstate Quarantine
- 42 C.F.R. Chapter I, Subchapter F, Part 71 – Foreign Quarantine
- 49 C.F.R. § 390.23 – Federal motor carrier safety regulation; relief from regulations during an emergency

H. Annex Maintenance, Distribution, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under New York State Executive Law Article 2-B, each ESF annex shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

New York State Comprehensive Emergency Management Plan Pandemic Annex

Section II: Risk Reduction

A. Preparedness

To some extent, risk reduction measures are taken on an on-going, routine basis. While more risk reduction activities will be implemented during a pandemic alert phase and pandemic period, recent events throughout the world have resulted in additional preparedness measures in a variety of ways.

1. Awareness and Surveillance

- a. WHO has identified various strains of flu and a potential pandemic as an international priority. The WHO uses an intelligence and surveillance networking from across the globe.
- b. HHS conducts extensive surveillance and monitoring through the CDC. Extensive outreach has been conducted abroad as well as to state health departments in the United States. Surveillance nodes include state-level information as well as outpatient surveillance, mortality surveillance, hospital surveillance and virologic surveillance.
- c. In the United States, surveillance for animal-borne viruses is conducted by states and the U.S. Department of Agriculture (USDA) Animal and Plant Health Inspection Service (APHIS). Diagnostic testing is performed by state and industry laboratories, with confirmatory testing by USDA/APHIS Veterinary Services at the National Veterinary Services Laboratories in Ames, Iowa.
- d. The DOH utilizes several disease surveillance networks that actively collect and analyze information to determine an outbreak of a disease, including a pandemic.
- e. Per the DOH *Pandemic Influenza Response Plan*, DOH has and will continue to promote pandemic awareness throughout the public health sector.

2. Planning and Training

- a. The WHO has developed a plan for international events and has issued guidance to each country. Similarly, HHS has developed a national plan for coordinating response and recovery activities of Federal agencies identified in the *U.S. Department of Health and Human Services Plan for Pandemic Influenza*. This plan also includes planning guidance for states to follow, which was utilized by the DOH.
- b. The DOH has developed the DOH *Pandemic Influenza Response Plan*. The plan applies public health support to local government and the health sector. The DOH *Pandemic Influenza Response Plan* will be supportive of this Annex to the State CEMP, which coordinates response activities to other sectors in a multi-agency setting.
- c. Per the DOH *Pandemic Influenza Response Plan*, DOH will promote and institute a variety of training throughout the public health sector before, during and after a pandemic.
- d. Several State-level exercises have been conducted and serve as training and planning components in preparing for a pandemic.
- e. DHSES will conduct periodic exercises, including but not limited to table-top and functional exercises, to assess the State EOC's response to a simulated pandemic outbreak similar to COVID-19. Any exercise will test the plans, policies, and procedures intended to guide the response to a pandemic.

3. Continuity of Operations Planning and Workforce Support

- a. State agencies have been actively involved in Continuity of Operations Planning (COOP). DPC agencies were provided two guidance documents and training programs to use to assist in their COOP efforts. The documents, issued by the State OEM, exceeded the minimum benchmarks found in NFPA 1600 (*Standard on Disaster/Emergency Management and Business Continuity Programs*) and guidance from the FEMA. Relative to a pandemic, the document identified a mechanism for identifying mission critical activities, mitigation, prioritization of programs and a line of succession of at least three persons deep. Many of the DPC agencies have used this COOP methodology and have completed their COOP efforts.
- b. The State has a variety of vendors and contractors that could augment State agency personnel during a pandemic. The OGS maintains the State's contract and procurement mechanism, which includes personnel that can be acquired through staffing services.
- c. The DOH *Pandemic Influenza Response Plan* has identified workforce support mechanisms that could be used during a pandemic to ensure disaster mental health services training is made available during a pandemic.
- d. In 2019, the State received its accreditation under Emergency Management Accreditation Program (EMAP); included in the accreditation is a Continuity Plan requirement for the DPC agencies. All DPC agencies have completed their COOPs as of 2019.

New York State Comprehensive Emergency Management Plan

Pandemic Annex

Section III: Response

A. Overview

In identifying the State's response actions, it is important to note that during a pandemic, LHDs will retain their responsibility. The key functional areas of the pandemic virus response are surveillance and epidemiologic investigation, vaccine and antivirals operations, non-medical containment, surge capacity, infection control guidance to healthcare facilities, and risk communications. The role of the State is to provide the oversight to a locally generated response and support the activities noted above. In providing support, the State response must be postured to coordinate with local government to fill response shortfalls and must also be able to fully utilize and coordinate State and Federal assets in the response.

The ESF annexes to the State CEMP Volume 2 identify multi-agency activities in coordinating a collective State response in support of a specific function or activity. Each ESF is comprised of various agencies that are assembled to coordinate the activities of their own agency in support of the ESF's activities. Agency-specific support of the ESF supplies an individual focus of that agency from the agency representative. Typically, the agency representative will not coordinate agency-specific activities outside the parameters or missions of the ESF. Thus, if an agency is needed to support multiple ESFs, and multiple ESFs are activated, then each agency may need to send multiple representatives to support the various ESFs.

B. Alert, Notification, and Activation

There are several pandemic levels that are identified by both the WHO and CDC that follow a similar progression and response. Therefore, it is important to understand the relationship between the CDC Intervals, the DOH activities and State EOC activation levels to have an accurate picture of the correlation between the Federal and State response plans.

It is important to reiterate that multiple waves of a pandemic can be anticipated throughout the life cycle of the event. If the State, in its response, identifies that a pandemic is subsiding or is between waves, then response efforts may be scaled back to assess the response and prepare for the next wave, if any. On the following page is a chart that will outline the actions of the three organizations as the stages of the pandemic progress.

Steady-State of Operations

The State EOC maintains a readiness posture, while conducting normal day-to-day, steady-state operations, including surveillance, and monitoring of any potential emergency, via the State Watch Center (SWC). Likewise, disease surveillance is ongoing at the state and national level by the DOH and the CDC, respectively. The corresponding CDC intervals for this readiness posture would be the *Investigation Interval* and the *Recognition Interval*. Apart from continued surveillance and monitoring of any potential emergency situation, no further action would be taken at this time.

CDC Intervals	EOC Activation Levels	NYS DOH / ESF #8 Actions
		NYS OEM Triggers
PRE-PANDEMIC INTERVALS		
<p>Investigation Interval: The investigation interval is characterized by low pandemic influenza activity, although outbreaks might continue to occur in certain jurisdictions</p>	Steady State of Operations	Initial Notification of Pre-Pandemic, coordinate planning activities with bordering jurisdictions and unique Review exercise and modify the plan on a periodic basis
		A Steady State of Operations will remain to enhance surveillance of the pandemic virus will be initiated
<p>Recognition Interval: WHO or CDC confirms cluster of novel influenza A with sustained and efficient human-to-human transmission anywhere in the world.</p>		Activate the Interagency Task Force on Influenza Preparedness and meet with state agency partners to review and modify plan as necessary
		Review, exercise and modify plan. Make contact with NYS DOH, NYS DAM; send Health Alert Network (HAN) Notification to Task Force Members
PANDEMIC INTERVALS		
<p>Initiation Interval: Confirmation of human cases of a pandemic influenza virus in the United States with demonstrated efficient and sustained human-to-human transmission.</p>	Level 4 or 3	Interface with the appropriate counterparts at the National Level/Monitor Department and Regional Office staffing needs/Participate in HHS/CDC public information briefings/HERDS and program based applications systems are initiated
		<p>Level 4 or 3: NYS OEM receives notification from NYS DOH that a potential pandemic may be imminent or is occurring in the United States</p> <p>Multi-Agency Coordination (MAC) Group discussion; Continue enhanced surveillance of the pandemic virus; review, exercise and modify plan; identify potential impacts</p>
<p>Acceleration Interval: Consistently increasing rate of pandemic influenza cases identified in the State, indicating established transmission.</p>	Level 2 or 1	<p>-Monitor and implement recommendations from programmatic or issue based sub groups.</p> <p>-Coordinate communication and recommendations with the NYS DPC agencies.</p> <p>-----</p> <p>-In coordination with State and Federal partners, determine the need for activation of the NYS MCMDD Plan and relevant response actions to support operations.</p> <p>-Maintain communications with the NYS Interagency Taskforce on Influenza Preparedness and initiate the appropriate actions per relevant plans</p>
		<p>Level 2: If the event is impacting the population in New York State, a Multi-Agency Coordination (MAC) Group discussion will decide Emergency Support Function (ESF) #8 representation.</p> <p>Level 1: When notification is received that a potential pandemic may be imminent in the state: MAC Group remains activated, possible activation of National Response Framework and emergency support function (ESF) #8 – Public Health and Medical Services</p>
<p>Deceleration Interval: Consistently decreasing rate of pandemic influenza cases identified in the State.</p> <p>Preparation Interval: Low pandemic influenza activity, although outbreaks possible in the State.</p>	Level 3 or 4	Initiate after-action activities, continue to promote vaccinations, respiratory etiquette, and hygiene
		Based upon the guidance of leadership and ESF #8, the EOC could begin to reduce the activation level retrograde activities are begun
		Begin after action debriefing process/develop After-Action Report
		Steady state of operations similar to the activity in the Investigation Interval, after-action review and debriefing is being conducted

Activation of the State EOC will be as follows:

➤ **Level 4:** This level may be initiated when the State OEM receives notification from the DOH that a potential pandemic may be imminent or is occurring in the United States and can be identified as being in the following intervals:

- *Initiation Interval* - Confirmation of human cases of a pandemic virus in the United States with demonstrated efficient and sustained human-to-human transmission (CDC).

At this level, the following actions may be taken:

- Ensure that each agency involved with incident management or incident support activities (if any) is providing appropriate situational awareness and resource status information to State and local governments;
- Ensure that each agency establishes priorities in preparing for the event, including identifying available resources, future resources requirements, sector-specific coordination issues, and the ability to implement an agency-specific continuity of operations plan;
- Coordinate and resolve potential policy issues arising from the event and provide strategic coordination as required.

At this point, State and local agencies may take an increased role in monitoring the event and its potential impacts, if any, in the state. Situational reporting and monitoring may be done by the DOH, as conditions warrant.

➤ **Level 3:** This level may be initiated when the State OEM in discussions with the MAC Group receives an updated notification from the DOH that a potential pandemic is occurring in the United States with some impact in the state. This level can be identified as being in the following interval:

- *Initiation Interval* - Confirmation of human cases of a pandemic virus in the United States with demonstrated efficient and sustained human-to-human transmission (CDC).

If the event is impacting the population in New York State, a MAC Group conference call would be initiated to consider the implications of the potential event. The MAC Group will be composed of members from agencies with direct incident management responsibilities or significant incident management support or resource responsibilities.

At this level, the following actions may be taken:

- This level may include the activation of Incident Command System (ICS) based sections in the State EOC to provide situational reporting and readiness to increase the State's response posture, as appropriate.
- State OEM and the ESF #8 Coordinating Agency – the DOH will jointly identify which ESFs will be required to support the activation level and the current response.
- The DOH through ESF #8 may request that emergency measures be taken by the State to support local response activities.
- State OEM will activate and coordinate the responsibilities for ESF #5 and ESF #7.

- **Level 2:** This level may be initiated when State OEM in discussions with the MAC Group receives ongoing notification from the DOH that a potential pandemic may be imminent or is occurring in New York State and can be identified as being in the following interval:
- *Acceleration Interval* - Indicated by a consistently increasing rate of pandemic cases identified in the State, indicating established transmission (CDC).

At this level, the following actions may be taken:

- State OEM and the ESF Coordinating Agencies will jointly identify which agencies of each ESF are required to support the activation level and the current response.
 - The DOH through ESF #8 may request that emergency measures be taken by the State to support local response activities.
 - Risk communications will be disseminated to the general public, to include subject matter as identified in the DOH *Pandemic Influenza Response Plan*.
 - Preparations may be made to support isolation or quarantine measures in support of the local response.
 - Travel restrictions may be imposed for the area of concern.
 - Schools and public gatherings in the area of concern may be cancelled or closed. Other institutions, such as rehabilitation facilities, hospitals, correctional facilities, and universities may impose restrictions on ingress and egress in the area of concern.
 - If available, the State may coordinate the distribution of vaccine(s) and antivirals to the population at risk.
- **Level 1:** This level may be initiated when State OEM receives notification from the DOH that a pandemic is occurring in the State and can be identified as being in the following phase:
- *Acceleration Interval* - Indicated by a consistently increasing rate of pandemic cases identified in the State, indicating established transmission (CDC).
 - This level will likely trigger the activation of the NRF and ESF #8 – Public Health and Medical Services with Federal response.

For Level 1 and Level 2 activations, State OEM will request the following ESF Coordinating Agencies to send a representative to the State EOC:

ESF #1 Transportation: Department of Transportation (DOT)

ESF #3 Public Works and Engineering: Department of Environmental Conservation (DEC)

ESF #4 Firefighting: DHSES/Office of Fire Prevention and Control (OFPC)

ESF #5 Planning: DHSES

ESF #6 Mass Care, Emergency Assistance, Housing, and Human Services: DHSES

ESF #7 Logistics: DHSES

ESF #8 Public Health and Medical Services: DOH

ESF #11 Agriculture and Natural Resources: Department of Agriculture and Markets (DAM)

ESF #12 Energy: Department of Public Service (DPS)

ESF #13 Public Safety and Security: Division of State Police (DSP)

ESF #15 External Affairs: DHSES/Public Information Office (PIO)

At this level, the following actions may be taken:

- State OEM and the ESF Coordinating Agencies will jointly identify which member agencies of each ESF are required to support the activation level.
- Invoking or supporting isolation, quarantine or social-distancing requirements using State and Federal legal authorities, as appropriate, and coordinating with Federal authorities on measures to prevent the interstate spread of a pandemic virus. Actions may include the closing of schools, cancelling public gatherings and imposing movement restrictions in the general public and institutions, such as rehabilitation facilities, hospitals, correctional facilities, and universities.
- Utilizing local, State, and Federal facilities that can serve as triage and treatment centers and medical facilities. These include non-traditional sites (i.e., school gymnasiums) that may be used to support the response. Non-traditional centers may also be used to support mass testing operations that accompany a State EOC Level 1 pandemic, including but limited to “drive-thru” facilities used during the COVID-19 response.
- Organizing and releasing State and Federal public health and medical response assets to include drugs and medical supplies such as antivirals, vaccine(s) (if available) and assets from the State’s MERC and/or the SNS. This may be accomplished using traditional and/or non-traditional PODs.
- In concert with local government, coordinating the implementation of ESF #8, including capabilities under the U.S. Public Health Services (e.g., National Disaster Medical System, Disaster Medical Assistance Teams and Disaster Mortuary Operational Response Teams (DMORT)).
- A Joint Information Center (JIC) may be established by ESF #15 External Affairs to inform the public on health-related matters, movement controls and restrictions. The JIC will serve as a coordinating point with local, State, and Federal authorities on public messages to ensure that communications are consistent and accurate and ensuring that messages address anxieties, alleviate unwarranted concerns or distress, and enlist cooperation with necessary control measures. Risk communications will be disseminated to the general public and will include, but not limited to, topics as identified in the DOH *Pandemic Influenza Response Plan*.
- State agencies will conduct sector-specific outreach to industry providers and the private sector as to the status of their operation and identify any shortfalls in that entity’s ability to maintain its operation.

Level 1 Protocols:

Level 1 Protocols are special project-style lines of effort initiated by DHSES leadership when a pandemic of the scale and speed of COVID-19 appear to be an imminent threat to the people of New York State. As early as practical – and ideally prior to the Acceleration Interval – DHSES will consult with the DOH to determine if a pandemic shows a trajectory warranting activation of Level 1 Protocol. DHSES will also consider the likelihood of resource scarcity, as well as the State’s ability to mitigate that scarcity,

when deciding on activation of the Level 1 Protocol. Following Level 1 activation, the projects itemized below will be delegated at the discretion of the DHSES Commissioner:

1. Assemble the MAC Group and establish the process for daily priority setting:
 - Identify specific roles and responsibilities for the MAC Group and establish appropriate briefing schedules for leaders to identify priorities and understand the evolution of the response.
 - Develop processes for capturing task completion and assistance with communicating the MAC Group intent each level of the response.
2. Deploy information systems (e.g. dashboards) to keep the MAC Group informed of actionable information:
 - Evaluate capability for delivering a Common Operating Picture to MAC Group leaders to facilitate access to the similar, required information.
 - Provide a mechanism for the delivery of actionable information and data to county and local leaders, health officials, and emergency managers.
 - Analyze specific information and assess critical requirements to fill knowledge gaps essential for decision making.
3. Utilize the tools in New York Responds (NYR) to prepare and provide a geospatial decision-support dashboard, data collection, and web-based reporting system to provide situational awareness:
 - Web-based mapping dashboard to assist by providing maps, visualizations, and analysis tools to help understand population health risk (population characteristics and vulnerability, cases/ deaths, and projected needs), health care facility/ provider information (location, capacity, capabilities), suppliers, response team locations, and related conditions (quarantined areas, impacted institutions, transportation status, etc.).
 - Mobile data collection tools for field personnel to collect and share information (including status of response activities, updates on testing/ cases, or provider capabilities) via geospatial dashboards.
 - Data-driven narratives, story maps, and visualizations that communicate risks and issues to the operational centers, field personnel, county and local leadership and the public.
4. Develop appropriate and actionable event-specific plans to mitigate and recover from the pandemic:
 - Survey the landscape of applicable response plans, identify gaps, and prioritize event-specific plans and updates based on the epidemiology of the pandemic and Statewide circumstances.
 - Develop plans appropriate for the risk and executable at the appropriate level of response.
 - Assist with the development of processes and procedures to capture “sustains” and “improves” throughout the immediate response to inform the development of plans.

Standing down from Level 1:

At a point identified by The Executive Chamber, the State EOC activation level may be downgraded to a Level 2, Level 3, or Level 4 with the ability to quickly return to a higher level, if needed. A State EOC activation level where response efforts have been scaled back would likely correspond to the CDC *Deceleration Interval*, which indicates a consistently decreasing rate of pandemic virus cases in the State.

Stabilization of scarce resource economics is another criterion that may need to be met in order to downgrade from State EOC Level 1. Independent of the deceleration of the pandemic's spread in the State, the leveling out of supply and demand for key healthcare system supplies and equipment to treat the pandemic disease is an important factor when considering reductions to the State EOC's posture. Satisfying this criterion depends on the State's ability to model and continuously monitor the projected intersection of supply and demand for key resources throughout the pandemic.

During a Level 1 pandemic, it can be expected that the State will have received durable and other high-demand medical supplies through a combination of stockpiled inventory, procurement, production, donation, or Federal production/distribution. Additionally, as a pandemic decelerates in New York State, the State may collect and redistribute those high demand resources to other states or areas experiencing an upward trajectory in cases. Any plan for standing down the State EOC, therefore, must be accompanied by a plan to recollect and redistribute medical supplies and equipment. ESFs #1, #7, and #8 will be instrumental in developing and executing the return and redistribution plan.

C. Response Organization/Direction and Control

The State of New York endorses the use of one response organizational structure that will include all responding agencies: local, State, and Federal. State agencies will be organized under the framework of the National Interagency Incident Management System (NIIMS) ICS, as required by Executive Order 26 of 1996, and the National Incident Management System (NIMS), as required by Homeland Security Presidential Directive (HSPD) #5. 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 CEMP, *Response and Short-Term Recovery*. Specific to pandemic, 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 the MAC Group, Area Commands, and other coordinative elements at forward locations.

1. Joint Information Center (JIC)/Public Information

The JIC should serve as the sole source of official information regarding all incident activities (local, State, Federal). The JIC should provide a forum for the coordinated release of all information. JIC operations should be coordinated as stated in the Emergency Public Information Annex to the State CEMP. This may include the activation of a hotline or call center to support disseminating public information and adequately respond to public inquiries. Further, absent the Governor, the DOH will serve as the lead in addressing pandemic issues specific that impact humans. The DAM will serve as the lead in addressing pandemic issues in non-humans, especially if the State is depopulating infected animals.

Whether organized through an ESF #15 JIC or some other line of effort, the Governor may choose to hold press conferences during a Level 1 pandemic in New York State.

Information gathered and compiled by the joint information system will be shared with key agencies (Unified Command Group) and the Executive Chamber to support synchronized messaging across the key leadership.

D. Roles and Responsibilities

This section reviews existing roles, responsibilities, and capabilities of State agencies and ESFs, and provides an overview of the Federal response.

1. Local Government

Local government will be actively involved in the response and should be utilized to the fullest extent possible. Each county, and many local governments, has a CEMP which provides the framework for the jurisdiction's response to emergencies and disasters. As previously identified, the collective efforts of State OEM led to the development of sample plans for local government to use in planning for pandemic viruses; it is anticipated that many counties have some sort of annex in process or completed. Further, it is recognized that some counties do not possess a full public health component and rely upon the State to provide the public health function. As such, those counties, while limited in number, may require more State support than those that have a viable local public health component.

Each locally developed plan will differ in its implementation, including in response capabilities, surge capacities and in the ability to exercise authorities. Therefore, it is prudent upon the State to conduct timely situational reporting to identify any gaps in the protective measures that are promulgated either at the local, State, or Federal levels of the response.

Local government and LHDs play a critical role in a Level 1 pandemic, especially with regard to reporting key resource inventories and making timely resource requests through the NYR system. Local governments and LHDs are the voice of their frontlines to State authorities. Timely and accurate projections of what frontline healthcare locations are likely to need allow the State EOC to effectively coordinate with upstream suppliers and logisticians. During a Level 1 pandemic, LHDs will establish a reporting point of contact (POC), cadence, and basic data sets to inform the State EOC of *projected* resource needs, in addition to routing official current requests through NYR.

2. Emergency Support Functions (ESFs) and Agency-Specific Roles

ESFs that are activated in support of this type of event will collectively utilize the resources available to them pertinent to the operation. ESF Coordinating Agencies will manage all activities within the ESF to effectively respond to the demands of the incident; the ESF Support Agencies will assist and support all activities tasked to the ESF. ESFs will coordinate their actions cognizant of over-arching policies and authorities, statutory or otherwise, as outlined in each ESF Annex and the State CEMP.

Response activities and approaches that were employed during the response to COVID-19 could be used in future pandemics. Agencies and ESFs may be tasked to take on additional roles, and these may or may not be inclusive of the actions below. The actions below are not inclusive of all actions that could be taken, and the agencies identified to support them could be expanded or reduced, as warranted.

a. Mass Testing Sites

Mass testing sites were established during the COVID-19 response to better track the disease and provide for coordinated response by geographic region and need. The expansion of testing across the state allowed for more effective tracking of the virus and through tracing efforts allowed for more efficient preventative methods. Mass testing sites were designed to be either drive-thru or walk-up, allowing for flexibility of the site to accommodate more people, more efficiently. The agencies below provided support to mass testing sites, but are not inclusive of all support provided by State agencies:

- DOH
- Office for People with Developmental Disabilities (OPWDD)
- DMNA
- DHSES
- State University of New York (SUNY)

b. Airport Screening

Airport screening was established during the COVID-19 response to identify travelers coming into the state who may be infected with the virus. This allowed for more effective prevention of spread through early identification and quarantining. The agencies below provided support to airport screening, but are not inclusive of all support provided by State agencies:

- DMNA
- DOH
- Federal Partners

c. Test and Sample Kit Assembly & Transportation

In order to support the volume of testing required during the COVID-19 response, the rapid assembly and distribution of testing kits was crucial. There was also a need, early in the pandemic, to provide rapid transportation from testing sites to labs capable of testing the samples. The agencies below provided support for test kit assembly and distribution and sample transportation, but are not inclusive of all support provided by State agencies:

- DHSES
- DOT
- DSP
- DMNA

d. Labor and Unemployment Support Services

Over the course of the COVID-19 response, stay-at-home orders and restrictions put in place in the State resulted in a rapid increase in unemployment applications. The increase in applications and necessary support was beyond the capability of a single agency alone. As such, the State provided additional support to the DOL through supplemental workforce from various State agencies.

- DOL
- Various volunteers from other agencies

e. Mortuary Affairs Task Force

The high level of morbidity and decedents experienced during the COVID-19 response was beyond the capacity of most morgues and medical examiners/coroners. Even the largest medical examiner's office in the state was quickly overwhelmed. To support the local response to the influx of decedents, the State initiated a task force to provide resources, staff, and other mortuary assistance. The agencies below provided support to the task force, but are not inclusive of all support provided by State agencies:

- DHSES
- DOH
- DOT
- NYS Funeral Directors Association

f. Alternative Care Sites and Healthcare Surge Support

During the response, hospital systems across the State became overwhelmed quickly and reached surge capacity levels early. To supplement the healthcare system, alternative care sites were established or requests for federal resources, such as the USNS Comfort, were made. These sites were established to provide medical care to either non-COVID or COVID patients. The agencies below provided staff and support to the alternative care sites, but are not inclusive of all support provided by State agencies:

- DOH
- DMNA
- DHSES
- OPWDD
- SUNY
- Federal Partners

g. Mass Vaccination Sites

Upon the approval of the COVID-19 vaccine(s), a means to rapidly vaccinate large populations was needed. The more efficient and effective that the State and local partners were able to vaccinate people, the sooner the response could transition to long-term recovery. As such, the State established multiple sites across the state at State-owned properties, where individuals could schedule an appointment, receive the vaccine, be monitored for a set timeframe, and have follow-up appointments scheduled as needed. These sites were modeled similar to the mass testing sites and could be drive-thru or walk-up facilities. The agencies below provided staff and support to the mass vaccination sites, but are not inclusive of all support provided by State agencies:

- DOH
- OPWDD
- DHSES
- DEC
- DMNA
- SUNY

h. Warehouse Expansion and Logistical Support

Over the course of the response, it was recognized that current stockpiles and medical emergency caches were not large enough to hold the supplies required to support the mission. Multiple additional warehouse locations were turned on and required logistical support from

various agencies. The agencies below provided both staff and support, but are not inclusive of all support provided by State agencies:

- DMNA
- DHSES
- DOH
- DOT
- OGS

The following lists the ESF activities specific to this incident. The text identifies only those actions that are unique to this type of event and are not already identified in each of the above listed documents.

a. ESF #1 – Transportation

The capabilities of ESF #1 may vary during the winter season or in times of disaster that require debris clearance or emergency repairs to transportation infrastructure. ESF #1 can assist in:

- Providing guidance for rerouting of traffic in and around affected areas.
- Supporting local response activities, such as snow clearing and removal, if the pandemic occurs over the winter season.
- Supporting traffic and access control points.
- Providing coordination for the passage of Federal assets over the State and local roadways.
- During a Level 1 pandemic, ESF #1 may collocate a representative at supply staging locations to support coordination with transportation resources.

b. ESF #3 – Public Works and Engineering

- In coordination with ESF #8, evaluate the potential health effects related to water and wastewater systems.
- In coordination with ESF #8, evaluate and support the development of Alternate Care Sites to meet projected hospital surge requirements. U.S. Army Corp of Engineers (USACE) was the key federal partner to build the sites and referenced as ESF #3. The NYS Hospital Surge team was looking at SUNY facilities, closed healthcare facilities, and alternative sites (e.g. convention centers).

c. ESF #4 – Firefighting

- Provide coordination for fire resources support through the State Fire Mobilization and Mutual Aid Plan in the event that local responders are affected by the pandemic.

d. ESF #5 – Planning

- Prepare to supplement staffing in ESFs #5 and #7 with additional personnel.
- Coordinate with DOH epidemiological staff to perform routine reporting.
- Activate an Advanced Planning Unit to monitor and model various scenarios.

e. ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services

- Coordinate the identification and access to facilities that may be used as mass care centers.
- Expand programs for medical reserves and healthcare professionals.

- Build and maintain partnerships with local counties, communities, and agencies (Voluntary Organizations Active in Disasters (VOADS)/Community Organizations Active in Disasters (COADS) to determine potential antibody testing sites.
- Determine possible housing surge needs and determine factors that may contribute to outbreaks in shelter facilities along with measures to reduce those factors.
- Prepare guidance for emergency shelters in the event an incident occurs during the pandemic that will require emergency sheltering.
- In coordination with ESF #8, determine need for Family Assistance Centers.
- Coordinate the use of disaster mental health services for victims and their families, including response agency representatives at the local and State level.
- Coordinate the request, acquisition and distribution of food and water to support the general population in areas that have had movement restrictions imposed. This will be done in close coordination with ESF #13.
- Coordinate with ESF #8 and the State Education Department (SED) to disseminate safe practices, risk information, and sanitary information to the school communities that are at-risk.
- Coordinate with SED on the closure of schools with the appropriate districts and superintendents, including study abroad student repatriation.

f. ESF #7 – Logistics

- Provide support for the procurement of commodities, contracting services, and labor.
- Determine stockpile capacity and anticipate additional warehousing needs, to include centralized and available locations.
- Provide resources, including office space, office furniture, and equipment to support response efforts.
- Identify and secure locations that can be utilized by State and Federal response personnel as staging areas, base camps, or rest and rehabilitation centers.
- Provide logistical support for the transport of equipment and supplies for response efforts.
- Define task forces and responsibilities to avoid duplication of efforts.
- Activate Specimen Transport Task Force (comprised of DOT, Thruway, Office of Parks, Recreation, and Historical Preservation (OPRHP), DMNA, DOCCS, DSP, and DEC).
- Identify, procure, and mobilize needed supplies early. Utilize a surge model to identify regions where both staff and resources may need to be pre-positioned.
- During a pandemic requiring a surge of hospital supplies into the State, ESF #7 is expected to see an increased role. ESF #7 may be supported in such cases by the NYNG (if activated), which will provide logistical expertise, personnel, and assets to support movement and staging of equipment and supplies from their points of origin to staging areas and operating sites.
- For expertise and staffing, key agencies for expanding the logistics function to meet the requirements of a pandemic including OGS and the NYNG.
- Inventory systems may need to evolve beyond a single agency to achieve a consolidated, real-time tracking and reporting visibility. ESF #7 will coordinate through the transition out of a Level 1 pandemic to recollect and redistribute high demand supplies to others in need as determined.

- Additional logistical considerations for ESF #7 during a Level 1 pandemic include methods for managing the flow of following supply sources:
 - State stockpiled equipment/supplies.
 - State procured equipment/supplies (Including the DOH orders).
 - State produced supplies (Including Corcraft Products).
 - Corporate and private citizen donations.
 - Federal supplies (Including from FEMA).

g. ESF #8 – Public Health and Medical Services

ESF #8 will likely have the largest set of tasks and responsibilities during a pandemic. Response and recovery operations will encompass the activities from an agency-specific (statutory) standpoint and from a multi-agency disaster response standpoint. ESF #8 will:

- Assess and implement enhanced surveillance in both affected and unaffected localities and activate revised surveillance protocols, as needed.
- Identify social distancing and isolation protocols.
- Assess bed space/capacity and identify alternate facilities.
- Perform surveillance of schools and colleges.
- Assess and ready the MERC, inventory, and prepare for 24/7 staffing.
- Coordinate the distribution of MERC and obtaining of medical equipment and supplies, pharmaceuticals, and restocking healthcare facilities.
- Evaluate surge capacity for medical staffing.
- Identify screening options and/or travel restrictions necessary to limit exposure.
- Determine highest risk groups (elderly, pediatric, pregnant, immunocompromised, etc.) as appropriate.
- Define groups that will receive priority access to supplies.
- Expand programs for medical reserves and healthcare professionals.
- Activate the DOH Health Operations Center (HOC).
- Identify, procure, and mobilize needed supplies early. Utilize a surge model to identify regions where both staff and resources may need to be pre-positioned.
- Coordinate laboratory testing, providing guidance to local laboratories, and coordinating the use of State and Federal labs to respond to the surge of multiple tests. ESF #8 may consider the use of drive-thru testing facilities during a Level 1 pandemic, similar to those established for the COVID-19 response. DHSES may also need to provide additional logistical support to the DOH for pop-up virus testing centers to provide the DOH an accurate and current number of people infected to refine their projections and facilitate quarantining.
- Develop and disseminate (including to the public, as appropriate) a dynamic, prioritized list of treatment and prophylaxis recommendations, clinical guidelines, and priority recipients. Disseminate case and contact management protocols to ensure suspect cases are promptly identified and isolated, and contacts are located, quarantined, and monitored for symptoms, as appropriate. Dissemination will be done through the ESF #15/JIC in coordination with the MAC Group and State EOC Command.
- Coordinate the identification and access to facilities that may be used for triage, treatment centers, and PODs.
- Request surveillance and modeling data from CDC.

- Obtain surveillance/visibility in country of origin and assess their potential impacts on travel.
- Meet with other ESFs to determine quarantine and isolation wraparound/essential services that may be provided and determine action steps.
- Advise DHSES/State OEM to establish and maintain stockpiles of needed resources such as vaccines, PPE, hand sanitizer, cleaning/disinfectant supplies, body bags, and/or any additional items that would specifically be needed for the particular virus.
- Coordinate State and Federal medical personnel to support inpatient hospital care and outpatient services, including alternate care facilities.
- Activate the *NYS Emergency Medical Services Mobilization Plan* to support local response agencies. Coordinate Emergency Medical Services (EMS) assets in support of jurisdictions that are overwhelmed.
- Coordinate the use of fire services assets to provide Basic Life Support (BLS) services as well as coverage for fire protection, hazardous materials response, and Urban Search and Rescue (USAR).
- Coordinate the use and distribution of antivirals and Federally supplied vaccine (if available) to ensure an adequate supply to priority geographic areas and recipients. The State OEM Planning Section maintains a Vaccine Distribution Plan produced originally for the COVID-19 response. For ESF #8, that plan will have future application during pandemics of similar speed and scale as COVID-19, and it may be customized to plan distribution of vaccines for future pandemic diseases in New York State.
- Identify and utilize facilities that may be used to stage medical supplies, Managed Inventory (MI), MERC, antivirals, or vaccine. Coordinate with planners in ESF #5 and logisticians in ESF #7 to customize implementation of the Hospital Supplies Staging Plan as required.
- Coordinate the use of volunteers that can be used at traditional and/or non-traditional PODs and the SNS mobilization center and distribution sites. ESF #8 will work with the DOH to set up a system to screen and register out-of-state volunteers, relying as necessary on DOH waivers for out-of-state and/or retired, licensed practitioners to immediately practice in New York State.
- Activate infection control procedures and disseminating guidance to minimize transmission of the virus in homes, the community, healthcare facilities and mass care centers. This guidance will include recommendations on PPE that should be worn by State and local responders and other public and private entities. The release of this information will be done through the ESF #15/JIC and in coordination with the MAC Group and local government.
- During the response, ESF #8 will examine the potential of a novel virus to infect other animals and humans through drinking water and wastewater systems.
- Utilize applicable State legal authorities to ensure availability of additional beds and alternate facilities, including State facilities.
- Coordinate with EMAC assets (if supplied) and ESF #8.
- Assessing the public health and medical needs in unison with the Federal Incident Response Coordination Team. This includes an assessment of the healthcare system/facility infrastructure.
- Responding to medical surge capacities; identifying Federal facilities (e.g., Veterans Affairs, Federal military installations) that may be able to support triage and treatment.

- Coordinating the receipt and distribution of the SNS (Managed Inventory), MERC, and obtaining medical equipment and supplies, pharmaceuticals, and restocking healthcare facilities.
- Coordinating State and Federal medical personnel, such as the U.S. Public Health Service (USPHS), National Disaster Medical System (NDMS), and Disaster Medical Assistance Teams (DMAT) to support inpatient hospital care and outpatient services, including in mass care centers.
- As needed, coordinating with DMORT in establishing temporary morgue facilities, victim identification, and processing, preparing, and disposition of the remains. This will be done in strict coordination with the local ME.
- Invoke State legal authorities, such as the suspension of licensing requirements, to support the availability of surge clinical and hospital staffing, holding and control drugs and medical supplies intended for wholesale distribution, obtaining necessary inventories, and coordinating the distribution of assets to the designated locations.
- Recommend to LHDs the most feasible, effective, and enforceable methods of isolation and quarantine to prevent the spread of the virus.
- Provide training, including just-in-time training, to build public health and healthcare.
- Coordinate EMS assets in support of jurisdictions that are overwhelmed.
- Coordinate EMS assets that will serve mass care centers, adjunct medical facilities, and shelter operations. Operations may include assisting in triage, treatment, and transport of affected individuals to primary, secondary, and tertiary facilities.
- Support the procurement and distribution of antivirals and vaccine (if available).

h. ESF #11 – Agriculture and Natural Resources

- If the novel virus is still active in the animal population, ESF #11 will serve as the lead in eradication of that vector. ESF #11 will provide situational status reports on response operations to inform the MAC Group and State EOC Command Staff of the effectiveness of eradication efforts.
- ESF #11 may assist in the trace-forward or trace-back for an event of this type. This will likely be the case if the novel virus first appears in animals and is zoonotic.

i. ESF #12 – Energy

- Identify and support public and private utility providers that may have difficulty continuing to operate due to employee absenteeism.
- If the electric or fuel supply or delivery systems are impacted, ESF #12 will coordinate the implementation of the Energy Emergency Annex to the State CEMP, as required, to support the response. The NYS Energy Research and Development Authority (NYSERDA) is the lead for petroleum and coal emergencies and the DPS is the lead for electrical systems and natural gas emergencies.

j. ESF #13 – Public Safety and Security

- Provide support in implementing security measures at the SNS Mobilization center, traditional and/or non-traditional PODs, and distribution points where medical assets are being distributed to medical personnel.

- Provide support to local law enforcement that have been overwhelmed or affected by the pandemic.
- Coordinate traffic and access control points for areas where travel restrictions were identified, including interstate thoroughfares.
- Support security at mass care centers, adjunct medical facilities, and morgue sites.
- Provide security for the transportation of commodities, supplies, and relief material that may be scarce during a sustained pandemic.
- Develop and determine the need for looting, rioting, protests, and or/curfew plans.
- Develop procedures for quarantine enforcement.

k. ESF #15 – External Affairs

- Activate a JIC.
- Perform rumor control through identification of false information and appropriate dissemination of accurate information, resources, and sources of information for the general public.
- Utilize a single point of information access, through website/social media, as well as donation opportunities and/or key messages.

3. Department of Financial Services, Department of Taxation and Finance, Empire State Development Corporation

- The above noted agencies will disseminate risk communication information throughout the business and financial sectors respective to each agency's purview.
- Based on statutory authorities, each agency will conduct an assessment of the financial sector to ascertain viability, status, and support mitigative measures to lessen the impact of a pandemic on that sector. This may include broad discretionary powers that may be utilized to lessen the impact on banking and interrupt or disturb public confidence in the financial sector.
- Agencies will work collectively to ensure that the business and financial sectors in the state continue to support the general population.
- Agencies will explore opportunities to expedite the receipt and transfer of funds, tax credits, and the receipt of life insurance or disability policies for victims of a pandemic.

4. Governor's Office of Employee Relations, State Civil Service, Department of Labor

- Identify and disseminate guidance to State agencies in human resources issues, concerns, and union-related activities. The guidance should consider leave accruals and any adjustments the State can make to allow employees to attend to themselves or their families if they become ill.
- Jointly identify staffing capabilities on State contract that could support State agency staffing.
- Explore opportunities to expedite the canvass and hiring process, including temporary workers, to fill vacancies in State government.
- Work with the DOL to coordinate recruitment, classification, and assignment of workers to meet essential needs.
- For Level 1 pandemics, DOL will establish a surge workforce and operations optimization capability to handle the exponential spike in State unemployment claims that can be expected to occur.

5. State/Federal Coordination under the NRF and the HHS Pandemic Influenza Response Plan

a) Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)

The DHS/FEMA may implement the NRF, which provides a mechanism for organizing, coordinating, and mobilizing Federal resources to augment State and local resources.

Under the NRF, DHS/FEMA may employ a variety of ESFs for coordinating response and recovery activities. As identified in the HHS *Pandemic Influenza Response Plan*, Federal response planning efforts have definitively pre-identified only one ESF to be activated for a pandemic, that being ESF #8 - Health and Medical Services. However, the plan does identify that other ESFs will be utilized as appropriate during a pandemic.

In New York State, the State ESF #8 will be the lead in coordinating with the Federal ESF #8. The lines of coordination of all the State ESFs can be found in Attachment 2: *State/Federal Coordination for Resources and Resource Support*.

If a Federal Disaster Declaration is issued and FEMA is activated to coordinate the national response, FEMA must take the lead on managing the distribution of high-demand medical supplies. FEMA will deconflict supply management efforts the HHS, which manages the SNS through its Office of the Assistant Secretary for Preparedness and Response (ASPR). See the section on HHS below (Item 5) for specific procedural recommendations that State ESF #8 will issue to HHS.

b) United States Department of Health and Human Services

The HHS has a major role in implementing the HHS *Pandemic Influenza Response Plan* and in being the coordinating agency in ESF #8. An all-inclusive list of activities of HHS during a pandemic is beyond the scope of this document. Therefore, in summary, the HHS will:

1. Under the auspices of the NRF, provide the direction, coordination, and integration of overall Federal efforts to provide public health and medical assistance to the State.
2. Task appropriate Federal agencies in deploying health and medical personnel, equipment, and supplies, including the direct deployment of USPHS in support of health and medical operations.
3. Promulgate and enforce regulations to prevent the spread of communicable diseases.
4. Conduct and support investigative measures into the cause, treatment and prevention of a disease or disorder.
5. In cases of real or perceived resource scarcity, HHS must play an active lead role to alleviate the burden placed on state governments. State ESF #8 will coordinate with HHS, through ASPR, to recommend the following measures:
 - **Transparent management of the National Stockpile** – HHS will proactively report inventory of scarce/high-demand medical resources to State ESF #8, informing the State what amount of support from the National Stockpile it can expect, when, and how that support will be delivered.
 - **Federalization of the procurement process** – HHS will take the lead on procuring scarce/high-demand medical resources and distribute them to states, as necessary through the National Stockpile, or otherwise to states directly by way of the State ESF #8. HHS and FEMA will avoid becoming additional competitors for high-demand resources and “bidding-up” states on the open market.

- **Modular allocation of resources across the country** – HHS and FEMA will take a national view on current and projected pandemic hot-spots, directing the transfer of high-demand resources on loan from the National Stockpile in a modular fashion from one state to another based on current/projected needs.

6. Sector and Agency-Specific Lines of Coordination with the Federal Response for Continuity of Operations

Unlike a traditional disaster, a pandemic is not likely to cause direct, physical damage to the infrastructure. However, a true pandemic will adversely affect the health and welfare of the general population over a large geographic area. The affected population makes up the backbone of our society as we know it. A pandemic that impacts the population on such a large scale may be accompanied by a variety of cascading effects and indirect impacts that have a profound impact on government's ability to provide essential services and maintain our critical infrastructure.

As identified in HSPD-7, critical infrastructure and key resources provide the essential services that underpin American society. The Nation possesses numerous key resources, whose exploitation or destruction could cause catastrophic health effects or mass casualties. Critical infrastructure is so vital that its incapacitation, exploitation, or destruction could have a debilitating effect on security and economic well-being. Consistent with the National Strategy for Homeland Security, the Secretary of Homeland Security has produced the National Infrastructure Protection Plan (NIPP), which outlines national goals, objectives, milestones, and key initiatives to protect the nation's critical infrastructure and key resources (CI/KR).

The NIPP is based upon a risk management framework that takes into account threats, vulnerabilities, and consequences when prioritizing CI/KR protection activities. It provides an integrated, comprehensive approach to addressing physical, cyber, and human threats and vulnerabilities to address the full range of risks to the Nation. The NIPP identifies Federal sector-specific agencies (SSAs) that will support preparedness, response, and recovery across a number of critical infrastructure sectors. It provides a roadmap for identifying CI/KR assets, assessing vulnerabilities, prioritizing assets, and implementing protection measures in each infrastructure sector. For each sector, the NIPP delineates roles and responsibilities for Federal SSAs in carrying out these activities, with DHS as the lead agency and single point of accountability and coordination.

While the NIPP is geared primarily towards protecting the infrastructure, the information and coordination that can be gleaned from the NIPP will be invaluable to the State in response to a pandemic. The vulnerabilities and capabilities for each sector have been identified, the results of which can be extrapolated into the State's pandemic response. This was done at the Federal level when looking at the NRF in relation to the NIPP. NRF response planning is informed by the most current and accurate assessments of CI/KR vulnerabilities. The primary agencies for the ESFs identified in the NRF are to access the information capabilities of the NIPP as they pertain to the response capabilities of the ESF. During the response phase of an incident, the information derived from NIPP implementation can be used to support initial response capabilities under the NRF. During an Incident of National Significance, DHS may designate an Infrastructure Liaison to serve as the principal advisor to the NRF response structure regarding all national and regional CI/KR related issues. In the absence of real-time incident information, the NIPP data can be modeled to provide anticipated consequences, and initial resources can be activated and deployed based on those predictions. Those models can support the State's decision in operational planning cycles during a pandemic. NRF recovery activities benefit from a centralized listing of CI/KR assets by geographic

area, and a mechanism for coordinated damage assessment, available through the NIPP. The NRF emergency response planning mechanism can use this information to prioritize recovery actions and resources.

To meet this challenge, the State has identified key lines of coordination to link existing State resources and capabilities to Federal resource support. State activities include ESF-specific multi-agency coordination with Federal ESFs as identified in the NRF. The technical basis for each agency activity is linked to a specific sector of the critical infrastructure. These concepts can be found in Attachment 2: *State/Federal Coordination for Resources and Resource Support*.

7. Intrastate, Interstate, and International Issues

As with other types of disasters, a pandemic will not stop at borders. In fact, imposing travel restrictions will likely be one of many primary means of non-medical containment. As such, three types of travel-related coordinative concerns need to be addressed: Intrastate, Interstate, and International travel. Key points in coordinating these efforts are as follows:

a) Intrastate Coordination

The recommendation or mandate to impose travel restrictions will be identified by LHDs and ESF #8. State support may be needed to maintain the traffic and access control points, utilizing the capabilities of the State ESFs. Resource support and movement restrictions will be coordinated through local government as appropriate.

b) Interstate Coordination

The recommendation or mandate to impose interstate travel restrictions will be identified by Governor's Office working with neighboring states and the Federal government. As with intrastate coordination, interstate coordination may require support to maintain traffic and access control points, utilizing the capabilities of the State ESFs. The resource support and movement restrictions will be coordinated through local government as well as with the neighboring state(s). The coordination with the local level in New York State will be managed through local government in the State via the command structure in place in New York. Interstate coordination will be managed through the State EOC to the State EOC of the state(s) in question.

The COVID-19 pandemic demonstrated this case in point, as New York State was openly competing with other states, as well as FEMA, for basic PPE and durable supplies such as ventilators. The result of the competition was "pandemic price gouging" by suppliers, which could be mitigated by regulation but only with delayed effects. Absent federalization of the procurement process, interstate coordination will be a vital weapon against price gouging, hoarding, and realized scarcity of resources. In the event of a pandemic affecting the United States, New York State will draft and execute memoranda of understanding with fellow state governments, as necessary escalating through the National Governors Association, to reduce the negative effects of market competition on New York State.

c) International Coordination

Similar to interstate coordination, the recommendation or mandate to impose international travel restrictions will be identified by ESF #8 through health networks with the Federal government and the WHO. As with interstate coordination, international coordination may require support to maintain the traffic and access control points, utilizing the capabilities of the State ESFs and Federal resources. The resource support and movement restrictions will be

coordinated through local government as well as the neighboring country. The coordination with the local level in New York State will be managed through local government in the State via the command structure in place in New York. International coordination will be managed through the State EOC with Federal ESF #15 External Affairs.

New York State Comprehensive Emergency Management Plan Pandemic Annex

Section IV: Recovery

A. Overview

The nature of a pandemic is such that the event will not likely conclude within a set period of time. Unlike other natural disasters, a pandemic will likely come in waves, causing resurgence in the response until immunity is developed or vaccine has been widely distributed. While the period between waves may be difficult to identify, or predict, recovery from a pandemic begins while the pandemic is still in progress and continues during the periods between waves and following the pandemic. This phase of the response may be recognized following the *Deceleration Interval* (CDC), with an eventual transition to the *Preparation Interval* (CDC).

B. Demobilization of the State Response

The *Preparation Interval* (CDC) of the phase schema is initiated when State OEM receives notification from the DOH that low pandemic virus activity exists while continued outbreaks are possible in the State. This will be based on disease surveillance from the DOH surveillance networks, including Federal counterparts, and the level of requests for State assistance necessary to support the response. As the pandemic subsides and the State EOC demobilizes, several actions or activities may be realized, including:

- Giving consideration to relaxing quarantine and isolation measures, traffic and access control points and demobilizing ICS field components that may have been deployed to coordinate the response.
- Assessing the effectiveness of the sector coordination, communications, and response capabilities during the prior pandemic phases. Adjust as needed in anticipation of the next wave.
- Assessing resources and authorities that may be needed for subsequent pandemic waves.
- Estimating the overall pandemic impact on the State, including mortality, severe morbidity, financial impacts, and the disaster recovery mechanisms that can support the general public.
- Continuing enhanced state surveillance and, via the Federal government, domestic, and international surveillance to detect further pandemic waves.
- Assessing vaccine coverage, identify gaps and effectiveness of targeting to priority groups, and efficiency of distribution and administration; determine the number of persons who remain unprotected.
- Assessing vaccine and antiviral efficacy, safety, and the impact the distribution and administration the medicines had during the pandemic.
- Monitoring continued administration of vaccine to persons not previously protected.
- Continue incorporating mental health messages to facilitate continued self-care and recovery.
- Communicating with local government, healthcare providers, the media, and the public about any subsequent pandemic waves.
- Conducting an assessment of coordination during the period of pandemic disease and revise response plans, as needed. This may include a formal after-action review of pandemic response activities.

C. The Recovery Process

1. Funding and Compensation

Whenever the Governor finds that a disaster has occurred or may be imminent and local capabilities may be exceeded, the Governor may declare a State Disaster Emergency. Whenever the Governor finds that the event is of such severity and magnitude that the State may be overwhelmed, the Governor can request Federal assistance.

The State CEMP outlines the disaster relief funding and programs that would be applicable for an incident of this type. Included are provisions for Public Assistance (PA) and Individual Assistance (IA), which would aid in supporting government response operations and provide some recovery assistance for individuals and their families, businesses and sectors identified in the preceding pages. The implementation of the recovery process is identified in Volume 2 of the State CEMP – *Response and Short-Term Recovery*.

In the event that the animal population is impacted by the pandemic, current Federal statutes provide for some support to the agricultural industry in response to an outbreak of animal disease. While limited, the compensation allows for fair market value of the products that were destroyed to limit the spread of a disease. New York State statutes also contain provisions for indemnity but are limited to the amount of financial support to portions of the agricultural industry. Provisions for indemnity applicable to the agricultural industry can be found in the ESF #11 – Agriculture and Natural Resources Annex, *Appendix for Emerging Infectious Diseases in Non-Human Populations*.

During the Recovery Phase of a major pandemic, DHSES will need to devote special effort to assisting authorities with recouping costs incurred during the Response Phase. DHSES will work with the New York State Department of Budget (DOB) to sort out the various funding streams activated during the pandemic, commonly derived from disaster declarations at the State and Federal levels and establish a plan for seeking reimbursement for all eligible costs incurred.

2. Social and Economic Effects

The economic effects of a pandemic on the State, even on a small scale, may be enormous to the victims and their families, public and private entities, and to subsidiary and support industries of our economy. Employment may be affected over a wide range of sectors, from the farming and subsidiary industries, to distributors, the retail industry, to education, and to government. The impact on the sectors that serve as the foundational elements of our way of life may have a cascading effect. The potential exists for many businesses that rely upon or support those sectors to be severely impacted, including local businesses, distributors, healthcare, and any reliable business, market, or industry. Movement restrictions invoked under State or Federal authorities during the response may promote erratic prices of common products, services, or commodities. This is especially the case in the food service industry where most food providers maintain minimal or “just in time” inventories.

The State will need to take proactive measures in reenergizing the state’s economy. A variety of mechanisms to support the economy and the consumer (general public) in times of disaster are already identified in the State CEMP Volume 3 through the Recovery Support Functions (RSFs). In addition, these efforts may include:

- Monitoring excessive pricing practices to prevent “price-gouging”.
- Providing Unemployment Insurance Benefits and personnel services, including job counseling.
- Providing additional assistance to small businesses with grants and loan programs and assist an even larger group of businesses, through a broad range of services, to help the entire business community.
- Utilizing discretionary powers for abating penalties and extending tax due dates as warranted by the emergency.
- Providing advice on tax law provisions for losses related to the disaster.
- Working with lending institutions in requesting compassion and restraint for victims of a pandemic.

The bullets above note just a few of the potential State mechanisms that could be utilized to reenergize the economy and support the general population. The State’s ability to implement such actions, and others, rests with the agency that has the statutory obligation and authority to do so. Additional recovery programs can be found in Volume-3 of the State CEMP, *Long-Term Recovery*.

3. Continual Mental Health and Workforce Support Services

While unfortunate, it is recognized that a pandemic will likely result in a number of fatalities. In doing so, a pandemic will not discriminate when impacting the population. As a result, many entities, public, private, large, and small, may have workforce support issues that will need to be resolved. The general public may also need support from experiencing the loss of loved ones, but also from experiencing movement and restriction controls that are uncommon to our way of life.

During the response phase, disaster mental health services will be provided through ESF #6 via the State Office of Mental Health (OMH). The OMH is the lead in ensuring that mental health services are available and is responsible for coordinating State and Federal mental health resources that are requested through the State OEM. As the response organization demobilizes, State agencies will be afforded an additional opportunity to acquire mental health support from OMH via the existing response structure. This will allow for a more broad-based coordination of mental health support to State agencies utilizing the reporting and information sharing networks that will be active during the response.

Mental health activities may be ongoing for an extended period of time. Following demobilization, the OMH will serve as the POC in providing mental health services. The support will be recognized through pre-existing channels to provide mental health counseling and workforce resiliency.

The DOH *Pandemic Influenza Response Plan* identifies workforce support concepts and training materials to support the education of the State and local public healthcare partners. The goal in doing so is to assist in turning over the mental health services capability back to the local level for local government and the general public to utilize following the response. Support for local mental health support should be made available to all of the necessary sectors as well as the general public. Through the recovery process, the availability of mental health support should be maintained and consistently disseminated throughout ongoing public information campaigns. This capability should be coordinated through LHDs to reach the needed audiences.

4. Risk Reduction in Recovery

a. Surveillance

Surveillance in the post-pandemic phase will be conducted by State, Federal, and international public healthcare settings. In the State, ongoing virologic surveillance will be carefully coordinated by DOH to optimize the available resources and surveillance methodologies. The surveillance will be essential in quickly identifying any potential imminent waves of the pandemic to allow the State to resume the response posture.

b. Public Awareness

Public awareness and risk communications will be vital in successfully implementing a cohesive and coordinated response. The JIC will be the primary source of releases to the public to provide factual information on the status of activities, clinical signs, and symptoms of the pandemic virus, and what the general public can do to protect themselves. This type of capability needs to continue through the recovery process. Following the demobilization of the JIC, DOH will be the single POC for all pandemic inquiries. The information that can be provided includes fact sheets on the pandemic virus, travel advisories, risk factors, and recommended steps the public can take to reduce their risk of illness. Further, information and education materials may be disseminated through various means, including media outlets, public health networks, web-based applications, and on agency web sites.

Attachments:

Attachment 1: State/Federal Coordination for Resources and Resource Support

Attachment 2: List of References used in Plan Development

Attachment 3: Glossary and List of Acronyms

Attachment 4: NYS Pilot Statewide Telecommuting Program Memo & Bulletin

Attachment 1

State/Federal Coordination for Resources and Resource Support

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
Food and Agriculture	ESF #6: Mass Care, Emergency Assistance, Housing, and Human Services	ESF #6: Mass Care, Emergency Assistance, Temporary Housing, and Human Services	DHS/FEMA	USDA, HHS	ESF 6: Non-medical mass care services to include sheltering of victims, organizing feeding operations, emergency first aid, coordinating bulk distribution of emergency relief items.
	ESF #11: Agriculture and Natural Resources	ESF #11: Agriculture and Natural Resources	USDA	USDA, HHS	ESF 11: Can provide nutrition assistance, control and eradication of an animal /zoonotic disease outbreak, assurance of food safety and food security, protection of natural and cultural resources.
Water and Wastewater Systems	ESF #3: Public Works and Engineering	ESF #3: Public Works and Engineering	DOD	DOD	ESF 3: Assessments of public works and infrastructure, executing emergency contract support and real estate services.
	ESF #6: Mass Care, Emergency Assistance, Housing, and Human Services	ESF #6: Mass Care, Emergency Assistance, Temporary Housing, and Human Services	DHS/FEMA	EPA	ESF 6: Coordinating bulk distribution of emergency relief items.

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
Dams	ESF #3: Public Works and Engineering	ESF #3: Public Works and Engineering	DOD	DOD	ESF 3: Assessments of public works and infrastructure; executing emergency contract support and real estate services.
	ESF #12: Energy	ESF #12: Energy	DOE	DHS	ESF 12: Provide support and assistance to power producers; actions to assess energy supply demands; technical support to hydroelectric facilities.
	ESF #13: Public Safety and Security	ESF #13: Public Safety and Security	DOJ		ESF 13: Law enforcement support, credentialing, access control, site security, traffic and crowd control, security for the SNS.
Healthcare and Public Health	ESF #6: Mass Care, Emergency Assistance, Housing, and Human Services	ESF #6: Mass Care, Emergency Assistance, Temporary Housing, and Human Services	DHS/FEMA	HHS	ESF 6: Human Services include providing victim-related recovery efforts such as counseling, identifying support for persons with special needs, expediting processing of new Federal benefits claims.
	ESF #8: Public Health and Medical Services	ESF #8: Public Health and Medical Services	HHS		ESF 8: Assessment of public health/medical needs (including behavioral health), public health surveillance, medical care (NDMS) personnel, medical equipment, and supplies.
	ESF #11: Agriculture and Natural Resources	ESF #11: Agriculture and Natural Resources	USDA		ESF 11: Nutrition assistance, control and eradication of an animal/zoonotic disease outbreak, assurance of food safety and food security.
	ESF #15: External Affairs	ESF #15: External Affairs	DHS		

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
					ESF 15: Public Affairs, community relations, congressional and international affairs, State and local coordination, and Tribal affairs.
Emergency Services	<p>ESF #4: Firefighting</p> <p>ESF #5: Information and Planning</p> <p>ESF #7: Logistics</p> <p>ESF #8: Public Health and Medical Services</p>	<p>ESF #4: Firefighting</p> <p>ESF #5: Information and Planning</p> <p>ESF #7: Logistics</p> <p>ESF #8: Public Health and Medical Services</p>	<p>USDA/FS</p> <p>DHS/FEMA</p> <p>GSA/DHS/ FEMA</p> <p>HHS</p>	DHS	<p>ESF 4: Provides personnel, equipment, and supplies in support of State, local, and tribal agencies involved in rural and urban firefighting operations.</p> <p>ESF 5: Deploy staff to support emergency response teams, logistics and material, direction and control, information management, resource acquisition and management, including allocation and tracking.</p> <p>ESF 7: Support contracting services and security services, and personnel required to support immediate response activities.</p> <p>ESF 8: Can support emergency first aid.</p>

<i>Critical Infrastructure Sector</i>	<i>State Agency or ESF</i>	<i>Federal Coordination with ESF- resources to support the response.</i>	<i>ESF Coordinating Agency</i>	<i>Federal Sector-Specific Agency (SSA)</i>	<i>State/Federal ESF Coordinative Notes Specific to a Pandemic</i>
	<p>ESF #9: Search and Rescue</p> <p>ESF #13: Public Safety and Security</p>	<p>ESF #9: Search and Rescue</p> <p>ESF #13: Public Safety and Security</p>	<p>DHS/FEMA</p> <p>DHS/DOJ</p>		<p>ESF 9: USAR support as needed.</p> <p>ESF 13: Law enforcement support, credentialing, access control, site security, traffic and crowd control, security for the SNS.</p>

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
Commercial Facilities	ESF #4: Firefighting	ESF #4: Firefighting	USDA/FS	DHS	ESF 4: Provides personnel, equipment, and supplies in support of State, local, and tribal agencies involved in rural and urban firefighting operations.
	ESF #5: Information and Planning	ESF #5: Information and Planning	DHS		ESF 5: Deploy staff to support emergency response teams, logistics and material, direction and control, information management, resource acquisition and management, including allocation and tracking.
	ESF #7: Logistics	ESF #7: Logistics	GSA/DHS/ FEMA	DHS/ GSA	ESF 7: Support contracting services and personnel required to support immediate response activities.
	ESF #13: Public Safety and Security	ESF #13: Public Safety and Security	DOJ		ESF 13: Law enforcement support, credentialing, access control, site security, traffic and crowd control, security for the SNS.
	ESF #15: External Affairs	ESF #15: External Affairs	DHS		ESF 15: Public affairs, community relations, congressional and international affairs, State and local coordination, and Tribal affairs.
Defense Industrial Base	ESF #3: Public Works and Engineering	ESF #3: Public Works and Engineering	DOD	DOD	ESF 3: Assessments of public works and infrastructure; executing emergency contract support and real estate services.
	ESF #12: Energy	ESF #12: Energy	DOE		ESF 12: Assist with requests for locating fuel for transportation, communications, emergency operations, and national defense.

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
Nuclear Reactors, Materials, and Waste	ESF #12: Energy	ESF #12: Energy	DOE	DOE DHS	ESF 12: Assist with requests for emergency response actions as they pertain to the Nation's energy supply, locating fuel for transportation, communications, emergency operations, Federal actions to conserve fuel and electric power; provide energy supply information and guidance on the conservation and efficient use of energy to the State, assesses fuel and electric power damage and energy supply and demand, and identifies requirements to repair energy systems, recommends options to mitigate impacts, and coordinates restoration of energy systems. ESF 12 (above) and see emergency services for additional State/Federal resource support.
Transportation	ESF #1: Transportation ESF #6: Mass Care, Emergency Assistance, Housing, and Human Services ESF #7: Logistics	ESF #1: Transportation ESF #6: Mass Care, Emergency Assistance, Temporary Housing, and Human Services ESF #7: Logistics	DOT HHS GSA/DHS/	DHS/DOT	ESF 1: Processing and coordinating requests for Federal and civil transportation support, coordinating alternate transportation services; coordinating activities conducted under the direct authority of DOT elements such as air, maritime, surface, rail, and pipelines. ESF 6: Expedites mail services in affected areas.

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
			FEMA		ESF 7: Contracting services, including transportation services, in coordination with ESF #1.
Financial Services	ESF #2: Communications ESF #7: Logistics	ESF #2: Communications ESF #7: Logistics	DHS GSA/DHS/ FEMA	Dept. of Treasury	ESF 2: Coordinates to assess the need for telecommunications support for financial sector ISAC. ESF 7: Personnel support for requirements not specifically identified in other ESFs. <i>Note: Federal coordination should be maintained through the Treasury to the Financial and Banking Information Infrastructure Committee (FBIIIC) to a host of State, Federal and private banking, and financial institutions.</i>
Chemical	ESF #1: Transportation ESF #7: Logistics ESF #12: Energy	ESF #1: Transportation ESF #7: Logistics ESF #12: Energy	DOT GSA/DHS/ FEMA DOE	DHS	ESF 1: Processing and coordinating requests for Federal and civil transportation support, coordinating alternate transportation services; coordinating activities conducted under the direct authority of DOT elements such as air, maritime, surface, rail, and pipelines. ESF 7: Contracting services, including transportation services, in coordination with ESF #1. ESF 12: Assist with requests for emergency response actions as they pertain to the Nation's

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
					energy supply, locating fuel for transportation, Federal actions to conserve fuel and electric power; provide energy supply information and guidance on the conservation and efficient use of energy to the State, assesses fuel and electric power damage and energy supply and demand.
Government Facilities	<p>ESF #4: Firefighting</p> <p>ESF #5: Information and Planning</p> <p>ESF #7: Logistics</p> <p>ESF #13: Public Safety and Security</p>	<p>ESF #4: Firefighting</p> <p>ESF #5: Information and Planning</p> <p>ESF #7: Logistics</p> <p>ESF #13: Public Safety and Security</p>	<p>USDA/FS</p> <p>DHS</p> <p>GSA/DHS/ FEMA</p> <p>DOJ</p>	<p>DOI</p> <p>DHS/ GSA</p>	<p>ESF 4: Provides personnel, equipment, and supplies in support of State, local, and tribal agencies involved in rural and urban firefighting operations.</p> <p>ESF 5: Deploy staff to support emergency response teams, logistics and material, direction and control, information management, resource acquisition and management, including allocation and tracking.</p> <p>ESF 7: Support contracting services and personnel required to support immediate response activities.</p> <p>ESF 13: Law enforcement support, credentialing, access control, site security, traffic and crowd control, security for the SNS.</p>

Critical Infrastructure Sector	State Agency or ESF	Federal Coordination with ESF- resources to support the response.	ESF Coordinating Agency	Federal Sector-Specific Agency (SSA)	State/Federal ESF Coordinative Notes Specific to a Pandemic
	ESF #15: External Affairs	ESF #15: External Affairs	DHS		ESF 15: Public affairs, community relations, congressional and international affairs, State and local coordination, and Tribal affairs.
Critical Manufacturing	ESF #1: Transportation ESF #7: Logistics	ESF #1: Transportation ESF #7: Logistics	DOT GSA/DHS/ FEMA	DHS	ESF 1: Processing and coordinating requests for Federal and civil transportation support, coordinating alternate transportation services. ESF 7: Contracting services, including transportation services, in coordination with ESF #1.
Communications	ESF #2: Communications	ESF #2: Communications	DHS	DHS	ESF 2: Coordinates to assess the need for telecommunications industry support, ensures such support is available as needed, including personnel.

Attachment 2

List of References Used in Plan Development

The following is a list of documents that were used in the preparation of this Annex:

1. The New York State Comprehensive Emergency Management Plan (CEMP):

 Volume 2: Response and Short-Term Recovery, and all Emergency Support Functions (ESFs), as appropriate.

 Volume 3: Long-Term Recovery Plan
2. The New York State Department of Health, *Pandemic Influenza Response Plan*; March 2014.
3. U.S. Centers for Disease Control and Prevention, *Updated Preparedness and Response Framework for Influenza Pandemics*; September 2014.
4. World Health Organization, *Pandemic Influenza Risk Management: WHO Interim Guidance*; June 2013.
5. World Health Organization, *WHO Guidance for Surveillance during an Influenza Pandemic*; November 2017.
6. U.S. Department of Health and Human Services, *HHS Pandemic Influenza Plan*; November 2005.
7. U.S. Department of Health and Human Services, *Pandemic Influenza Plan Update*; 2017.
8. Homeland Security Council, *National Strategy for Pandemic Influenza*; November 2005.
9. Homeland Security Council, *National Strategy for Pandemic Influenza Implementation Plan*; May 2006.
10. U.S. Department of Homeland Security, *National Infrastructure Protection Plan*; 2013.
11. U.S. Department of Homeland Security, *National Response Framework, Third Edition*; June 2016.
12. Homeland Security Presidential Directive (HSPD) #5 – Management of Domestic Incidents; February 2003.
13. Homeland Security Presidential Directive (HSPD) #7 – Critical Infrastructure Identification, Prioritization and Protection; December 2003.
14. U.S. Centers for Disease Control, *State and Local Planning Checklist*; December 2005.
15. World Health Organization, *Global Influenza Preparedness Plan*; May 2005.
16. World Health Organization, *Review of Latest Evidence on Risks to Human Health Through Potential Transmission of Avian Influenza through Water and Sewage*; March 2006.

Attachment 3

Glossary and List of Acronyms

I. Glossary

Adjuvant: Substances that can be added to a vaccine to increase the effectiveness of the vaccine.

Affected community: An at-risk community experiencing endemic (widespread and recurring) or epidemic (isolated) cases in humans or domestic animals of a virus with human pandemic potential.

Antiviral medications: Medications presumed to be effective against potential pandemic virus strains.

Arrival screening: Medical screening upon arrival to detect individuals who have signs of illness or who are at high risk of developing illness.

Asymptomatic: Without symptoms.

At-risk community: An unaffected community with insufficient medical, public health, or veterinary capacity to prevent, detect, or contain a virus with pandemic potential.

Containment: Contain an outbreak to the affected region(s) and limit of spread of the pandemic through aggressive attempts to contain via isolation, quarantine, or social distancing.

Continuity of operations: Refers to the capability to ensure the performance of essential functions during any emergency or situation that may disrupt normal operations.

Countermeasures: Refers to pre-pandemic and pandemic virus vaccine and antiviral medications.

Critical infrastructure: Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters. Specifically, it refers to the critical infrastructure sectors and key resources identified in Homeland Security Presidential Directive 7 (HSPD-7).

Delegation of authority: Identification, by position, the authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate.

Domestic animals: Livestock, including poultry, and other farmed birds or mammals; does not include companion animals such as dogs, cats, or pet birds.

Dose sparing strategies: Strategies to increase virus vaccine immunogenicity and minimize the dose of vaccine necessary to confer immunity.

Epidemic: A pronounced clustering of cases of disease within a short period of time; more generally, a disease whose frequency of occurrence is in excess of the expected frequency in a population during a given time interval.

Essential functions: Functions that are absolutely necessary to keep a business operating during a pandemic, and critical to survival and recovery.

Geographic quarantine: The isolation of localities with documented disease transmission from localities still free of infection.

High-risk community: An at-risk community that is located in proximity to an affected area, or in which a wildlife case of the virus with pandemic potential has been detected.

Highly Pathogenic Avian Influenza (HPAI): An infection of poultry caused by any influenza A virus that meets the World Organization for Animal Health (OIE) definition for high pathogenicity based on the mortality rate of chickens exposed to the virus.

Isolation: Separation of infected individuals from those who are not infected.

Key assets: Subset of key resources that are “individual targets whose destruction could cause large scale injury, death, or destruction of property, and/or profoundly damage our national prestige or confidence.”

Key resources: Publicly or privately controlled resources essential to the minimal operations of the economy and government. This refers to the four key resources identified in HSPD-7 and the National Infrastructure Protection Plan. These four key resources include: dams; government facilities; commercial facilities; and nuclear reactors, material, and waste.

Live bird marketing system (LBMS): Live poultry markets in the United States and the poultry distributors and poultry production premises that supply those markets.

Lines of succession: Refers to the sequential order or ranking of individuals who would assume authority and responsibility if the leadership is incapacitated or unavailable.

Pandemic: A worldwide epidemic when a new or novel strain of a virus emerges in which humans have little or no immunity and develops the ability to infect and be passed between humans.

Pandemic vaccine: Vaccine for specific influenza virus strain that has evolved the capacity for sustained and efficient human-to-human transmission. This vaccine can only be developed once the pandemic strain emerges.

Points of Dispensing (PODs): Locations or facilities where state and/or local authorities will be distributing vaccine or anti-viral medications, if available. These types of facilities are considered “traditional PODs”. Non-traditional PODs would be a means to distribute vaccine or antivirals while maintaining social distancing, such as “drive through” centers where occupants of a vehicle do not exit the vehicle but receive the required medication.

Post-exposure prophylaxis: The use of antiviral medications in individuals exposed to others with a virus to prevent disease transmission.

Prophylaxis: The prevention of a disease or of a process that can lead to disease. With respect to pandemic viruses this specifically refers to the administration of antiviral medications to healthy individuals for prevention of the virus.

Quarantine: Separation of individuals who have been exposed to an infection but are not yet ill from others who have not been exposed to the transmissible infection.

Sector: Part or division of the national economy.

Sector-Specific Agency: Federal departments and agencies identified under HSPD-7 as responsible for infrastructure protection activities in a designated critical infrastructure sector or key resources category.

Social distancing: Infection control strategies that reduce the duration and/or intimacy of social contacts and thereby limit the transmission of a virus. There are two basic categories of intervention: transmission interventions, such as the use of facemasks, may reduce the likelihood of casual social contacts resulting in disease transmission; contact interventions, such as closing schools or canceling large gatherings, eliminate or reduce the likelihood of contact with infected individuals.

Surge capacity: Refers to the ability to expand provision of services beyond normal capacity to meet transient increases in demand. Surge capacity within a medical context denotes the ability of health care or laboratory facilities to provide care or services above their usual capacity, or to expand manufacturing capacity of essential medical materiel (e.g., vaccine) to meet increased demand.

Telecommuting: Working from home or an alternate site and avoiding coming to the workplace through telecommunication (computer access).

Treatment course (antiviral medications): The course of antiviral medication prescribed as treatment (not prophylaxis) for a person infected with an agent susceptible to the antiviral medication.

Treatment course (vaccine): The course of vaccine required to induce protective immunity against the target of the vaccine.

Virulence: Virulence refers to the disease-evoking severity of the virus.

Wave: The period during which an outbreak or epidemic occurs either within a community or aggregated across a larger geographical area. The disease wave includes the time during which disease occurrence increases rapidly, peaks, and declines back toward baseline.

II. List of Acronyms

APHIS	Animal and Plant Health Inspection Service
BLS	Basic Life Support
CDC	U.S. Centers for Disease Control and Prevention
CEMP	NYS Comprehensive Emergency Management Plan
CI/KR	Critical Infrastructure and Key Resources
COOP	Continuity of Operations Planning
DHS	Department of Homeland Security
DMAT	Disaster Medical Assistance Teams
DMNA	Division of Military and Naval Affairs
DMORT	Disaster Mortuary Services
DOD	Department of Defense
DOT	Department of Transportation

DPC	NYS Disaster Preparedness Commission
DPS	Department of Public Service
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EMAC	Emergency Management Assistance Compact
EPA	U.S. Environmental Protection Agency
ERT-A	Federal Emergency Response Team-A
ESF #1	Emergency Support Function (Transportation)
ESF #2	Emergency Support Function (Communications)
ESF #3	Emergency Support Function (Public Works and Engineering)
ESF #4	Emergency Support Function (Firefighting)
ESF #5	Emergency Support Function (Information and Planning)
ESF #6	Emergency Support Function (Mass Care, Emergency Assistance, Housing, and Human Services)
ESF #7	Emergency Support Function (Logistics)
ESF #8	Emergency Support Function (Public Health and Medical Services)
ESF #9	Emergency Support Function (Search and Rescue)
ESF #10	Emergency Support Function (Oil and Hazardous Materials Response)
ESF #11	Emergency Support Function (Agriculture and Natural Resources)
ESF #12	Emergency Support Function (Energy)
ESF #13	Emergency Support Function (Public Safety and Security)
ESF #15	Emergency Support Function (External Affairs)
FEMA	Federal Emergency Management Agency
HAN	NYS DOH Health Alert Network
HHS	U.S. Department of Health and Human Services
HPAI	Highly Pathogenic Avian Influenza Virus
HSPD #5	Homeland Security Presidential Directive-5; NIMS
IA	Individual Assistance
ICS	Incident Command System
IMT	State Incident Management Team
ITS	NYS Office of Information Technology Services
JIC	Joint Information Center
LHD	Local Health Department
MERC	Medical Emergency Response Cache
MI	Managed Inventory
NDMS	National Disaster Medical System
NFPA 1600	Standard on Disaster/Emergency Management and Business Continuity
NIMS	National Incident Management System
NIIMS	National Interagency Incident Management System
NIPP	National Infrastructure Protection Plan
NRF	National Response Framework
NYSERDA	NYS Energy, Research and Development Authority
OMH	NYS Office of Mental Health
OSTP	Office of Science and Technology Programs
OTDA	Office of Temporary and Disability Assistance
PA	Public Assistance
PFO	Principal Federal Official
POD	Point of Dispensing

PPE	Personal Protective Equipment
State OEM	New York State Office of Emergency Management
State EOC	State Emergency Operations Center
SNS	Strategic National Stockpile
SSA	Sector Specific Agencies
USDA	U.S. Department of Agriculture
USPHS	U.S. Public Health Service
WHO	World Health Organization
WPU	NYS DEC Wildlife Pathology Unit

Attachment 4

***NYS Pilot Statewide Telecommuting Program
Memo & Bulletin***

During the State response to the Novel Coronavirus Pandemic in 2020-21, a number of approaches were employed to ensure adequate social distancing and safety protocols could be applied correctly. One such approach included the implementation and use of a Statewide Telecommuting Program. This program was initiated on March 16, 2020 and was extended a number of times. The memo and bulletin on the following page provided the policy, guidance, and included an application for those who wished to telecommute. This approach was employed well and appeared to ensure more appropriate application of preventative measures during the pandemic.

MEMORANDUM

March 16, 2020

TO: Directors of Human

Resources FROM: Michael N. Volforte

SUBJECT: Pilot Statewide Telecommuting Programs for M/C, CSEA, PEF and UUP-represented Employees

We have received frequent requests for guidance on deploying employees to telecommute as we move to implement social distancing precautions recommended by the Department of Health in response to the novel Coronavirus COVID-19.

We have entered into agreements with CSEA, PEF and UUP that create a Pilot Statewide Telecommuting Program (Telecommuting Pilot Program) covering employees represented by those unions. The Pilot Program also covers M/C employees. The Telecommuting Pilot Program is effective immediately and remain in effect through May 14, 2020. An Implementation Bulletin and a Telecommuting Application Form are attached to this memorandum.

Wherever existing agency telecommuting programs conflict with Telecommuting Pilot Program guidelines, the Pilot Program guidelines control for the duration of the Pilot Program. **There is no need to re-enroll current telecommuters with the new form.** Similarly, if you already have a telecommuting application and enrollment process you can continue to use it. If you do not have an established telecommuting program, please use the attached application form. Any pre-existing telecommuting programs will revert to their regular guidelines upon expiration of the Telecommuting Pilot Program.

While you should refer to the attached Implementation Bulletin for full details, key points to be aware of in administering the Telecommuting Pilot Program include the following:

- Your agency Executive Team, subject to any approval required by your Deputy Secretary to the Governor, should review and approve expansion/implementation of telecommuting in advance. Considerations might include, but not be limited to, determination of which program areas and types of employees would be suitable for telecommuting and the availability of any necessary IT infrastructure to support telecommuting. As events unfold you may find that you need to expand or contract the scale of telecommuting you approve to meet operating needs. Bear

in mind, our goal is to implement these programs as widely as possible in light of operational needs.

- Employees may request to telecommute, or they can be assigned to telecommute by management where such assignments meet operating needs as determined by agency management.
- There is no limit on the number of days per week/pay period that employees may be allowed/assigned to telecommute under these pilot programs. In determining how often telecommuting can take place, managers should balance challenges inherent in managing remote work with our need to increase social distancing to reduce transmission of COVID-19. Where the nature of the work allows for effective remote supervision, frequency of telecommuting should be maximized for the duration of these Telecommuting Pilot Programs.
- Telecommuters must submit a work plan describing the work they will complete at their alternate work location for approval prior to telecommuting. Managers have discretion to determine the form such work plans can take. However, to ensure that work is managed properly, it is strongly recommended that work plans not cover more than a week at a time. In some cases, daily work plans may be preferable. Managers are expected to ensure that work described in the work plans is accomplished in a timely fashion and may base decisions on approval of subsequent work plans submitted by any employee on their performance in a telecommuting situation.
- Telecommuters must have a set work schedule and abide by all operative state and agency rules and policies.

Additional details are provided in the attached agreements. We have received many questions regarding whether telecommuting arrangements can be used to assist employees with sudden child-care gaps due to extended school closures resulting from COVID-19. This is a determination that each Director of Human Resources must make based on the circumstances of any given case. Where such employees are assigned work that can be managed effectively in a telecommuting situation and the supervisor and employee have established a routine that will allow the supervisor to ensure that the telecommuter is working an approved schedule, this can be permitted under the Telecommuting Pilot Program to ease the burden on employees affected by emergency school closures.

Please work with your Deputy Secretaries on your operational plans to utilize this Pilot.

Please direct any questions regarding implementation of the Pilot Telecommuting Program to GOER at 518-474-6988.

Implementation Bulletin
Pilot Statewide Telecommuting Programs
for M/C, CSEA, PEF and UUP-Represented Employees

Overview

The State of New York is responding to an outbreak of respiratory illness caused by COVID-19 that was first detected in Wuhan City, Hubei Province, China and which continues to expand. New York confirmed its first cases of person-to-person spread with this virus March 3, 2020 and is taking active measures to contain the spread of this virus.

Telecommuting arrangements are an important component of a multi-layered strategy to prevent sustained spread of COVID-19 among the state workforce. This program strikes a balance between ensuring government can continue to function, while providing appropriate precautions for state employees to prevent the spread of illness.

The State has entered into agreements with CSEA, PEF and UUP that create a Pilot Statewide Telecommuting Program (Telecommuting Pilot Program) due to public health concerns presented by the Coronavirus. This Pilot Program also applies to M/C employees. Where management determines it to be operationally feasible or necessary, telecommuting shall be assigned or approved for employees represented by these unions to the greatest extent possible.

Wherever existing agency/facility/campus telecommuting programs conflict with Telecommuting Pilot Program guidelines, the Pilot Program guidelines control for the duration of the Pilot Program. **There is no need to re-enroll current telecommuters with the new form.** Similarly, if you already have a telecommuting application and enrollment process that is working, you can continue to use it. If you do not have an established telecommuting program, please use the attached application form. Any pre-existing telecommuting programs will revert to their regular guidelines upon expiration of the Pilot Programs.

Definitions

Telecommuting -- an alternate work arrangement that allows employees to conduct all or some of their work away from the official work site. Under the Telecommuting Pilot Program, Employees may telecommute any number of days per week, up to and including full-time, based on operating needs.

Official Work Site -- the employee's State-provided workstation. This is the employee's usual and customary work address.

Alternate Work Site – A location away from the State-provided work site where the employee is authorized to conduct business. This location must meet all criteria set forth in this document and be approved by the telecommuter's supervisor or another manager with appropriate authority.

Telecommuting Application – An application form, furnished by management, and completed by the employee requesting to become an approved telecommuter.

Telecommuting Work Plan – A document completed by the telecommuter, in a format specified by the telecommuter's supervisor, for each telecommuting day. The work plan provides important information about each telecommuting day including hours worked, and work performed. Multiple

telecommuting days may be included on a single work plan. The work plan must be signed by the telecommuter and the supervisor/manager.

Participation

Employees may be assigned to telecommute where such assignment meets operating needs and reduces opportunities for transmission of COVID-19. Where management mandates participation, an employee shall have 24 hours from notice of such ordered participation to appeal to the agency/facility/campus head or their designee (see appeal process below).

Employees may also request to participate on a voluntary basis. During the term of this Telecommuting Pilot Program, such requests should be granted to the greatest extent possible. In order to request to participate, the employee must submit a Telecommuting Application to their supervisor/manager. The supervisor/manager will review the employee Telecommuting Application to make an *initial* determination whether an employee meets the criteria within 48 hours. Application will be sent to the Director of Human Resources or their designee(s) for final approval which will be provided within 48 hours of receipt. All responses will be in writing.

Once a Telecommuting Application has been approved, participation and start dates may be subject to equipment availability.

Telecommuting is not an employee entitlement and is not operationally feasible for all job functions. Management determinations as to which job functions are eligible for telecommuting are final and cannot be appealed. Full discretion to either approve or disapprove an application for telecommuting rests solely with management, but applications should be widely granted so long as they are consistent with operating need. An individual's participation in the Pilot Program can be suspended or cancelled at management's sole discretion with 48 hours' advance written notice to the employee.

Employee Appeal Process -- If an employee in a job function deemed eligible for telecommuting by management has their telecommuting application disapproved or if an employee wishes to contest mandated telecommuting, they may appeal to the agency/facility/campus head or their designee in writing within 24 hours of the denial.

The appeal shall state the reasons for disagreement with management's determination. A decision on the appeal shall be rendered by the Director of Human Resources or their designee(s) within seven (7) calendar days stating the reasons for the decision if denied.

Denials of applications for telecommuting under the Telecommuting Pilot Program are not grievable under any collective bargaining agreements.

General Guidelines

Employees must comply with all NYS and agency/facility/campus laws, rules, and guidance required at the official work site when telecommuting. Failure to abide by all rules, laws, and guidance may result in exclusion from Telecommuting Pilot Program and/or administrative action, including disciplinary action.

Employees must complete a telecommuting training if one is provided before any telecommuting is permitted. This includes, but is not limited to, training in the use of any software required for remote access, data security procedures, and any necessary orientation to the process of submitting work plans.

Telecommuters are responsible for submitting work plans regardless of whether they are participating on a voluntary basis or assigned to participate by their supervisor/manager. The work plan provides important information about each proposed telecommuting day including hours worked, and work performed. Multiple telecommuting days may be included on a single work plan. The work plan must be signed by the telecommuter and the supervisor/manager. Employee performance in a telecommuting setting should be one factor considered in approval of telecommuting work plans. In some cases, employees approved for Telecommuting Pilot Program participation may not have a particular work plan approved, in which case the manager can allow the employee to revise and resubmit the work plan or direct the employee to report to their Official Work Station for the period covered by the at-issue work plan.

Telecommuters will treat telecommuting days like regular workdays and will be expected to maintain a regular work routine while telecommuting. Managers may require telecommuters to have a set telecommuting schedule that is specified on the work plan. Telecommuters will work their entire approved workday (including overtime when appropriate and authorized). Telecommuters must request time off in advance and submit all leave requests as currently required. All current laws, regulations, contract provisions and standard rules governing employee work schedules apply.

A telecommuter is required to report to the official work site upon management's request at any time. A telecommuter may request to charge leave accruals in lieu of returning to the official work site. Such requests will be reviewed in accordance with all normal standards governing use of leave accruals. When telecommuters are required by management to report to the official work site on a scheduled telecommuting day, there is no expectation that the telecommuter will be granted a substitute telecommuting day in return. However, with flexibility as a key component of the program, at the discretion of management, a scheduled telecommuting day may be changed within the same pay period. If a telecommuter is required to report to their official work site, they will not be reimbursed for travel, nor may they be paid for travel.

Telecommuters must be available via all required methods of communication throughout the workday. Should a telecommuter not be available through official channels, the management will contact the telecommuter via their personal contact information provided in the Work Plan.

Telecommuters may be required to forward their official work site phone to the phone that will be used while telecommuting.

In-Person meetings at the telecommuter's alternative work site are *prohibited*. This restriction does not preclude a telecommuter from participating in phone or web-based meetings from their alternate work site.

Unless otherwise directed, telecommuters will not be excused from work when a directed departure is issued for the official work site. Conversely, if an emergency occurs at the alternate work site and the telecommuter is unable to work at the telecommuting site that day or if the telecommuter is unable to, for any reason, continue working during their scheduled hours, the Supervisor/Manager may direct the telecommuter to come to the official work site or grant authority to charge accruals.

Employees must safeguard all passwords used in connection with agency/facility/campus service files or programs and ensure sensitive information is protected.

Temporary, seasonal, part-time, and probationary employees may be allowed to telecommute with HR approval.

Equipment and Supplies

The employer will not provide telecommuters durable equipment such as desks, chairs, file cabinets, or other office related furniture. Similarly, the employer will not be able to provide a laptop or other similar device to all telecommuters. The use of an employee's personal computer may be dependent on the use of **Virtual Desktop Infrastructure (VDI) or Virtual Private Network (VPN) or Access to Email, OneDrive and/or SharePoint via Outlook Web Access, all of which may require an RSA token. Management will determine which connection mechanism is appropriate based on operational need.**

Telecommuters using personal devices will receive instruction on how to obtain any necessary software and/or an RSA token. These must be tested before telecommuting can begin.

Minimal office supplies may be provided by the employer and should be requested during the telecommuter's in-office work period. Supplies will not be shipped to the alternate work site. Any out-of-pocket expenses incurred for supplies, equipment, food, commuting, etc. will not be reimbursed.

Generally, the telecommuter must have an internet connection with bandwidth that is appropriate for conducting official business without disruption. The telecommuter is responsible to secure and pay for an internet connection. The agency will not reimburse internet costs. In limited instances, telecommuting assignments that do not require an internet connection may be available. Where such assignments meet operating needs, they can be made/approved.

The telecommuter is responsible for having a phone for all work-related calls.

If an assigned RSA hard token or other work item is lost or stolen, the telecommuter must immediately notify their Supervisor/Manager and refer to the agency's usage agreement for portable Media and End User Devices and complete all steps outlined within the policy/procedure.

When the Telecommuting Pilot Program ends, the employee must return the RSA hard token, if applicable, and any supplies issued on their next workday unless otherwise specified by management.

Agency Policies/Security of Information

Any agency/facility/campus information possessed by the telecommuter cannot be shared with or made available to any other individuals.

Telecommuters must ensure that official records and information are secure and not maintained in a way that would make them available to any other individuals.

Telecommuters are responsible for adhering to all State, agency, facility, university or campus policies, procedures and standards concerning use of computer equipment and the security of data/information while telecommuting. These policies, procedures and standards can be found in the Policies and Procedures section of the Agency, facility, university, or campus Intranet or on the ITS website.

Unauthorized access to or disclosure of official information or systems must be immediately reported to the telecommuter's supervisor/manager. Such unauthorized access or disclosure,

including the release of confidential information or the personally identifiable information of Agency, facility, university or campus staff or customers, which happened due to the telecommuter's neglect, will be addressed through administrative actions.

Telecommuters must protect and safeguard files, documents, equipment, and other materials transported back and forth between the official work site and the alternate work site. Telecommuters shall protect official records and documents from unauthorized disclosure or damage and shall comply with all established policies and procedures regarding such matters.

Telecommuters must also take the following specific precautions:

- a. Only take confidential information offsite when authorized by their supervisor.
- b. Do not transmit confidential information from work e-mail to personal e-mail addresses or text messaging services (e.g. icloud.com, aol.com, yahoo.com or g-mail.com).
- c. Securely store all hard copy documents or office media so that others cannot access it.
- d. Do not communicate confidential information where others can listen.
- e. Place documents requiring destruction in Confidential/Sensitive destruction bins located at the official worksite.

Telecommuters will be required to take appropriate action to protect the items from damage or theft. Loss or theft of equipment must immediately be reported to the telecommuter's supervisor/manager. Any suspected data breach containing sensitive data must immediately be reported to the telecommuter's supervisor and the telecommuter must complete any required documentation of the suspected breach.

Under no circumstance may official data or information be transferred to or stored on any personal devices. Under no circumstance may the telecommuter allow agency issued equipment to be used by any other person however agencies will not necessarily provide agency issued equipment to telecommute unless they determine that they can do so. Telecommuters must log off and secure any computer being utilized to conduct official business when not in use.

Management will not access or otherwise use any personal information on an employee's personal device.

Program Dates

The Telecommuting Pilot Program is effective as of March 17, 2020 and shall run through May 14, 2020. It can be extended upon agreement between the State and participating unions. This Pilot Program can be cancelled by the State in its sole discretion with one-week advance written notice to participating unions.

New York State Comprehensive Emergency Management Plan

Drought Management Coordination Annex



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)	Completed by:
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March, 2021	All	All, as warranted	OEM-Planning

Drought Management Task Force Members

NYS Office of Emergency Management (State OEM)

NYS Department of Environmental Conservation (DEC)

NYS Department of Health (DOH)

NYS Department of Agriculture and Markets (DAM)

NYS Thruway Authority (TA)

NYS Canal Corporation (CANALS)

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Acronyms

DAM	Department of Agriculture and Markets
CANALS	New York State Canal Corporation
CEMP	Comprehensive Emergency Management Plan
DE	Diatomaceous Earth
DEC	Department of Environmental Conservation
DFP	Drought Forecasting Plan
DOH	Department of Health
DMTF	Drought Management Task Force
DOT	Department of Transportation
DPC	Disaster Preparedness Commission
DRBC	Delaware River Basin Commission
FSA	Farm Service Agency
HRBRRD	Hudson River Black River Regulating District
IMT	Incident Management Team
MACC	Multi-Agency Coordination Center
NIMS-ICS	National Incident Management System Incident Command System
PDI	Palmer Drought Index
PSC	Public Service Commission
SDI	State Drought Index
State EOC	State Emergency Operation Center
State OEM	State Office of Emergency Management
SRBC	Susquehanna River Basin Commission
TWY	New York State Thruway Authority
OFPC	State Office of Fire Prevention and Control
USACE	United States Army Corps of Engineers
USDA	United States Department of Agriculture
USGS	United States Geological Survey
WARN	Water/Wastewater Agency Response Network

New York State Comprehensive Emergency Management Plan Drought Management Coordination Annex

Section I: Introduction

New York State's communities normally have access to abundant water supplies to provide for agricultural, recreational, industrial, medical, residential and, most importantly, drinking needs. Historically, droughts have been relatively infrequent during the past decades of record keeping. The 1960s, however, witnessed a historic drought which lasted until 1967. The worst period was from 1964 through 1965. This drought severely impacted regional agriculture, water quality, forest health and human health. It also resulted in widespread forest fires, crop failures, fish kills, water shortages, harmful algal blooms, and heat related deaths. As recently as 2016, a D-2 (Severe) drought occurred affecting the Western NY, Finger Lakes, and Southern Tier Regions of New York State. At this same time, approximately 90% of the State was abnormally dry or in a moderate drought.

While this severe drought ended in 1967, recent history, beginning in 1980 and continuing to present day, has been witness to an increase in the occurrence of periods of prolonged dry spells that had impacts but were not severe enough to classify as droughts. This has resulted in repetitive drought awareness as the agricultural communities and homeowners struggle to cope. In several instances, municipal water supplies have been threatened as well. This annex outlines a strategy for improved preparedness in New York State (NYS) with the threat of drought.

Due to worsening potential of drought conditions, in January 2002, through Executive Order No. 116 (Appendix A), reconstituted the State Drought Management Task Force (DMTF) to coordinate State drought response activities and to assist localities. The Task Force's responsibilities are set forth in the Executive Order. On January 01, 2007, then Governor Spitzer, by Executive Order No. 5: Review, Continuation, and Expiration of Prior Executive Orders, ordered the continuation of Executive Order No. 116 issued January 7, 2002 (Reconstituting the State Drought Management Task Force). The individual agency response actions to be implemented are in Table 3.

A. Purpose

The State Comprehensive Emergency Management Plan (State 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 functional and hazard-specific annexes will build upon.

This Annex for Drought Management Coordination identifies State and local actions to be undertaken for both drought preparedness and response. Through coordinated preparedness and response efforts, the impact of drought conditions on communities and commerce can be reduced. This Annex provides the framework for the implementation of strategies and actions that will reduce the vulnerability to drought conditions by taking pre-incident mitigation actions or reduce the untoward impacts of a drought by coordinating relief efforts.

B. Scope

The Drought Management Coordination Annex will serve as an all-hazards functional annex to the State CEMP. As such, this Annex:

1. Will apply to all incidents that require State logistical support in response to an emergency or disaster.
2. Applies to incidents that require a limited or full activation of the State Emergency Operation Center (State EOC).
3. This Annex applies to all State agencies and authorities that may be directed to respond to such an event and builds upon the process and structure of the State CEMP by addressing unique policies, situations, operating concepts, and responsibilities. Response operations to this type of event will encompass the efforts identified in this annex and utilize existing capabilities of other functional and hazard-specific annexes to the State CEMP.
4. The Drought Management Coordination Annex is a strategic level management plan that outlines the basic concepts required to manage and coordinate State agencies providing response and short-term recovery assistance to localities.
5. Disaster response begins and ends at the local level. State level support begins and ends based on statutory requirements and/or the needs of the requesting community.

C. Situation

Disaster response and short-term recovery activities generally begin and end at the local government level. Local emergency response agencies may be fully involved with operational issues that are critical for responding to incidents that fall under the purview of this annex. Further, the parameters and complexity of the incident may, in many cases, exceed the response capabilities of local government. The local government is responsible for carrying out the initial response and short-term recovery activities and services and will use all available local resources in doing so.

Most county and local governments have developed comprehensive emergency management plans in accordance with State Executive Law, Article 2-B (Article 2-B). Such plans coordinate the

collective response of that local government, within its borders, and provide for a mechanism to use all existing resources.

At such time that a local government can no longer provide the services and assets required for protecting the population from further injury or devastation resulting from the disaster situation, the State CEMP may be activated. State response activities in support of local government should provide the necessary support with State assets or the coordination of local assets from unaffected areas. Interagency coordination, information sharing, and cooperation at all levels of government will be the key to an effective and efficient response to bring the event to a conclusion.

D. Planning Assumptions

The Drought Management Coordination Annex is based on the following assumptions:

1. State assistance will serve as a supplement to local actions and will be made only after local resources are exhausted.
2. Resources allocated under this Annex will be those items not available at the local level, because they were never available to the locality, have been exhausted in response to the emergency, or are not accessible within the time frame of the applicable emergency. These may include contractual services.
3. 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.
4. The state in its response may utilize a variety of National Incident Management System Incident Command System (NIMS-ICS) components, including a Multi-Agency Coordination Center (MACC) and the State's Incident Management Team (IMT).
5. The State, after fully exhausting its resources, may request Federal resource support in responding to and recovering from the emergency or disaster. The Resource Request Form (RRF) can be found in Appendix E.
6. In the event of a major response and recovery operation, the State may be required to assist local governments by providing distribution facilities and personnel to manage those facilities. Communications assets may also be needed to support facility operations.

E. Legal Authorities

The authority to develop this Annex and implement specific response actions to effectively respond can be found in several State Laws and Executive Orders, including the following:

1. State Authorities
 - NYS Executive Order #116 of 2002

- NYS Executive Law, Article 2-B
- NYS Public Health Law; Multiple articles and sections
- NYS Code Rules and Regulations; Title 10, multiple citations

F. Concept of Operations

1. Incidents Originating Locally

- a. An incident requiring the activation of the State CEMP may begin locally and escalate to the State level.
- b. State assistance will be supplemental to local emergency efforts.

2. State Response

- a. Depending on the nature and scope of the incident, State agency involvement may begin coincidentally with the start of an incident (e.g., a hurricane).
- b. Local agencies will be used according to standard protocols and statutory requirements.

3. Integration of Federal Assets and Resources

- a. Federal resources will be supplemental to State efforts and may include the assimilation of various federal response components.

G. Plan Maintenance and Updating

The State Office of Emergency Management (State OEM) Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. As required under Article 2-B, each document shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

New York State Comprehensive Emergency Management Plan Drought Management Coordination Annex

Section II: Preparedness

Drought Preparedness includes two activities. The first is the monitoring and evaluation of climatological and hydrological conditions in NYS for early awareness of a potential drought. The second is the implementation of short- and long-term options for programs and projects to minimize drought impacts. Drought Preparedness requires an active coordinated effort by public and private entities at all levels - local, State, and Federal.

A. Drought Regions

Eight drought regions have been established based on climatological, physiographic, and other factors. See Table 1 on page 12.

This Drought Management Coordination Annex recognizes a Sub-Region of Drought Region II as Drought Sub-Region II-A. Drought Sub-Region II-A is comprised of New York City and the upstate areas served by public drinking water systems that draw water from the New York City managed drinking water supply system. The areas served by public water systems using New York City's supply include parts of Ulster, Orange, Putnam, and Westchester counties. The public drinking water systems that comprise Drought Sub-Region II-A are listed in Appendix E. This drought Sub-Region was defined so that the drinking water supply common to these public water systems can be evaluated and managed in a coordinated manner during periods of drought.

Public drinking water systems that comprise Sub-Region II-A should monitor the status of drought declarations made by New York City and in times of drought should implement water conservation measures consistent with New York City's October 2012 "Drought Management and Contingency Plan". Appendix D has a brief summary of this plan. The full plan is on file with the State OEM Planning Section.

B. Drought Indices

The Drought Forecasting Plan (Appendix B) developed by the Department of Environmental Conservation (DEC) relies on calculated drought indices to support proper identification of the State's drought status.

A calculated State Drought Index has been developed and is used in determining drought status on a regional basis. Four major hydrologic elements are considered in the calculation of the State Drought Index. They are:

- precipitation
- reservoir and lake storage
- stream flow
- groundwater levels

A second calculated indicator, The Palmer Index is also evaluated on a regional basis. The Palmer Index is primarily a measure of soil moisture deficiency.

Additional detail on the calculation and use of these indices for determining drought status is included in the Drought Forecasting Plan (Appendix B).

C. Drought Stages

Drought stage is then determined by appraisal of both indices. Drought stage is determined for each drought region. "Normal conditions" and four different drought stages have been established:

Stage 1: Drought Watch - This first stage of a developing drought event is declared by the DEC based on the Drought Forecasting Plan (Appendix B). It is intended to give advanced notice of a developing drought. At this stage, the general public is urged to conserve water. Public water purveyors and industries are urged to update and begin to implement individual drought contingency plans.

Stage 2: Drought Warning - This second stage also is declared by DEC based on the Drought Forecasting Plan. It is a notice of impending and imminent severe drought conditions. A warning declaration includes stepping up public awareness and increasing voluntary conservation. Public water supply purveyors and industries are urged to continue to implement local drought contingency plans. Federal, State, and local water resources agencies are notified to prepare for emergency response measures.

Stage 3: Drought Emergency - This third stage is declared by the New York State Disaster Preparedness Commission (DPC), based on this plan and upon recommendation of the Drought Management Task Force (DMTF). It is a notice of existing severe and persistent drought conditions. An emergency declaration is a notice for local water resources agencies to mandate conservation and implement other emergency response measures. A continuing and worsening drought emergency may result in the Governor declaring a drought disaster. It is a notice of the most severe and persistent drought conditions. At this stage a significant proportion of communities in the impacted area likely are unable to respond adequately.

Stage 4: Drought Disaster - This fourth and most severe stage of persistent drought conditions is declared by the Governor when a significant proportion of communities in the impacted area are unable to address local needs adequately. In response, an Executive Declaration and Order by the Governor may be necessary to marshal State personnel and resources.

D. Preparedness Options

The DMTF has determined that ensuring public health is the highest priority for drought preparedness. As with any disaster preparedness effort, public education is one of the most effective manners to mitigate a portion of the potential impacts of occurrence. Therefore, regular public education, focusing upon home preparedness (e.g. stored water and practical conservation measures) with increased public service announcements and target marketing during times of increased threat/concern should be a priority.

Recognizing the vulnerability of many smaller and mid-sized communities, it is realized that alternative water supply systems would be needed for an extended period, potentially in dozens of communities depending upon the scope of the event. This broad ranging local need will quickly exceed local capabilities and severely strain, if not actually exceed, State resources to provide assistance. A public/private partnership will better prepare NYS to address water shortages and better protect public health. This partnership should include identification of water suppliers, haulers, well drillers, water testers, and other similar private experts and providers who could be called upon to serve the communities during a disaster. This partnership includes development of pre-incident relationships, whether formalized via businesses' achieving a State-contract status to allow local government quicker access during emergency, or merely as an informal relationship which would encourage information sharing before and during any water emergency.

Other recommended actions include accelerating the completion of local drought contingency plans, including encouraging the adoption of local codes authorizing local governments to impose water conservation measures in time of drought. However, these accomplishments will not resolve all drought problems. Areas that face critical water shortages under prolonged drought conditions should implement permanent water conservation measures and pursue other alternatives including the development of additional water sources.

Drought Preparedness recommended actions are listed in Table 2. They are listed in general order of priority for statewide programs and options for investigations in other areas of the State.

New York State Comprehensive Emergency Management Plan Drought Management Coordination Annex

Section III: Response

A. Overview

The State of New York considers drought contingency planning at the local level to be essential because local governments and suppliers of water have the primary responsibility for insuring the availability of adequate quantities of potable water. However, this Annex recognizes the need for coordinated State and local government drought actions. Therefore, it is prudent to pre-identify actions to be taken at each drought stage.

Organizationally, the DMTF coordinates and manages drought-related actions through the activities of the member agencies prior to the declaration of a drought emergency. In the event of a drought emergency declaration, the DPC through the State Coordinating Officer directs the emergency management efforts.

Actions to respond to the various stages of a drought situation, as reflected by the drought indices, are summarized in Table 3. These actions are categorized as either State government actions or actions taken at the local level by local government and/or local water suppliers.

The DMTF recommends implementation of these drought response activities, as appropriate for drought conditions. The actions have been determined to be feasible with available resources and will mitigate the impacts of drought to the extent practicable.

Local agencies and governments are encouraged to implement the drought response activities identified in Table 3. The member agencies of the DMTF will assist in the development and implementation of these efforts.

At the interstate level, drought response actions involving NYS are taken through the Delaware River Basin Commission (DRBC) and the Susquehanna River Basin Commission (SRBC).

During times of drought the DRBC coordinates the declarations and drought management responses of its member states - Delaware, New Jersey, New York, and Pennsylvania – in the Delaware River watershed and provides technical assistance. The Commission initiates mandated phased reductions in diversions and releases from New York City's Delaware water supply reservoirs during drought conditions. The Commission has authority to marshal releases from other reservoirs during drought emergency.

During times of drought, the SRBC coordinates the declarations and drought management responses of its member states - New York, Pennsylvania, and Maryland – in the Susquehanna River watershed and provides technical assistance. During drought emergencies, the Commission has authority to: (1) maintain stream flows by requiring consumptive water users to compensate for their consumptive use; and (2) direct increases or decreases of previously approved water uses to ensure that priority water needs are met.

B. Emergency Resources

Drought response may require the application of substantial State resources to assist local governments in combating the effects of drought. The State OEM emergency equipment stockpile is maintained for this purpose. However, even a relative short duration dry period can exhaust State resources such as tankers. The 2007 drought was not widespread or extended duration, yet it engaged all tanker resources. Appendix D is a listing of the State OEM emergency equipment stockpile resources. Every effort should be made to supplement State OEM's equipment stockpile.

In 2007, drinking water utilities in New York State initiated a statewide mutual aid system called WARN (Water/wastewater Agency Response Network). This mutual aid system is beginning to be adopted by water utilities and it is expected that wastewater utilities will follow suit. The WARN system will provide for additional emergency response resources to be available locally through a pre-defined mutual aid process. While not all utilities are likely to join this voluntary effort, increased participation will improve drought preparedness.

New York State Comprehensive Emergency Management Plan Drought Management Coordination Annex

Section IV: Recovery

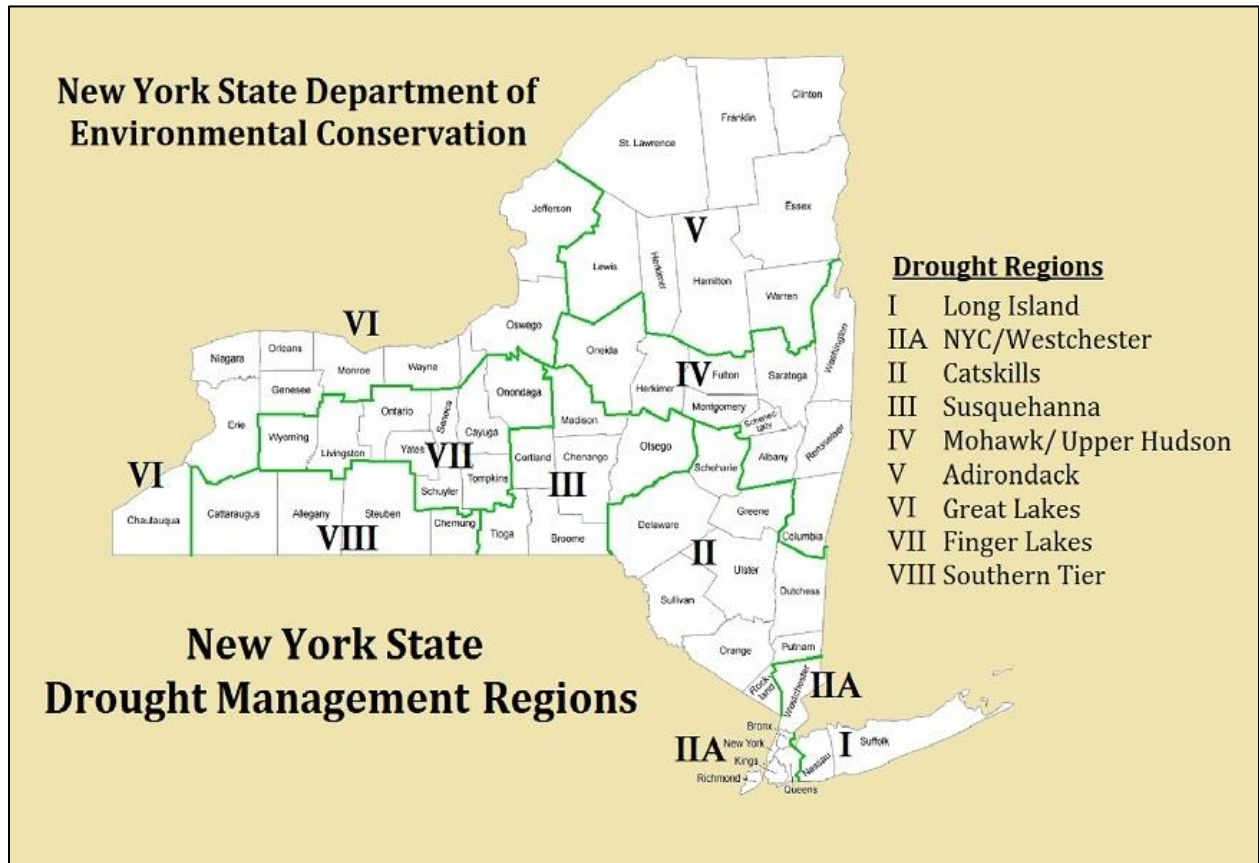
A. Overview

Dependent on the nature of the event, the response to an emergency or disaster may be relatively short or could extend for some 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 the State Incident Management Team, may be demobilized. As a result, the mechanisms of the recovery process will be transferred from the State EOC to the Joint Field Office.

The State CEMP outlines the disaster relief funding and programs that would be applicable for an incident of this type. Included are provisions for Public Assistance (PA) and Individual Assistance (IA), which would aid in supporting government response operations and provide some recovery assistance for individuals and their families, businesses and sectors identified in the preceding pages. The implementation of the recovery process is identified in Volume 2 of the State CEMP – *Response and Short-Term Recovery*.

As the recovery process begins, requests for State and Federal response resources will begin to diminish. As the response structure demobilizes, activated emergency facilities may, over a period of time, begin to demobilize.

Figure 1: NYS Drought Regions



**TABLE 1:
NYS Drought Regions**

NYS DROUGHT REGIONS	COUNTIES
I - Long Island	Nassau, Suffolk
II - Catskills/Lower Hudson Valley IIA - Drought Sub-Region for New York City and Dependent Water Systems	Delaware, Dutchess, Greene, Orange, Putnam, Rockland, Schoharie, Sullivan, Ulster NYC Drought Sub-Region IIA is comprised of New York City and Westchester County. Additional upstate communities that draw water from the New York City water supply system are also subject to its Drought Management Plan and Rules. (See Appendices D and E.)
III - Susquehanna	Broome, Chenango, Cortland, Madison, Otsego, Tioga
IV - Mohawk/Upper Hudson	Albany, Columbia, Fulton, Montgomery, Rensselaer, Saratoga, Schenectady, Herkimer (southern), Oneida, Washington
V - Adirondack	Clinton, Essex, Franklin, Hamilton, Herkimer (northern), Lewis, St. Lawrence, Warren
VI - Great Lakes	Chautauqua, Erie, Genesee, Jefferson, Monroe, Niagara, Cayuga (northern), Orleans, Oswego, Wayne
VII - Finger Lakes	Livingston, Onondaga, Ontario, Schuyler, Seneca, Cayuga (southern), Tompkins, Wyoming, Yates
VIII - Southern Tier	Allegany, Cattaraugus, Chemung, Steuben

**TABLE 2:
Drought Preparedness Recommendations**

RECOMMENDED ACTION	PRINCIPAL AGENCIES	COMMENTS
A. Statewide Programs		
1. Encourage water conservation programs statewide and the adoption of local codes authorizing the imposition of water conservation measures	All Agencies (State, Local Governments and Water Suppliers)	Program includes public information and education and water supply management efforts. Local governments should adopt codes authorizing them to impose and enforce water conservation measures during times of drought and other water supply emergencies.
2. Continue to replenish and expand emergency equipment stockpile	State OEM, DOH, DAM	Need to update mobile water treatment, pumping and hauling capabilities.
3. Complete and/or upgrade water system drought contingency plans	Water Suppliers, Local Governments, DOH	DOH encourages plan development and provides planning guidance.
4. Cooperate in development of local and regional drought plans and mutual aid agreements.	DEC, DOH	
5. Provide technical assistance	All Agencies	
6. Manage water resources of the State to support emergency drought efforts	DEC, HRBRRD, DRBC, SRBC, Canals, NYPA, USACE, Water Suppliers	
B. Options for Investigations		
1. Investigate and promote water supply interconnections	Water Suppliers, DOH, DEC	Water suppliers should include this in capital project planning. DEC should consider promoting this under the water supply program. DOH should encourage this by promoting it and helping to fund interconnections under the drinking water State revolving fund.
2. Investigate groundwater supplies for emergency use	Water Suppliers, DAM, DEC, USGS	
3. Evaluate NYS water resources for emergency use	Water Suppliers, DEC, Canals, HRBRRD, DRBC, SRBC, USACE, DOH	

4. Implement and encourage water metering programs	Water Suppliers, DOH, DEC, PSC	Water Suppliers should implement water metering programs to more efficiently manage water distribution and drought conditions. State agencies should assist and encourage water suppliers to implement metering programs.
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**TABLE 3:
Summary of Response Actions:
State, Local, and Water Suppliers**

NORMAL CONDITIONS
<p>DMTF</p> <ol style="list-style-type: none"> 1. Monitor and evaluate drought status. 2. Plan for "worst case" situations. 3. Periodically review the State Drought Management Coordination Annex and recommend and approve updates to such Annex as needed. 4. Coordinate drought-related activities in accordance with such Annex. 5. Maintain drought planning process. 6. Assist in review and development of local drought contingency plans in cooperation with local, State, and Federal programs. 7. Meet as needed to ensure State response to drought conditions.
<p>State OEM</p> <ol style="list-style-type: none"> 1. Prepare and keep updated the State Drought Management Coordination Annex. 2. Maintain and make available the emergency equipment stockpile for use during emergency situations.
<p>DEC</p> <ol style="list-style-type: none"> 1. Prepare and keep updated the State Drought Forecasting Plan. 2. Determine the current drought status for each region of the State.
<p>DOH</p> <ol style="list-style-type: none"> 1. Provide guidance for developing water supply emergency plans to address and respond to drought conditions. 2. Obtain and review water supply emergency plans from community water systems to ensure that community water systems have identified appropriate drought responses.
<p>Individual DMTF Agencies</p> <ol style="list-style-type: none"> 1. Encourage the development of local drought contingency plans. 2. Review and provide technical assistance in the development of local drought contingency plans. 3. Prepare and maintain information for use in public information campaigns. 4. Review and provide technical assistance in the development of additional water supply sources by water suppliers and local agencies
<p>Local Agencies and Water Suppliers</p> <ol style="list-style-type: none"> 1. Develop and keep current local drought contingency plans. 2. Maintain drought resource and response capability. 3. Make necessary improvements to water systems. 4. Initiate leak detection and repair programs. 5. Plan for worst case situations. 6. Local governments enact legislation to provide for local drought response and enforcement authority.
<p>DPC</p> <ol style="list-style-type: none"> 1. Support development of State and local drought contingency plans.

STAGE 1: DROUGHT WATCH

Continue all actions initiated under “Normal”, in addition the following actions will be taken:

DMTF

1. Monitor and evaluate drought status.
2. Meet as needed to ensure adequate State response to drought conditions.
3. Assess capability of governmental programs that apply to drought preparedness and response.

State OEM

1. Chair the DMTF, schedule meetings as necessary.
2. Prepare drought updates and generally disseminate drought related information.
3. As directed by the DMTF, coordinate drought related activities with appropriate local, State, and Federal agencies.
4. Advise and respond to drought affected communities and coordinate implementation of recommended water-use restrictions.
5. Maintain and make available stockpiles of pipe, pumps, and other water treatment and transport equipment for use during emergency situations.

DEC

1. Monitor and evaluate technical data regarding meteorological and hydrological conditions from available sources.
2. Determine the current drought status for each region of the State.
3. Declare a change in status as warranted.
4. Coordinate State drought declarations with communities and interstate commissions.
5. Ensure the protection of aquatic habitats.
6. Prepare drought updates and generally disseminate drought related information.

DOH

1. Review and approve requests for use of equipment from the State OEM stockpile.
2. Monitor drinking water supplies and monitor surface water and groundwater supply storage levels once a month.
3. Report water supply levels to DEC for incorporation into the calculation of drought indices.
4. Obtain and review drought emergency plans from community water systems within drought affected areas and ensure that community water systems act in accordance with such plans.

DAM

1. Ensure that agriculture receives appropriate access to non-potable water supplies.
2. Coordinate and consult with Soil and Water Conservation Districts in assessing local groundwater conditions.
3. Coordinate crop failure data with assistance from USDA FSA.
4. In coordination with State OEM, at the request of a county emergency manager, authorize use of stockpile equipment to the extent of its availability, to assist county efforts in delivering potable or non-potable water for critical livestock needs.
5. Provide DEC and the DMTF with agricultural drought information.

Individual DMTF Agencies

1. Provide technical assistance to localities.
2. Prepare drought updates for DMTF.
3. Intensify monitoring and appraisal of drought status.
4. Advise the Task Force and provide technical information.

Local Agencies and Water Suppliers

1. Review and update local drought plans.
2. Promote voluntary water conservation measures.
3. Monitor supply and demand conditions of local water systems, especially systems known to be “drought susceptible”.
4. Check status of leak control programs. Expand efforts where appropriate.

STAGE 2: DROUGHT WARNING

Continue all actions initiated under “Drought Watch”, in addition the following actions will be taken:

DMTF

1. Convene monthly to assess Statewide drought conditions and implement State drought actions.
2. Accelerate drought management efforts as the situation worsens.
3. Continue to monitor and evaluate drought actions.
4. Alert the Disaster Preparedness Commission (DPC) as to status of situation.
5. Initiate coordination with Federal agencies and other States to alleviate potential drought impacts.
6. Recommend declarations of drought emergency to the DPC as appropriate (must be a unanimous vote of the DMTF).

State OEM

1. Chair the DMTF and schedule at least one meeting a month during a Drought Warning.
2. Evaluate readiness of emergency equipment stockpile and request replenishment as needed.

DEC

1. Advise the DMTF and provide technical support.
2. Coordinate State drought declarations with communities and interstate commissions.

DOH

1. Request water suppliers in Stage 2 (Drought Warning) areas to implement water conservation measures.
2. Intensify monitoring of drinking water supplies.
3. Assist State OEM in evaluating readiness of water supply equipment in the emergency equipment stockpile.

CANALS

1. Report to the DMTF regarding the availability of canals and reservoirs to provide water to drought affected regions of the State.

TWY

1. Coordinate with State OEM on the availability of TWY equipment for pumping and transporting water.

Individual DMTF Agencies

1. Promote public information and technical assistance programs.
2. Review and update local and State drought plans.

Local Agencies and Water Suppliers

1. Make supply projections for predicting future drought effects.
2. Expand and enforce leakage detection and repair programs.
3. Intensify voluntary water conservation efforts. Local agencies may also initiate mandatory restrictions as provided for under local codes or drought plans.
4. Make provisions for utilization of emergency sources of supply.

DPC

1. Urge completion of drought contingency plans.

STAGE 3: DROUGHT EMERGENCY

Continue all actions initiated under "Drought Watch & Warning", in addition the following actions will be taken:

DMTF

1. Meet twice per month.
2. Review drought preparedness plans for deficiencies.
3. Review options for water from NYS Canal System reservoirs and/or Hudson River-Black River Regulating District.
4. Recommend needs for legislation, funds or other actions to improve State drought response capabilities.
5. Review Regional/State drought implications.
6. Review and prepare to initiate actions to meet "worse case" situation.
7. Initiate appropriate governmental programs to mitigate drought impacts and provide public information regarding these programs.
8. Establish priorities for use of equipment and technical assistance.
9. Advise DPC of local and State emergency actions.
10. Make recommendations to the DPC.

State OEM

1. Coordinate stockpile use. Provide limited resources on a priority basis.

DEC

1. Issue emergency permits to water suppliers to withdraw water from streams and rivers under certain restrictions.
2. Intensify monitoring and evaluation of drought status.

DOH

1. Request suppliers, by letter, to adopt further measures to conserve water and to take advance actions that are necessary to utilize alternative water sources.
2. Assist State OEM in their prioritization for use of emergency water supply equipment.

OFPC

1. Distribute Fire Service Guide "Suggested Fire Department Operations for Drought Emergencies."

All State Agencies

1. Provide equipment and technical assistance to localities.
2. Implement water conservation in State Office Buildings.
3. Utilize regulatory and emergency powers as appropriate.

Local Agencies and Water Suppliers

1. Re-evaluate and use as needed, alternate water resources.
2. Restrict water use in stages, banning non-essential use first and then reducing water for essential use.
3. Implement local public awareness and water conservation campaign.
4. Use emergency equipment and tap emergency sources of water.
5. Request technical assistance and equipment from the State, if necessary.
6. Initiate penalties for violations of water use restrictions.
7. Intensify leak detection and repair programs.
8. Take preparatory actions that are necessary to utilize alternative water sources.

DPC

1. Consider DMTF recommendations.
2. Consider need for a State declaration.
3. Appoint liaison officer to DMTF if a declaration is made.
4. Request emergency assistance from the Federal Emergency Management Agency.
5. Direct State agency response.
6. Establish task force to develop phased emergency disaster plans where needed.

STAGE 4: DROUGHT DISASTER

Continue all actions initiated previously, in addition the following actions will be taken:

DMTF

1. Respond to directives to implement DPC actions.

All State Agencies

1. Take actions as directed by the Governor and DPC.

Local Agencies and Water Suppliers

1. Initiate further restrictions on water use, including reducing flows to non-essential users.
2. Undertake all possible local disaster relief efforts.
3. Request State and Federal disaster declarations.
4. Enact emergency legislation and issue emergency orders as required.

DPC

1. Request Federal disaster assistance.
2. Implement appropriate "worst case" option.

Appendix A

Executive Order #116, January 7, 2002

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**OFFICIAL COMPILATION OF CODES,
RULES AND REGULATIONS OF THE STATE
OF NEW
YORK**

**TITLE 9. EXECUTIVE DEPARTMENT
SUBTITLE A. GOVERNOR'S OFFICE
CHAPTER I. EXECUTIVE ORDERS
PART 5. EXECUTIVE ORDERS (GEORGE E
PATAKI)**

Text is current through July 31, 2007

Section 5 116 Executive Order No 116 Reconstituting the State Drought Management Task Force

WHEREAS, section 20, subdivision (1)(c) of the Executive Law provides that state and local natural disaster and emergency response functions be coordinated in order to bring the fullest protection and benefit to the people,

WHEREAS, section 21 of the Executive Law created in the executive department a Disaster Preparedness Commission charged with studying all aspects of man-made or natural disaster prevention, response and recovery, preparing State disaster preparedness plans, to be approved by the Governor, and directing State disaster operations and coordinating State disaster operations with local disaster operations following the declaration of a State disaster emergency,

WHEREAS, having determined that there is a need to reconstitute the State Drought Management Task Force in order for it to properly coordinate drought related activities and provide the Governor, State Disaster Preparedness Commission, and State Agency Heads with information needed to judge the degree of emergency and appropriate State response,

NOW, THEREFORE, I, GEORGE E PATAKI, Governor of the State of New York, by virtue of the authority vested in me by the Constitution and Laws of the State of New York, do hereby reconstitute the State Drought Management Task Force as

follows

I Definitions

A "Drought Watch" shall mean the first stage of a developing drought event This stage is declared by the Department of Environmental Conservation (DEC) based on the Drought Forecasting Plan

B "Drought Warning" shall mean the second stage of a impending or imminent severe drought event This stage is also declared by the DEC based on the Drought Forecasting Plan Other State agencies will respond as specified below and as detailed in the Drought Management Coordination Plan

C "Drought Emergency" shall mean the third stage of existing severe and persistent drought conditions This stage is declared by the State Disaster Preparedness Commission (DPC) who shall notify the effected public of actions to be taken

D "Drought Disaster" shall mean the fourth and most severe stage of persistent drought conditions at which a significant proportion of communities in the impacted area are unable to respond adequately In response, an Executive Declaration and Order by the Governor may be necessary to marshal personnel and State resources

E "Drought Forecasting Plan" shall mean a plan to evaluate regional drought conditions using indicators such as precipitation deficits, surface and groundwater levels, reservoir storage and soil moisture conditions

F "Drought Management Coordination Plan" or "the Plan" shall mean a plan to coordinate and implement the State and local response during drought conditions

G "State Agency" shall mean any State de-

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partment, board, bureau, division, commission, committee, public authority, public benefit corporation, council, office or other governmental entity performing a governmental or proprietary function for the State

H "State Agency Head" shall mean the commissioner, chairman, chief executive officer, or highest ranking official for any "State Agency," as defined in subdivision (G) above

I "State Emergency Management Office" or "SEMO" shall mean the disaster and civil defense agency within the Division of Military and Naval Affairs as named in Executive Order No 32, promulgated on December 29, 1983, as continued by Executive Order No 3, promulgated on January 5, 1995

J "Task Force" shall mean the State Drought Management Task Force

II Establishment of the State Drought Management Task Force

There is hereby established, under the jurisdiction of the DPC, a State Drought Management Task Force consisting of five voting members. The five voting members shall include the director of SEMO, who shall serve as the chairperson of the Task Force, and the commissioners of Environmental Conservation, Health, and Agriculture and Markets, and the chairperson of the State Thruway Authority. A Task Force member may designate a representative to attend meetings, in his or her place, and to act on his or her behalf. The members of the Task Force shall receive no additional compensation for services rendered pursuant to this Order. The mission of the Task Force is to provide the DPC with information needed to judge the degree of emergency and appropriate response.

III Responsibilities of the State Drought Management Task Force

The State Drought Management Task Force shall have the following duties and responsibilities:

A to approve the State Drought Management Coordination Plan and periodically recommend and approve updates to such Plan,

B to coordinate drought related activities in accordance with the Plan,

C to recommend declarations of drought emergency to the DPC,

D to meet as needed to ensure adequate State response to drought conditions,

E to develop drought contingency plans in cooperation with local, State and Federal agencies,

F to develop and maintain a list of available resources for meeting drought needs, including an inventory of available Federal programs, and

G to recommend needs for legislation, funds or other actions to improve State drought-response capabilities.

IV Responsibilities of Individual Task Force Members

Individual Task Force members shall participate in DPC drought-response activities and have specific areas of responsibility including, but not limited to, the following:

A State Emergency Management Office

i) to prepare the State Drought Management Coordination Plan,

ii) to chair the Task Force and schedule meetings as needed, including at least one meeting a month during drought warning conditions and at least two meetings a month during a drought emergency,

iii) to, as directed by the Task Force, coordinate drought related activities with appropriate local, State and Federal agencies,

iv) to prepare drought updates and generally disseminate drought-related information,

v) to advise and respond to drought-affected communities and coordinate implementation of recommended water-use restrictions, and

vi) to maintain and make available stockpiles of pipe, pumps and other water transport and treatment equipment for use during emergency situations

B Department of Environmental Conservation

i) to prepare a State Drought Forecasting Plan,

ii) to monitor and evaluate technical data regarding meteorological and hydrological conditions from available sources on a regular basis,

iii) to determine the current drought status for each region of the State,

iv) to declare drought watches and drought warnings on a statewide or regional basis,

v) to advise the Task Force during drought conditions and provide technical support,

vi) to coordinate State Drought declarations with interstate commissions, and

vii) to ensure the protection of aquatic habitats during drought events

C Department of Health

i) to review and approve requests for use of equipment from the SEMO stockpile,

ii) to monitor surface water and groundwater supply storage levels once a month,

iii) to intensify monitoring of drinking water supplies during drought events,

iv) to timely report water supply levels to the DEC for incorporation into the calculation of drought indices,

v) to obtain and review drought emergency plans from community water systems within drought affected areas and ensure that community water systems act in accordance with such plans

D Department of Agriculture and Markets

i) to ensure that agriculture receives appropriate access to non-potable water supplies during drought events,

ii) to coordinate and consult with Soil and Water Conservation Districts in assessing local groundwater conditions,

iii) to assist in coordinating crop failure data compiled by county cooperative extensions,

iv) to timely provide DEC and the Task Force with agricultural drought information

E Thruway Authority

i) to report to the Task Force regarding the availability of canals and reservoirs to provide water to drought-affected regions of the State, and

ii) to coordinate with SEMO on the availability of Thruway equipment for pumping and transporting water

V Assistance From Other Agencies

The Task Force may seek and shall receive from any other state agency any assistance necessary for the fulfillment of its responsibilities under this Order. Such assistance may include, but is not limited to, technical assistance, information, personnel, and equipment. All State agency recommendations for the declaration of a drought emergency shall be coordinated through the Task Force. The Task Force

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may seek advice and/or assistance from Federal and local agencies, such as the U S Geological Survey, or municipal agencies

VI Voting

Only after a unanimous, affirmative vote of the Task Force, may a recommendation for the declaration of a drought emergency be made by the Task Force to the DPC

Signed George E Pataki
Dated January 7, 2002

Historical Note

Order dated Jan 7, 2002, filed Jan 7, 2002

<General Materials (GM) - References, Annotations, or Tables>

9 NYCRR 5 116, 9 NY ADC 5 116

9 NY ADC 5 116
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Appendix B

NYS DROUGHT FORECASTING PLAN

**NEW YORK STATE DROUGHT MANAGEMENT TASK FORCE
NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION**

FOREWORD

What is drought? Drought is a prolonged period of dryness. It is not a sudden, extreme event like a flood. Droughts progress through stages and, because of precipitation extremes, their intensities may vary considerably during the drought period. Its periods are not a fixed time, but can last months or years. Time of occurrence and duration can cause significant variations in drought impacts. For example, drought in fall and winter months has little direct impact on crop production. For public water supplies, drought is more serious during spring when reservoirs refill and groundwater recharges. Because of the potential to disrupt industrial, commercial, recreational and biological activities, and to negatively affect the economy and the environment, assessing drought conditions is important to residents of New York State and to local and State government officials. For many years, the New York State Department of Environmental Conservation (DEC) has been involved in the monitoring and evaluation of drought conditions.

To improve State drought response activities and assistance to localities, a State Drought Management Task Force (Task Force) was first established in 1980. In 2002, the Task Force was reconstituted under the jurisdiction of the Disaster Preparedness Commission (DPC). The mission of the Task Force is to provide the Governor, the DPC and State Agencies with information needed to judge the degree of emergency and appropriate State response. The Task Force is chaired by the New York State Office of Emergency Management and includes the Departments of Environmental Conservation, Health, Agriculture and Markets, New York State Canal Corporation and the Thruway Authority. Among other things, the Task Force directed the DEC to prepare a Drought Forecasting Plan.

In addition to preparing a State Drought Forecasting Plan, the DEC also: 1) regularly monitors and evaluates technical data regarding meteorological and hydrological conditions, 2) determines current drought status for each drought management region of the State, 3) declares drought watches and drought warnings on a statewide or regional basis, 4) advises and provides technical support to the Task Force during drought conditions, 5) coordinates State drought declarations with interstate commissions (Delaware River Basin Commission and Susquehanna River Basin Commission), and 6) ensures the protection of habitats during drought events.

The DEC gratefully acknowledges the effort and dedication of the many individuals that have assisted in the preparation of this Drought Forecasting Plan. In particular, Dr. D. Muralidhar, a Research Scientist in the DEC Division of Water and staff of the USGS New York Water Science Center, deserve special recognition.

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1. INTRODUCTION

New York is a water-rich State with an average annual precipitation that ranges from 28 inches in the Lake Champlain Valley to 60 inches in the Catskill Mountains. Even with this relative abundance of precipitation, occasional drought is a normal occurrence. Although New York has not experienced a drought condition equal to the record-breaking events in southeastern New York during the 1960's, several significant events have occurred since that time, particularly in the early and mid-1980s.

The Drought Forecasting Plan (DFP) is a plan for the New York State Department of Environmental Conservation (DEC) to evaluate regional drought conditions based upon indicators such as precipitation deficits, surface and groundwater levels, reservoir storage, and soil moisture conditions. The DFP describes methodologies for monitoring drought indicators. It is based on a staged approach to drought evaluation, declaration, and response actions and activities. In addition to normal conditions, four drought stages are described: watch, warning, emergency, and disaster.

Because the DFP assesses only general trends over relatively large regions of the State, it is important to remind local officials that they must individually continue to monitor and evaluate local conditions and implement appropriate local responses when needed.

2. DROUGHT MANAGEMENT REGIONS

The State is divided into drought management regions as shown in Figure 1. Changes from prior delineations are: a) the subdivision of Region II to separate the area served by the New York City water supply system, b) the addition of Otsego County to Region III to consolidate the Susquehanna River basin counties, and c) the addition of Oneida County to Region IV because of its hydrological similarity to the rest of that Region. Table 1 lists the counties in each drought management region.

The drought management regions are delineated to: a) reflect relatively consistent drought factors, b) provide sensitive and accurate evaluation of conditions around the State's population centers, and c) represent reliable and sufficient data collection points for the calculation of drought indices. While further subdivision could result in more uniformity within a region, the lack of data collection points and additional assessment and reporting requirements, make doing so impractical.

Figure 1. Drought Management Regions



Table 1. Drought Management Region Counties

Region	Counties
I - Long Island	Nassau, Suffolk
IIA - NYC/ Westchester	New York City and Westchester. Additional upstate communities that draw water from the New York City water supply system are also subject to its Drought Management Plan and Rules. (See Appendices D and E)
II - Catskills	Delaware, Dutchess, Greene, Orange, Putnam, Rockland, Schoharie, Sullivan, Ulster
III - Susquehanna	Broome, Chenango, Cortland, Madison, Otsego, Tioga
IV - Mohawk/ Upper Hudson	Albany, Columbia, Fulton, Herkimer (south), Montgomery, Oneida, Rensselaer, Saratoga, Schenectady, Washington
V - Adirondack	Clinton, Essex, Franklin, Hamilton, Herkimer (north), Lewis, St. Lawrence, Warren
VI - Great Lakes	Chautauqua, Erie, Genesee, Jefferson, Monroe, Niagara, Cayuga (north), Orleans, Oswego, Wayne
VII - Finger Lakes	Livingston, Onondaga, Ontario, Schuyler, Seneca, Cayuga (south), Tompkins, Wyoming, Yates
VIII - Southern Tier	Allegany, Cattaraugus, Chemung, Steuben

3. DROUGHT STAGES

To help ensure consistent use of terminology among various agencies, the DEC and the New York State Drought Management Task Force (DMTF) subscribe to the following drought stage terms:

Normal

Drought Watch

Drought Warning

Drought Emergency

Drought Disaster

Drought Watch is the first stage. This stage is declared by DEC based on this plan. It is intended to give advanced notice of a developing drought. At this stage, the general public is urged to conserve water. Public water purveyors and industries are urged to update and begin to implement individual drought contingency plans.

Drought Warning is the second stage. This stage also is declared by DEC based on this plan. It is a notice of impending and imminent severe drought conditions. A warning declaration includes stepping up public awareness and increasing voluntary conservation. Public water supply purveyors and industries are urged to continue to implement local drought contingency plans. Federal, State, and local water resources agencies are notified to prepare for emergency response measures.

Drought Emergency is the third stage. This stage is declared by the New York State Disaster Preparedness Commission (DPC), based on this plan and upon recommendation of the Task Force. It is a notice of existing severe and persistent drought conditions. An emergency declaration is a notice for local water resources agencies to mandate conservation and implement other emergency response measures. A continuing and worsening drought emergency may result in the Governor declaring a drought disaster. It is a notice of the most severe and persistent drought conditions. At this stage a significant proportion of communities in the impacted area likely are unable to respond adequately.

Drought Disaster is the fourth stage. This stage is declared by the Governor when a significant proportion of communities in the impacted area are unable to address local needs adequately. It is the most severe stage of persistent drought conditions. In response, an Executive Declaration and Order by the Governor may be necessary to marshal State personnel and resources.

It is not always necessary to issue drought declarations in the above consecutive order of severity. When a drought stage is emerging, or ending, it may be appropriate, based on rapidly changing conditions, to skip over one or more drought stages. For example, it may be appropriate to relax a drought emergency to drought watch level. Generally, it is better not to lift conservation measures until all of the water resources in an area have recovered to normal levels. It should remain clear that localities and State agencies may and should, as local conditions warrant, implement rules or operations independent of DEC drought watch or warning declarations.

4. DROUGHT STAGE DETERMINATION

The most commonly used indicator of impending drought is the Palmer Drought Index (PDI). It was developed in 1965 by the National Oceanic and Atmospheric Administration principally for agricultural purposes. Because the PDI largely is based on soil conditions, it typically is one of the first indications of moisture deficiency. PDI values typically are between +5 to -5, with positive values indicating wetter soil conditions and negative values indicating drier soil conditions. The National Climate Center now determines the PDI on a weekly and monthly basis for the entire country during the growing season (April through October). They divide New York into 10 climate zones. The PDI may be viewed here,

<https://www.drought.gov/drought/data-maps-tools/current-conditions>

In addition to the PDI, the DEC has established a State Drought Index (SDI) to evaluate drought conditions on a more comprehensive basis by determining whether several drought indicators reach critical thresholds. The drought indicators are precipitation data, reservoir and lake storage level, stream flow and groundwater level. Each of these indicators is compared against critical threshold values to indicate a normal or drought condition. The indicators are weighted on a regional basis to reflect the unique circumstances of each drought management region. Table 2 shows the SDI range of values for each drought stage. Table 3 shows the regional weighting of each drought indicator. Table 4 shows an example of a compiled SDI.

Table 2. State Drought Index

Drought Stage	Drought Index Range*
Normal	100 - 150
Watch	75 - 100
Warning	50 - 75
Emergency	0 - 50

* The value of the State Drought Index equals the sum of the weighted indicator values.

Table 3. Drought Indicator Regional Weighting Values

Regions	Stage	Indicator Values			
		Precipitation	Reservoir / Lake Storage	Stream Flow	Groundwater Levels
I	Normal	20 - 30	10 - 15	10 - 15	60 - 90
	Watch	15 - 20	7.5 - 10	7.5 - 10	45 - 60
	Warning	10 - 15	5 - 7.5	5 - 7.5	30 - 45
	Emergency	0 - 10	0 - 5	0 - 5	0 - 30
II and IV	Normal	30 - 45	20 - 30	20 - 30	30 - 45
	Watch	22.5 - 30	15 - 20	15 - 20	22.5 - 30
	Warning	15 - 22.5	10 - 15	10 - 15	15 - 22.5
	Emergency	0 - 15	0 - 10	0 - 10	0 - 15
IIA	Determined by the New York City Department of Environmental Protection using their reservoir refill probability curves				
III and VIII	Normal	30 - 45	10 - 15	20 - 30	40 - 60
	Watch	22.5 - 30	7.5 - 10	15 - 20	30 - 40
	Warning	15 - 22.5	5 - 7.5	10 - 15	20 - 30
	Emergency	0 - 15	0 - 5	0 - 10	0 - 20
V, VI and VII	Normal	30 - 45	40 - 60	20 - 30	10 - 15
	Watch	22.5 - 30	30 - 40	15 - 20	7.5 - 10
	Warning	15 - 22.5	20 - 30	10 - 15	5 - 7.5
	Emergency	0 - 15	0 - 20	0 - 10	0 - 5

Table 4. Example of Compiled State Drought Index

Drought Region	Palmer Drought Index	Weighted Indicator Values				State Drought Index
		Precipitation	Stream Flow	Ground Water Level	Reservoir / Lake Storage	
I. Long Island	-0.09 Normal	23 Normal	15 Normal	83 Normal	13 Normal	134 Normal
II. Catskills	1.46 Normal	30 Normal	24 Normal	28 Watch	25 Normal	107 Normal
III. Susquehanna	2.42 Normal	31 Normal	20 Watch	37 Watch	15 Normal	103 Normal
IV. Mohawk / Upper Hudson	0.14 Normal	34 Normal	14 Warning	41 Normal	25 Normal	114 Normal
V. Adirondack	-1.06 Watch	33 Normal	3 Emergency	7 Warning	40 Normal	83 Watch
VI. Great Lakes	-1.61 Watch	27 Watch	8 Emergency	12 Normal	40 Normal	87 Watch
VII. Finger Lakes	-0.60 Normal	32 Normal	23 Normal	4 Emergency	35 Normal	94 Watch
VIII. Southern Tier	-1.83 Watch	31 Normal	30 Normal	50 Normal	13 Normal	124 Normal

A. Precipitation

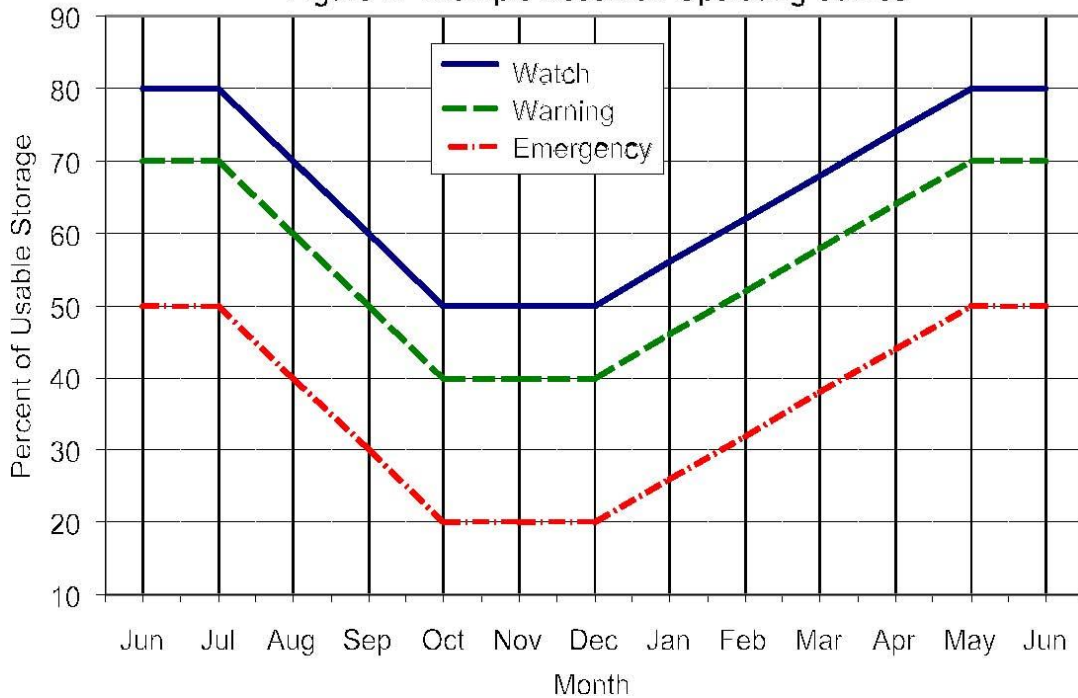
To determine precipitation scores, the DEC first gathers precipitation data and statistically compares it to historical records. Departures from historic averages are determined for each drought management area over varying lengths of time, spanning the past 3 to 12 months depending on individual circumstances. Over a 3-month period, in general, a percentage range of over 75 percent to less than 45 percent covers the range of normal through drought emergency, respectively. Whereas, over a 12-month period the percentages range from more than 85 percent to less than 55 percent, reflecting the lesser variance over longer time periods. The DEC then assigns a precipitation score after considering these short versus long term results, weather forecast trends and patterns, and seasonal significance.

The DEC gathers precipitation and weather forecast information from the National Weather Service. The precipitation reporting network for New York State consists of over 200 sites and provides an adequate metric to monitor precipitation conditions across the State. The Northeast Regional Climatic Center at Cornell University generates a product that aggregates all available precipitation gages in New York State.

B. Lake / Reservoir Storage

To determine lake / reservoir storage level scores, the DEC uses data from the New York State Department of Health (DOH). Ideally, current usable storage should be compared to historic or normal storage, taking into account the normal seasonal pattern of reservoir fluctuation. For instance, storage declines during summer because of low inflow and high demand and recovers during winter and spring when inflow is higher and demand is less. This pattern is reflected in the example reservoir operating curves depicted in Figure 2.

Figure 2. Example Reservoir Operating Curves



Reservoir storage is considered a leading indicator of impending or actual drought for water supply systems relying on surface storage. Analyses of current storage and the balance of inflows and outflows can lead to significant conclusions on drought status. The DEC gathers water supply and other reservoir storage conditions on a regular basis from all available sources, including the New York City Department of Environmental Protection. During drought conditions, the DOH also monitors specific water supply storage levels and provides this information to the DEC on a monthly basis. A map and list of these water supply reservoirs is found in Figure 3 and Table 5.

Figure 3. Reservoir Watch List Map

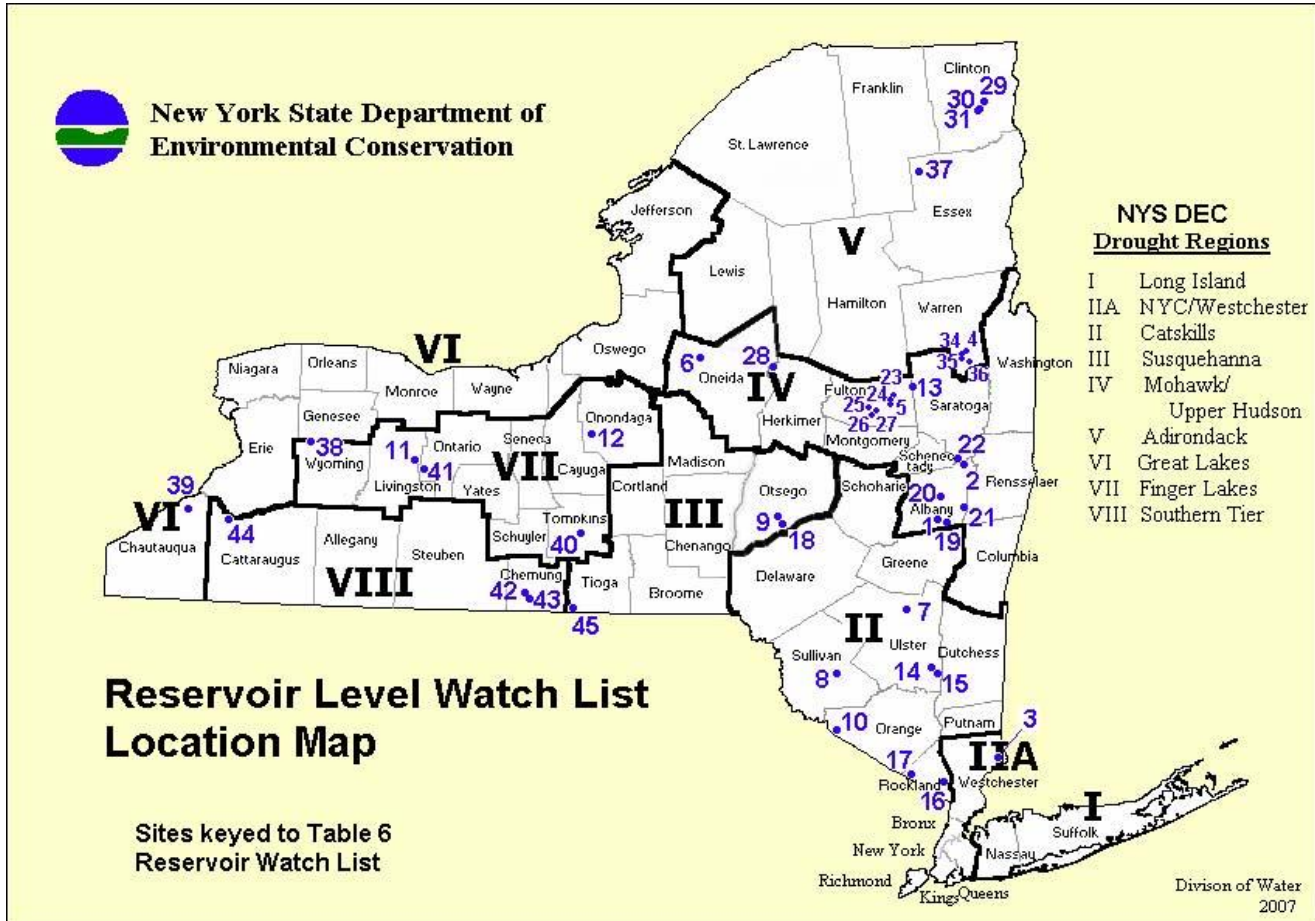


Table 5. Reservoir Watch List

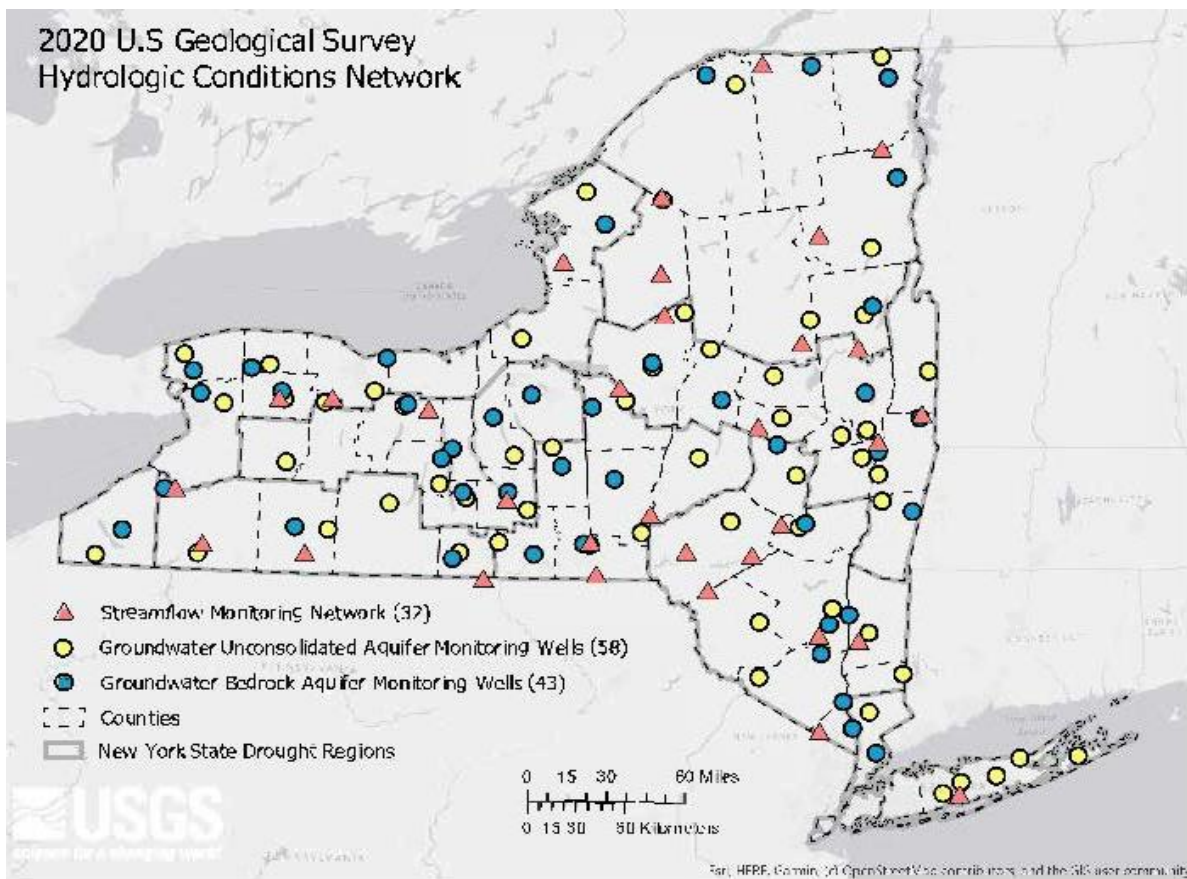
Drought Region	System Name	County	Source(s)	Map ID #
II	Highland	Ulster	Upland Reservoirs 1,2, and 5	14
			Hudson River	15
II	Kingston (C)	Ulster	Cooper Lake	7
II	Monticello	Sullivan	Kiamesha Lake and wells	8
II	Port Jervis	Orange	Reservoirs 1,2, and 3	10
II	United Water of NY	Rockland	Lake Deforest	16
			Ramapo Well Fields	17
III	Oneida (C)	Oneida (serving Madison)	Glenmore Reservoirs	6
III	Oneonta (C)	Otsego	Upper Reservoir (Wilber L)	9
			Lower Reservoir, wells	18
IV	Albany (C)	Albany	Basic Creek Reservoir	1
			Alcove Reservoir	19
IV	Bethlehem	Albany	Vly Creek Reservoir	20
			Hudson River infiltration	21
IV	Latham Water District	Albany	Stony Creek Reservoir	22
			Mohawk River, wells	2
IV	Gloversville	Fulton	Rice Reservoir	27
			Jackson Summit Reservoir	24
			Cameron Reservoir	23
			Port Reservoir	26
			Dixon Reservoir	5
			Lake Edward	25
IV	Mohawk Valley Water Board (Utica)	Oneida	Hinckley Reservoir	28
V	Plattsburgh (C)	Clinton	Mead Reservoir	29
			West Brook Reservoir #1	30
			West Brook Reservoir #2	31
V	Glens Falls	Warren	Keenan Reservoir	35
			Wilkie Reservoir	34
			Butler Pond	4
			Halfway Brook	36
V	Saranac Lake	Essex (serving Franklin)	McKenzie Pond	37
VI	Fredonia	Chautauqua	Canadaway Creek Reservoir	39
VII	Akron	Wyoming (serving Erie)	Akron Reservoir	38
VII	Ithaca	Tompkins	Sixmile Creek Reservoir	40
VII	Onondaga Water Authority	Ononodaga	Otisco Lake	12
VII	Rochester (C)	Livingston	Hemlock Lake	11
		Ontario (serving Monroe)	Canadice Lake	41
VII	Syracuse (C)	Onondaga	Skaneateles Lake	12
VIII	Elmira	Chemung	Hoffman Reservoir	42
VIII	Gowanda	Cattaraugus	Chemung River, wells	43

			Point Peter Reservoir, wells	44
VIII	Waverly	Tioga	Dry Brook Reservoir, wells	45

C. Stream Flow

To determine stream flow scores, using statistics provided by the U.S. Geologic Survey (USGS), the DEC compares current stream flow to historic records. Monthly flow duration curves are used to determine the percent of time current flows would be equal to or exceed the historic record. For instance, stream flows that are equaled or exceeded up to 75, 75-90, 90-95 and 95-99 percent of the time generally are considered as normal, drought watch, drought warning and drought emergency conditions, respectively. Figure 4 shows the distribution of both stream and groundwater monitoring points the DEC uses to assess and monitor drought conditions.

Figure 4. Stream and Groundwater



Stream and Groundwater Monitoring Network

In cooperation with DEC and other Federal, State and local agencies, the USGS operates a large number of stream monitoring stations. To assess and monitor drought conditions, the DEC uses those stations with long enough records to be statistically useful and uninfluenced by upstream impoundment structures. Although longer periods are desirable, the DEC uses monitoring stations with at least 5 years of continuous monitoring records. Detailed hydrological data is found on the USGS website, <http://ny.water.usgs.gov/projects/duration>.

D. Groundwater Level

To determine the groundwater level scores, with assistance of the USGS, the DEC compares current well level data to historical maximum, minimum and average conditions. Similar to stream level scoring, groundwater levels that are equaled or exceeded up to 75, 75-90, 90-95 and 95-99 percent of the time generally are considered as normal, drought watch, drought warning and drought emergency conditions, respectively.

The well sites shown in Figure 4 are located to monitor both upland and valley floor aquifers. Upland aquifers recharge only with precipitation, are more subject to seasonal variation, and are usually the first to show signs of reduced levels. Whereas, valley floor wells have a longer response time, and due in part to recharge from upland aquifers, are not as likely to show very low levels.

The Long Island aquifer is a unique situation, with a vast amount of unconsolidated glacial deposits. Even though long term records show slight variation in groundwater levels, wells close to the coast and where pumping rates are high are susceptible to salt contamination. Accordingly well observations in these areas are most critical.

5. DROUGHT FORECASTING / PLAN UPDATES

Under normal conditions, the data from indicator stations will be assessed on a monthly basis and no special reports will be prepared on drought conditions. If a drought develops, the DEC will increase the frequency of drought assessment and prepare reports, as necessary.

The Task Force will convene monthly, or as required by the State Office of Emergency Management, following a declaration of a drought warning by the DEC in any area of the State. The Task Force will provide information regarding drought conditions to the Governor and the DPC.

6. CONCLUSIONS / RECOMMENDATIONS

There is a continuing need for DEC, the New York City Department of Environmental Protection, and the Susquehanna and Delaware River Basin Commissions to coordinate drought condition declarations.

It should be made clear that localities and State agencies may implement rules or operations independent of DEC drought forecast determinations.

There is a continued need for cooperation among the various data providers to ensure timely collection of data, drought evaluation and forecasting.

Despite recent improvements in the scope of the hydrologic conditions monitoring network, establishing satellite telemetry throughout the network will make monitoring and evaluation of drought conditions more effective.

With particular regard to evaluating the impacts of climate change, it is especially important to maintain long-term data recording.

Every public water supplier that relies on surface storage should develop reservoir/lake stage storage operational rule curves for their systems. In turn, a routine system for reporting data to the New York State Department of Health also should be developed, commensurate with drought severity.

To improve understanding of stream flow in relation to drought conditions, flow duration curves should continue to be developed.

Appendix C

State OEM Emergency Equipment Stockpile Drought-Related Emergency Equipment and Resources

State OEM Emergency Equipment Stockpile Drought-Related Emergency Equipment and Resources

State OEM maintains an emergency equipment stockpile made available to local governments and State agencies on a temporary loan basis. The equipment is primarily for:

- Emergency power generation
- Flooding
- Drought relief

Loan Procedures

- All emergency equipment loans are coordinated by local emergency managers.
- All users must complete and submit a Stockpile Loan Agreement.
- Equipment is loaned for a 30-day period. If a loan extension is needed, a written request along with a description of what is being done to correct the situation must be submitted to the Director of State OEM. The maximum loan period is 90-days.
- Transportation of stockpile equipment is the user's responsibility.
- Return of equipment must be coordinated with the stockpile manager.

Appendix D

New York City Drought Management and Contingency Plan

New York City Drought Management and Contingency Plan

October 1, 2012

The New York City Drought Management and Contingency Plan is available to provide local governments, agencies and water suppliers in Drought Sub-Region IIA with information needed to help them coordinate their water conservation efforts with New York City's requirements. The City's October 2012 drought plan, or subsequent revisions, should be used by Drought Sub-Region IIA public water suppliers to ensure effective water management is implemented consistent with New York City requirements. The plan is owned, operated and maintained by the New York City, Department of Environmental Protection. This plan is on file with the State OEM Planning Section.

Appendix E
Drought Sub-Region IIA
Public Water Systems on New York City Supply

PWS ID	WATER SYSTEM	SOURCE STATUS *	SOURCE
ORANGE COUNTY			
NY3503526	Cornwall-on-Hudson	Direct	Catskill Aqueduct
NY3503615	Firthcliffe Water District	CC	Catskill Aqueduct
NY3517624	Mt. Saint Joseph Convent	Emergency	Catskill Aqueduct
NY3503580	New Windsor Consolidated Water District	Direct	Catskill Aqueduct
NY3503549	Newburgh (City)	Emergency	Catskill Aqueduct
NY3503578	Newburgh Consolidated Water District	Direct	Delaware Aqueduct
NY3522323	NY Air National Guard	CC	Catskill Aqueduct
NY3511885	Stewart Field Water District	Direct	Catskill Aqueduct
PUTNAM COUNTY			
NY3905680	Brewster Heights Water District	Direct	Croton Reservoirs
NY3903642	Carmel Water District #2	Direct	Croton Reservoirs
NY3903652	Cold Spring (Village)	Emergency	Catskill Aqueduct
NY3903655	Continental Village Water District	Direct	Catskill Aqueduct
NY3905710	Graymoor (Village)	Emergency	Catskill Aqueduct
NY3912233	Lake Peekskill Water District	Direct	Catskill Aqueduct
ULSTER COUNTY			
NY5530001	Ashokan Headworks	Direct	Ashokan Reservoir
NY55xxxxx	High Falls WD	Direct	Catskill Aqueduct
NY5503377	Marlborough Water District	Direct / CC	Delaware Aqueduct
NY5515690	New Paltz (Town) Water District	CC	Catskill Aqueduct
NY5503379	New Paltz (Village)	Direct	Catskill Aqueduct
NY5510590	Walkill Correctional Facility	Emergency	Catskill Aqueduct
WESTCHESTER COUNTY			
NY5903458	Amawalk Heights Water District	CC	Catskill Aqueduct
NY5917105	Apple Hill Farm Water District	CC	Catskill Aqueduct
NY5903456	Aquarion Water Company of NY	CC	Delaware Aqueduct/Rye Lake
NY5903438	Bear Ridge Lake Water District	CC	Catskill Aqueduct
NY5903420	Briarcliff Manor (Village)	Direct	New Croton Aqueduct
NY5903422	Buchanan (Village)	CC	Catskill Aqueduct
NY5903478	Cedar Downs Water District	CC	Catskill Aqueduct
NY5903423	Cortlandt Consolidated Water District	CC	Catskill Aqueduct
NY5903425	Croton-on-Hudson	Emergency	Catskill Aqueduct
NY5903427	Elmsford (Village)	Direct	Catskill Aqueduct
NY5903429	Greenburgh Consolidated Water District #1	Direct	Delaware Aqueduct

NY5903430	Harrison Water District #1	Direct	Kensico/Rye Lake
NY5903430	Harrison Water District #4	Emergency	Delaware Aqueduct/Rye Lake
NY5903471	Hawthorne Improvement District	Direct	Catskill Aqueduct
NY5903432	Irvington Water Supply	Direct	New Croton Aqueduct
NY5903433	Larchmont (Village)	CC	Delaware Aqueduct/Rye Lake
NY5903439	Meadowbrook Water District	CC	Catskill Aqueduct
NY5903436	Montrose Improvement District	CC	Catskill Aqueduct
NY5903441	Mt. Vernon Water Department	Direct / CC	Catskill Aqueduct
NY5903442	New Castle - Stanwood Water District	Direct	Catskill/New Croton Aqueducts
NY5903445	North Castle Water District #1	CC / Emergency	Delaware Aqueduct
NY5903492	North Castle Water District #5	Emergency	Catskill Aqueduct
NY5930056	Northern Westchester Joint Water Works	Direct	Catskill Aqueduct
NY5903485	Old Farm Hill Water District	CC	Catskill Aqueduct
NY5903451	Ossining Water Department	Direct	New Croton Aqueduct
NY5903452	Peekskill (City)	Emergency	Catskill Aqueduct
NY5911901	Pelham (Village)	CC	Catskill/New Croton Aqueducts
NY5920776	Pleasant Ridge Water District	CC	Catskill Aqueduct
NY5903455	Pleasantville Water District	CC	Catskill Aqueduct
NY5903457	Scarsdale Water Department	CC	Delaware Aqueduct
NY5903450	Sleepy Hollow (Village)	Direct	Catskill/New Croton Aqueducts
NY5903461	Tarrytown Water Supply	Direct	Catskill/New Croton Aqueducts
NY5903462	Thornwood Water District	Direct	Catskill Aqueduct
NY5903444	United Water of New Rochelle	Direct	Catskill/New Croton Aqueduct
NY5903440	Valhalla Water District (Mt. Pleasant)	Direct	Catskill Aqueduct
NY5903488	Westchester County Water District #1	Direct	Delaware/Catskill Aqueducts
NY5903489	Westchester County Water District #2	Direct	Croton Reservoirs
NY5903482	Westchester County Water District #3	Direct	Catskill Aqueduct
NY5903435	Westchester Joint Water Works	Direct	Delaware Aqueduct/Rye Lake
NY5903464	White Plains (City)	CC	Delaware Aqueduct
NY5903465	Yonkers (City)	Direct / CC	Catskill Aqueduct
NY5903467	Yorktown Consolidated Water District #1	Direct	Catskill Aqueduct

* SOURCE STATUS

Direct = Direct Connection to NYC System or Intake from NYC System Reservoir

CC = Receives NYC Water from Consecutive Connection to Direct System

Emergency = NYC Water Used for Emergency Only

Appendix F
Resource Request Form (RRF)

DEPARTMENT OF HOMELAND SECURITY
 Federal Emergency Management Agency
RESOURCE REQUEST FORM (RRF)

O.M.B. No. 1660-0002
 Expires May 31, 2017

PAPERWORK BURDEN DISCLOSURE NOTICE			
Public reporting burden for this form is estimated to average 20 minutes per response. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the needed data, and completing and submitting this form. This collection of information is required to obtain or retain benefits. You are not required to respond to this collection of information unless it displays a valid OMB control number. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing this burden to: Information Collections Management, Department of Homeland Security, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472-3100, Paperwork Reduction Project (1660-0047). NOTE: Do not send your completed form to this address.			
I. REQUESTING ASSISTANCE (To be completed by Requestor)			
1. Requestor's Name (Please print)		2. Title	3. Phone No.
4. Requestor's Organization		5. Fax No.	6. E-Mail Address
II. REQUESTING ASSISTANCE (To be completed by Requestor)			
1. Description of Requested Assistance:			
2. Quantity	3. Priority <input type="checkbox"/> Lifesaving <input type="checkbox"/> Life Sustaining <input type="checkbox"/> Normal <input type="checkbox"/> High		4. Date and Time Needed
5. Delivery Site Location		6. Site Point of Contact (POC)	
		7. 24 Hour Phone No.	8. Fax No.
9. State Approving Official Signature			10. Date and Time
III. SOURCING THE REQUEST - REVIEW/COORDINATION (Operations Section Only)			
1. <input type="checkbox"/> OPS Review by: _____ <input type="checkbox"/> LOG Review by: _____ <input type="checkbox"/> Other Coordination: _____ <input type="checkbox"/> Other Coordination: _____ <input type="checkbox"/> Other Coordination: _____	2. Source: <input type="checkbox"/> Donations <input type="checkbox"/> Other (Explain) <input type="checkbox"/> Requisitions <input type="checkbox"/> Procurement <input type="checkbox"/> Interagency Agreement <input type="checkbox"/> Mission Assignment	3. Assigned to: ESF/OFA: _____ RSF/OFA: _____ Other: _____ Date/Time: _____	
4. Immediate Action Required <input type="checkbox"/> Yes <input type="checkbox"/> No			
IV. STATEMENT OF WORK (Operations Section Only)			
1. OFA Action Officer		2. 24 Hour Phone #	3. Fax #
4. FEMA Project Manager		5. 24 Hour Phone #	6. Fax #
7. Statement of Work			<input type="checkbox"/> See Attached
8. Estimated Completion Date			9. Estimated Cost
V. ACTION TAKEN (Operations Section Only)			
<input type="checkbox"/> Accepted	<input type="checkbox"/> Rejected	<input type="checkbox"/> Requestor Notified	
Reason / Disposition			

RESOURCE REQUEST FORM (RRF)

TRACKING INFORMATION (FEMA Use Only)			
ECAPS/NEMIS Task ID:	Resource Request #	Program Code/Event #	
Received by (Name and Organization)	State	Date/Time Received	<input type="checkbox"/> Originated as verbal
INSTRUCTIONS			
<p>Items on the Resource Request form that are not specifically listed are self-explanatory. Indicate "see attached" in any field for which additional space or more information is required.</p> <p>I. Who is requesting assistance? Completed by requestor.</p> <p>II. What needs to be done? Completed by requestor.</p> <p><u>Description of Requested Assistance:</u> Detail of resource shortfalls, statement of deliverable, or simply state problem/need.</p> <p><u>Priority:</u> The requestor's priority, which may differ from the priority in BOX III.</p> <p><u>Site POC:</u> The person at the delivery site coordinating reception and utilization of the requested resources. 24-hour contact information required.</p> <p><u>If for Direct Federal Assistance (DFA), State Approving Official:</u> Signature certifies that:</p> <ul style="list-style-type: none"> (1) State and local governments cannot perform, nor contract for the performance of the requested work; (2) Work is required as a result of the event, not a pre-existing condition; and (3) The State is providing the required assurances found in 44 CFR, Section 206.208. <p>III. Action Review/Coordination (OPS Section Use Only): Completed by the Operations Section Chief or Resource Capability Branch Director.</p> <p><u>Accept/Reject:</u> Operations Section Chief or Resource Capability Branch Director accepts or rejects the request; provide reason if rejection. If request accepted, coordinates with others, i.e., Branch Directors or Group Supervisors, begins to determine best means of fulfilling request. All involved in coordination should check appropriate box and initial or print their name.</p> <p><u>Assigned to:</u> Operations Section Chief or Resource Capability Branch Director assigns tasks origination, may indicate the OFA Action Officer. Operations Section Chief may also indicate the Action Officer if known, or tasked organization may make this assignment. This may be Emergency Support Function, internal FEMA Organization (i.e.; Logistics), or other organization.</p> <p><u>Date/Time Assigned:</u> Operations Section Chief or Resource Capability Branch Director provides date and time of when sourcing should begin.</p> <p>IV. Statement of Work (OPS Section Use Only): Completed by the Operations Section Chief or Resource Capability Branch Director.</p> <p><u>OFA Action Officer:</u> Ops Section Chief obtains from OFA if request fulfilled by a MA; 24-hr phone/fax required. Information used in eCAPS.</p> <p><u>FEMA Project Manager:</u> Provided by Operations Section Chief; a Region PFT; 24-hr phone/fax required. Information used in eCAPS.</p> <p><u>Statement of Work:</u> Description of tasks to be performed. Could be to assess a problem and report back, or could be to proceed with a specific action. If 40-1 or MA, this goes in "justification" tab in eCAPS.</p> <p>V. Action Taken (OPS Section Use Only): Completed by Operations Section Chief, Resource Capability Branch Director, MA Unit or Logistics.</p> <p><u>Resource Request Results:</u> Ops Section Chief, Resource Support Section Chief, MA Unit, or LOG should note what type of document the action resulted in by "checking" the appropriate box i.e., Mutual Aid, Donations, Requisition, Procurement, IA, MA, Other. If "Other" is selected write in appropriate response or state "see below" and give detail description in "Disposition" field. "Disposition" field should note steps taken to complete the Action, and personnel, sub-tasked agencies, contracts and other resources utilized.</p> <p>TRACKING INFORMATION. Completed by Action Tracker. Required for all requests.</p>			

New York State Comprehensive Emergency Management Plan

Hazardous Materials Annex



**Disaster Preparedness
Commission**

**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)
January 2002	Functional Branch Info	Response Section
March 2003	General review	All
February 2005	SERC Review	All
March 2006	SERC Review	All
February 2008	Internal Review	All – Primarily Response Section
December 2009	Internal Review	Admin Change – all
February 2011	SERC review	All, new member reviews
March 2013	Internal Review – EMAP	All; Admin changes noted
February 2014	Internal Review - EMAP	All
October 2014	All – crude oil additions	All
June 2018	Format changes, addition of ESF construct	All
November 2018	SERC Review	All
February 2019	General Review and ESF 10	All
January 2020	Annual Review, EMAP additions	All
February 2020	Annual Review	All
March 2021	Annual Review with SERC and ESF #10 Member Agencies	All

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Section I: General Considerations and Planning Guidelines

A. Introduction

Hazardous materials exist or are transported through most areas of New York State, including along the state's 4,100-mile rail network. Numerous rail yards and ports, such as the Port of Albany, have become a major hub for transshipments, storage, and receipt of numerous types and quantities of chemicals. Crude oil shipments occur by rail and are transferred to ships or barges to be transported down the Hudson River. New York State is also home to multiple industrial corporations which utilize hazardous materials in day-to-day activities, and there is a daily risk of traffic-related incidents involving hazardous materials due to vehicle and railway traffic throughout the state.

New York State leadership recognizes this risk for a potential for a catastrophic accident involving these risks, including the risks to the environment, critical infrastructure sectors, the private sector, the economy, and our way of life. In recognition of the increased risk of crude oil, Governor Andrew M. Cuomo issued Executive Order 125 (EO 125) in January 2014, directing state agencies to immediately conduct a coordinated review of New York State's crude oil incident prevention and response capacity. EO 125 identified many areas where improvements in safety and preparedness could be made. These improvements are cross cutting all levels of government, and included the development/update of local, state, and federal emergency response plans.

This annex outlines New York State's strategy in preparing for, responding to, and recovering from such events in a collective, multi-agency state approach.

B. Purpose

This document applies to all state agencies and authorities that may be directed to respond to an event and builds upon the process and structure of the State Comprehensive Emergency Management Plan (State CEMP) by addressing unique policies, situations, operating concepts, and responsibilities. Response operations to this type of event will encompass the efforts identified in this annex and utilize existing capabilities of other hazard-specific annexes to the CEMP. It is important to note that several other state plans, either agency-specific or multi-agency, may be utilized to support the implementation of this annex. To avoid redundancy, such plans are not reiterated here, but are referenced.

Figure 1 on the next page identifies the structural relationship between the CEMP, its annexes, and this Hazardous Materials Annex. In reviewing, note the linkage to other documents that fall under Volume 2. Additionally, several other documents exist within the New York State Office of Emergency Management (State OEM) to manage the activities of the State Emergency Operations Center (State EOC) in response to the event.

The term hazardous materials, as applied in this document, is defined as all materials listed in the Hazardous Materials Table of the Code of Federal Regulations (CFR), Title 49, Section 172.101 as well as any substance or material in a quantity or form that may pose an unreasonable risk to life, health, property or the environment if released. The term hazardous materials incident is characterized in this document as the release or potential release of a hazardous material posing a threat to the safety of citizens, property, or the environment.

The purpose of this document is to ensure that the State of New York can adequately prepare for, respond to, and recover from a hazardous materials emergency that warrants a large-scale, multi-agency response. This annex will ensure that the state possesses a viable, multi-agency plan that encompasses tactical, operational, and strategic response mechanisms from all levels of the state’s response organization. In doing so, this plan will integrate state agency-specific activities, as well as the activities of the State EOC and the state’s Emergency Support Functions (ESFs), as appropriate. Further, this document identifies the key mechanisms in coordinating with the local response and identifies the lines of coordination to interoperate with the federal response via the Inland Area Contingency Plan (IACP) or the National Response Framework (NRF).

C. Scope

This annex provides for a variety of actions related to the personnel and equipment for incidents that require state-level multi-agency coordination. This annex is not intended to replace local emergency plans or local response activities; it is intended to be a supplement to outline the state level response if warranted. The activities associated with the activation of this annex include the appropriate actions to prepare for, respond to, and recover from a threat to public health and welfare or the environment caused by the actual or potential release of a hazardous material.

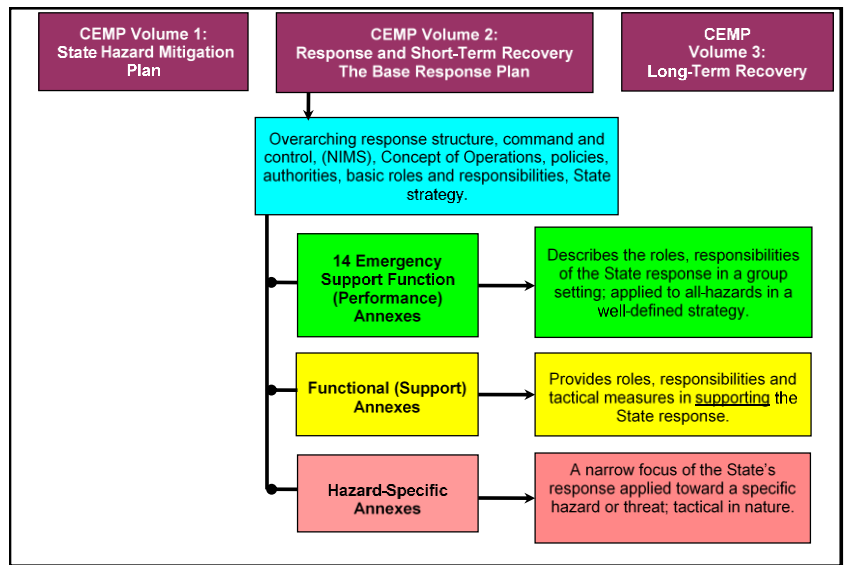


Figure 1: Structural Relationship of the State Comprehensive Emergency Management Plan and the NYS Hazardous Materials Annex.

This annex applies to any hazardous material emergency that warrants a response beyond standard, day to day agency statutory obligations and conditions warrant a collective State Disaster Preparedness Commission (DPC) response.

Actions included under the scope of this document may include:

- Actions to minimize or mitigate a hazardous material release.
- Actions to protect or minimize the potential impact on an at-risk population.
- Efforts to detect and assess the extent of the environmental contamination.
- Actions taken to stabilize the release and prevent the spread of contamination.
- Analysis of options for environmental cleanup and waste disposition, including options for cleanup and disposal of contaminated debris.
- Implementation of environmental cleanup, including collection of orphaned oil and hazardous materials containers, collection of household hazardous waste, removal of contaminated soil, and decontamination of buildings and structures.
- Coordination of the storage, treatment, and disposal of oil and hazardous materials.
- Actions to protect natural resources.
- Coordination and monitoring of the disposal of contaminated debris.

D. Situation

Numerous emergencies or disasters have the potential to include a release of hazardous materials. The release of hazardous materials may be the cause for the initial response, or response may be necessary due to a cascading event when the release of a hazardous materials is discovered during the response activities. A release could potentially occur at a fixed site or could involve a transportation incident on land or offshore.

A hazardous materials release at a fixed site could occur at private facilities, government-owned properties, or privately-owned property and/or residences which could affect public areas. A spill may occur along a waterway or from a vessel offshore. Local and state level response may occur concurrently with response activities coordinated by the owner of a private sector facility or Responsible Party (RP).

Hazardous materials may be weaponized and used in an intentional attack against an area or a facility. Large scale natural disasters such as tornado outbreaks, floods, and hurricanes may cause the release of hazardous materials due to damage to facilities or transportation modes. The presence of a hazardous material may delay the initial response of first responders into an affected area, thereby causing delay in the provision of life-saving medical treatments and interventions.

The release of any hazardous substance has the potential for short and long-term consequences. Short-term effects could include families being displaced for several days, disruptions to normal transportation routes, and immediate health effects due to exposure. Decontamination of individuals displaced may require additional support, and short-term sheltering outside of the affected area may be required. Dependent upon the location of the release, there is the potential for sheltering to be placed outside of county or state boundaries, requiring activation of mutual aid agreements or state-to-state assistance requests. Medical facilities may require additional staffing to

assist with triage of individuals affected by the release, and there is also the potential for medical facilities to become contaminated.

Long term concerns can also arise from a release of a hazardous material. Long term monitoring of the affected area may be required. Individuals may suffer long term medical affects, including mutagenic effects or teratogenic effects that are not apparent for many years. The agricultural community may be affected by a land release, resulting in a loss of crops or livestock, affecting food supplies intended for local, state, or national distribution. These losses can cause prolonged economic hardships for the agricultural community. Water supplies or food sources may be contaminated, affecting areas near and far from the actual release site, and long-term monitoring of water, soil, and air quality may be necessary.

In the late 1970's, it was discovered that a chemical waste dump in the Love Canal located near Niagara Falls, New York was leaking hazardous materials into the surrounding neighborhoods. The chemicals were released into the canal from 1952-1953, and the contents included around 21,000 tons of toxic chemicals, including known carcinogens. The President declared States of Emergency in both 1978 and 1981, which allowed for the relocation of a total of 939 families at a cost of \$17 billion. As a result of this release, the 1980 Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), also known as the Superfund, was created.

Fixed Site Release

Hazardous material releases occur in the state on a regular basis. In most cases, these spills are contained in a relatively short amount of time without any major disruption to business, communities, and with limited environmental impacts. In the case of oil spills, New York State Department of Environmental Conservation (DEC) manages the response to the spill in regard to containment/remediation in coordination with local government, the RP, and clean-up contractors to ensure proper remediation of the incident.

On December 3, 1984, an insecticide plant in Bhopal, India released about 45 tons of methyl isocyanate which affected a densely populated area surrounding the plant. Thousands of people were killed immediately, and thousands attempted to evacuate the area. The final death toll is estimated to be between 15,000-20,000 individuals. Approximately half a million survivors suffered respiratory problems, eye irritations, blindness, and a myriad of additional affects from exposure to the gas.

On April 23, 2004, five workers were fatally injured, and two others were seriously injured when an explosion occurred in a polyvinyl chloride (PVC) production unit at Formosa Plastics in Illiopolis, Illinois. A 20-mile stretch of nearby Interstate 72 was closed. Fires burned for several days, and the site was later demolished.

On December 22, 2008, an ash dyke at the Tennessee Valley Authority (TVA) Kingston Fossil Fuels Plant near Kingston, Tennessee ruptured, releasing 5.4 million cubic yards of coal ash slurry stored

in an 84-acre solid waste containment area. While only 22 residents were evacuated, damage was caused to residential properties, transportation routes, and a major gas line was ruptured as the slurry covered over 300 acres of the surrounding area. Environmental damages included ground and water contamination, and the cost of long-term cleanup and monitoring activities was estimated to be over \$1.5 billion.

The response to a catastrophic event in the state poses several challenges, which can be exacerbated when the product involved is burning. In some cases, a release at a fixed site accompanied by a fire would quickly overwhelm local response capability and capacity. In some events, the fire may be so intense that responders will be unable to get close enough to the ignition source to extinguish the fire or may not be able to deliver the required volume of water for fire suppression efforts. In addition to putting the public and local responders at risk, fires can produce a plume that carries potentially hazardous chemicals downwind across county, state, and international borders. This plume may contaminate/or expose the environment and at risk-populations to the byproducts of combustion, some of which are carcinogens.

In-Transit Release

The transport of hazardous materials in New York passes through very different and distinct areas. Some of these areas are remote, making it difficult to assess, efficiently respond to, contain, and recover from. Other areas are densely populated cities, which are relatively accessible but pose a risk to a larger population. Regardless of the location, each site where an incident does occur will be accompanied by its own set of operational challenges to contend with.

In April 2003, a tractor-trailer rolled over in Rochester, New York, spilling 12,000 gallons of gasoline in a populated area. The subsequent fire ignited surrounding homes, damaging 23, homes, killing one and injuring 11 others.

On January 6, 2005, 9 people were killed and more than 260 treated for exposure when two trains crashed, derailling 16 cars and spilling approximately 60 tons of chlorine gas in Graniteville, South Carolina. Over 5,400 people were evacuated for nearly 2 weeks while cleanup and decontamination of the site ensued. Total damages exceeded \$6.9 million.

On December 30, 2013, a westbound grain train derailed near Casselton, North Dakota, and collided with an eastbound train carrying crude oil. More than 400,000 gallons of crude oil was released, some of which ignited. No injuries were reported, although approximately 1,400 people voluntarily evacuated. The damage was estimated at \$6.1 million.

As noted in the examples above, the release of any hazardous chemical can possess multiple cascading consequences. The risk to public health and safety is of prime concern. In addition, the environmental impacts may be significant, potentially affecting watersheds, aquifers, fish and wildlife, and agriculture. The state has a legacy of tourism and has many communities that thrive on seasonal activities along pristine lakes and rivers. The rippling effect of a catastrophic hazardous

material spill can have long-term consequences on the local or state economy, including these areas that have a high volume of tourism.

E. Planning Assumptions

- Hazardous materials incidents occur daily that do not require activation of this annex. Not all releases of hazardous materials will require a state level response.
- The entity responsible for the release has primary legal and financial responsibility for containment, cleanup, removal, and disposal of such releases and may be held liable for the costs of any or all activities financed with public funds.
- While all disaster response activities will begin and end at the local level, some state and federal agencies possess the statutory authority to respond on their own initiative.
- Local level responders will have notified the DEC Spill Hotline, the National Response Center, and, if applicable, the associated railroad or RP, at the onset of the event.
- Strategic priorities will be life safety, health, property protection, and environmental protection.
- State assistance, including activation of the State Fire Mobilization and Mutual Aid Plan (FMMAP), may be requested when a local government recognizes that local resources have been or are expected to become overwhelmed. 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.
- ESF #10 Oil and Hazardous Materials Response will be activated to coordinate activities with other activated ESFs via the State EOC to ensure a cohesive, coordinated response.
- Incidents may have complex legal issues such as a RP and/or other criminal/legal implications. During such incidents, ESF #10 will closely coordinate with local and county law enforcement agencies and/or ESF #13 Public Safety and Security.
- Transportation routes may become contaminated by oil or hazardous materials and be unavailable to both responders and the public.
- Incidents involving a hazardous material release and the subsequent response activities may be affected by current and anticipated weather conditions.
- Critical life-saving response activities may be delayed due to the presence of hazardous materials.
- Incidents may have long term environmental effects which may require additional short and long-term monitoring of affected sites. The environmental impacts of an event are likely to be costly, possibly taking years for the environment to fully recover.
- There will be a significant need for timely release of public information which is specific to the nature and extent of the release, the specific area(s) of release, and, if appropriate, actions to be taken by the public to lessen or prevent potential exposure.
- Multiple agencies support local, county, regional, and state planning efforts through the development of Geographic Response Plans (GRP) along crude by rail transportation corridors.

- An accident can occur with no warning in many areas of the state, including densely populated areas or remote locations.
- Incidents in densely populated areas will likely require protective actions on behalf of the public. Incidents in remote areas may be especially difficult to respond to due to logistical challenges.
- Government at all levels will need to take quick and decisive actions to protect the environment and the population at risk.
- The state will be required to deploy staff to the field to assist in a host of emergency operations and may include incident management, spill containment, fire suppression, supporting evacuations, public messaging, decontamination, mass care, family reunification, fatality management, and re-entry/return.
- The DEC and the State Department of Health (DOH) possess statutory responsibilities and authorities for such events and will become engaged in the response almost immediately.
- The state will play a role in the investigation of a transportation accident in coordination with the National Transportation Safety Board (NTSB). The NTSB is typically involved when an incident is accompanied by fatalities.
- The Division of State Police (DSP) will serve as the lead state law enforcement agency for incidents that appear to be intentional.
- The United State Environmental Protection Agency (EPA) possesses authority to manage the incident and may effectuate the full capabilities of Federal ESF #10 Oil and Hazardous Materials. The United State Coast Guard (USCG) possesses statutory authority to manage releases on coastal and inland waterways and works in cooperation with the EPA. The USCG and EPA have direct access to all federal ESF #10 resources in absence of a Stafford Act Declaration of Emergency or Major Disaster.
- A Federal On-Scene Coordinator (FOSC) may be established to coordinate the activities of the federal government in coordination with the Regional Response Team (RRT). This role may be established with or without the activation of Federal Coordinating Officer (FCO) and in the absence of a major disaster declaration by the President.
- The Governor may declare a State Disaster Emergency and request full federal support under the NRF and the remaining ESF's. In such cases, a FCO will be identified, and will serve as the lead conduit to federal resource support.

F. Concept of Operations

A release of hazardous materials may occur in multiple scenarios. The release may occur at a fixed site, such as a chemical release from a facility, or it may involve a release during transport. Releases may occur as a singular incident, or may be a cascading event, originating from damage caused by a natural or human caused event.

If the release of hazardous materials stems from a widespread disaster, such as a hurricane, the State EOC may be activated before the release is known. Agencies may already be actively responding to the existing event and may face challenges in terms of ensuring responder safety if

the release is unknown, as well as the need for additional personnel and materials to address hazardous materials.

A release from a fixed site would typically involve a known substance. Planning documents and anticipated plume modeling may be available to responders. Hazardous waste facilities and vessels are required to develop and maintain emergency response plans, to include evacuation plans and procedures, site security measures, and site topography. Materials being transported may possess a manifest of bill of lading. Dependent upon the type of release and storage, there may be some warning available. Individuals located within the general area may have already received educational materials regarding what to do in the event of a release and be more prepared to take actions up to and including evacuation.

The release of a hazardous material in-transit may involve an unknown or un-placarded substance and have a higher potential to affect public transportation routes. In-transit events are expected to have no warning and may involve the need for first responders to enter an area before the release is known, causing additional safety concerns on site as well as the potential need for longer term monitoring of response personnel.

As with all disasters, response begins and ends at the local level. Local government and its emergency services units are primarily responsible to provide initial response to the emergency event, for mitigating its effects and for protecting public health and welfare. In the event that local government capabilities become overwhelmed, mutual aid assistance may be available from neighboring municipalities and counties.

The following concept of operations is envisioned in response to a credible, no notice worst-case emergency that warrants a state multi-agency response:

- An incident occurs in the state. Local governments and emergency service organizations will continue their essential role as the first line of defense. In doing so, they implement response activities to assess, contain, and mitigate the release, as well as to implement protective actions as appropriate.
- When an incident is beyond local capabilities or warrants a statutory response, local government requests assistance through their respective county government to the state through the State OEM.
- State agencies deploy their respective regional/headquarters staff to establish and support on-scene incident management responsibilities and implement state-level mission assignments (statutory or otherwise).
- An on-scene Incident Command Post (ICP) will be established by local government and should be supported by the county emergency management office. State and Federal agencies responding to the incident will integrate tactical operations at the ICP.
- In a major event, the local/county EOCs will likely be activated and staffed by numerous county agencies. State agencies deploying to the field will provide operational support at the local EOC to integrate into the overall county response.

- If warranted, the EPA or the USCG will respond to the event and will designate a Federal On-Scene Coordinator (FOSC). The FOSC will serve as the lead federal point of contact in coordinating with the RRT in mitigating the spill.
- The DEC will serve as the lead state agency in determining the best course of action to contain the spill and protect the environment under ESF #10 Oil and Hazardous Materials Response. The DOH will serve as the lead state agency in assessing and recommending actions to lessen the impacts on public health under their roles in both ESF #8 Public Health and Medical Services and ESF #10 Oil and Hazardous Materials Response.
- If warranted, the State EOC will be activated and appropriate ESFs will be requested to staff the State EOC.
- The State Multi-Agency Coordination (MAC) group may convene in response to the event. This group will set the policy and strategy for state actions and will be comprised of DPC agencies that are actively engaged in the response.
- Once activated, the State EOC will be the sole source for request, acquisition, and centralized coordination of resources for the state and federal resource support. This coordination will be effectuated in events where ESF #10 is supporting the state on its own through the FOSC, and in cases where a FCO is identified.
- The state's response will be organized and coordinated under the National Incident Management System (NIMS) Incident Command System (ICS). As such, a variety of ICS-based components, capabilities, and structure will be considered and implemented as appropriate.
- The Governor may declare a State Disaster Emergency and may request federal disaster assistance through Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA) Region II.
- The NRF may be implemented upon request of the state, or upon request of the FOSC.
- In the event the NRF is implemented, a FCO will be designated by the President to implement the NRF and coordinate and direct emergency assistance. The FOSC will coordinate response activities with the FCO, through the federal ESF #10, to ensure unity of coordination with federal disaster response activities.
- The FCO and NRF/federal ESF leadership will be in place at the State EOC to ensure unity of effort.
- The incident command structure put into place for state response operations will be supportive of the transition from response operations into the short-term recovery phase of the incident. Structural response components and agencies will be demobilized based on the needs of the incident, as appropriate.
- State OEM will coordinate disaster recovery efforts with the appropriate local, state, and federal officials. DEC will coordinate all clean up and compensation as it directly relates to the spill.

State Response

Assistance may be requested from state government during any phase of an emergency: initial response, cleanup, disposal, or restoration. A local or county entity may request the Office of Fire

Prevention and Control (OFPC) to activate the FMMAP without an emergency declaration or activation of the State EOC. Although most direct response actions at the state level will occur through ESF #10 Oil and Hazardous Materials Response, it is anticipated that additional ESFs will be activated to support the response.

Some agencies have statutory requirements that designate them as a lead agency in certain types of events. This designation was given to those agencies that normally have the greatest overall state role in preventing or mitigating the adverse effects associated with that class of hazardous materials emergency. The designation of a lead agency does not supersede the state's ESF construct for response activities. All state level hazardous materials response activities will be coordinated through ESF #10. The lead agency representative will ensure that the agency's legal requirements are met within the ESF #10 structure.

The Governor could exercise the authority to declare a State Disaster Emergency. Upon the declaration of a State Disaster Emergency, the Governor may direct any and all state agencies, including non-DPC agencies, to provide assistance under the coordination of the DPC.

Federal Response

In compliance with the NCP, all state level activities will be coordinated with the designated FOSC when/if there has been an activation of federal assets. IACPs and GRPs are included as part of that coordination. When there is an activation of federal assets, federal regulations mandate that two agencies have responsibility for the oversight of incidents of oil, the EPA and the USCG. For releases on land, the EPA will be the designated FOSC and for U.S. navigable waters, the USCG will be the designated FOSC. For events involving the release of hazardous substances, dependent upon the location and source of the release, the FOSC may be provided by the EPA, USCG, Department of Energy (DOE) or the Department of Defense (DOD).

Dependent upon the extent and severity of the event, the Governor may request federal assistance, which may result in a Presidential Declaration of Disaster. Environmental assessments and clean up may occur under the pollution removal authorities which routinely operate outside of the declaration process. The Commandant of the USCG or the Administrator of the EPA may also make the determination of if the incident qualifies as a Spill of National Significance (SONS). The NCP defines a SONS as "a spill that, due to its severity, size, location, actual or potential impact on the public health and welfare or the environment, or the necessary response effort, is so complex that it requires extraordinary coordination of federal, state, local, and responsible party resources to contain and clean up the discharge."

It is important to note that the FOSC will have direct access to Federal ESF #10 assets in the absence of a Stafford Act declaration of disaster. However, during an active declaration of disaster under the Stafford Act, the FCO will work through the FOSC to assist with necessary activities.

G. Legal Authorities

The authority to develop this annex and implement specific response actions to effectively respond can be found in a variety of New York State Laws, regulations, and federal authorities, including:

1. State Authorities/Policies

- New York State Executive Law, Article 2-B (4/1/79), as amended
- Executive Order #26.1 of 2006, as amended (NYS Adoption of the Incident Command System)
- Executive Order #125 of 2014
- New York Codes, Rules, and Regulations (NYCRR), Chapters III and VI
- New York State General Municipal Law
- New York State Navigation Law
- New York State Environmental Conservation Law (ECL)
- New York State Public Health Law, Sections 201 and 206
- New York State Fire Mobilization and Mutual Aid Plan (FMMAP)
- New York State Transportation Law

2. Federal Authorities/Plans

- Federal Robert T. Stafford Disaster Relief and Emergency Assistance Act
- Homeland Security Presidential Directive (HSPD) 5
- Presidential Policy Directive (PPD) 8
- Federal Oil Pollution Act of 1990 (OPA or OPA 90)
- National Oil and Hazardous Substance Pollution Contingency Plan (also referred to as the National Contingency Plan or NCP)
- Environmental Conservation Act of 1990
- Inland Area Contingency Plans (IACPs)
- Title 29 CFR §1910.120
- Title 40 CFR

H. Plan Maintenance, Updating, and Revision Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the New York State CEMP. As required under New York State Executive Law Article 2-B, each document shall undergo an annual review and update on or before February 15th of each year and be posted online (if applicable) no later than March 31st of each year.

During the annual review by the Planning Section for its material, this plan is examined for both content and format. State OEM will work through the State Emergency Response Commission (SERC) working group agencies for updates as required. For updates that do not impact operational

mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

Section II: Risk Reduction

To some extent, preparedness measures are on-going through the existence of local, state, and federal level partnerships. These measures include risk reduction through awareness and surveillance, planning efforts, and training and exercising.

The reduction of risk and prevention of spills is accomplished through the implementation and enforcement of local, state, and federal regulations and the compliance of facilities and transporters involved in oil or hazardous materials storage or transportation.

A. Awareness and Surveillance

Section 312(a) of the Emergency Planning and Community Right-to-Know Act (EPCRA) requires the owner or operator of facilities subject to Section 311 of EPCRA to submit an emergency and hazardous chemical inventory form by March 1 of each calendar year to the SERC, the Local Emergency Planning Committee (LEPC), and the local fire department. This data is available to support planning and response activities.

The DEC has programs to enforce the requirements for petroleum bulk storage, chemical bulk storage, storage of liquefied natural gas (LNG), and major oil storage facilities. Storage tanks larger than 110 gallons must be registered through the DEC to maintain compliance with applicable regulations.

In accordance with Title 40 CFR, part 263, each transport company is required to obtain an EPA identification number. The United States Department of Transportation (USDOT) regulates the transport of hazardous materials and enforces requirements for labeling, marking, placarding, and containers, and reporting of discharge. NYSDOT provides oversight and enforcement over rail inspections in crude oil corridors. The DSP oversees truck inspections regularly along major transportation routes.

B. Planning

The NYS Hazardous Materials Annex supports the state role under the National Oil and Hazardous Contingency Plan, and the Regional Area Spill Contingency Plans.

Local Plans

The Superfund Amendments and Reauthorization Act (SARA) of 1986 included the EPCRA, or SARA Title III. This statute (Public Law 99-499) was designed to improve community access to information about hazardous chemicals and to facilitate the development of emergency response plans by state and local governments. The major components of EPCRA require local government to establish a LEPC, and for the development of comprehensive emergency response plans. These local plans

are scoped to fixed-site hazardous materials preparedness but do include the linkage to the in-transit hazard.

New York State maintains 58 LEPCs, which serve as the focal point for county-level preparedness in regard to hazardous materials. In doing so, the LEPCs work collaboratively with local and state agencies on plan amendments and operational discussions.

State Plans

Each county in the state possess a comprehensive emergency management plan, or CEMP. The CEMP is the overarching plan in each jurisdiction in preparing for, responding to, and recovering from any emergency in the jurisdiction. Local SARA Title III plans or 204(f) plans fall under the purview of a county CEMP during a large-scale disaster.

Since the promulgation of EO 125, the state has engaged with local government partners to develop tactical-level actions for crude oil incidents. The state has identified 25 high risk/high volume transit shipping areas that could experience a crude oil mishap.

Each GRP identifies high-risk areas for transportation and crude oil shipments and includes the environmentally sensitive issues associated with an event in that location. Response actions include locations where booming or diking should be undertaken to prevent impacts on the environment, water supply systems, and drainage. The GRPs also include insight as to what is needed in support of the local response.

Federal Plans

The federal government possesses multiple plans to address oil and hazardous materials spills in coastal and inland areas. The NCP is the federal government's plan for responding to both oil spills and hazardous substance releases. Federal planning also includes ACPs, which are scoped to address releases on waterways and give broad responsibilities to the USCG.

Both the ACP and NCP have been updated to address the recent risk of crude oil incidents and include an IACP for Oil and Hazardous Substance Spills in New York State. The purpose of the IACP is to provide an action plan within the State of New York for response to a release of oil and to promote timely and effective coordination among the entire spill community, including federal, state, tribal, local, and private entities in response to a discharge or substantial threat of discharge.

C. Training and Exercise

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the ICS and the Professional Development Series (PDS) curriculum. The state also participates in a wide variety of specialized training, including training to meet federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many state agencies identify training

requirements within their own organization to meet the needs of the agency for that specific discipline.

The OFPC provides hazardous materials training to the fire service and other emergency response personnel statewide, pursuant to Section 156 of the NYS Executive Law, and maintains a hazardous materials response capability to provide technical assistance to local, county, and state agencies at any hazardous materials incident including oil spills.

In some cases, the rail industry provides specialized training as well. These offerings include rail car simulations, use of different spill kits, and often provide for hands-on training for local and state responders, such as tank car fires and chlorine kit usage. Under the United States Department of Transportation Hazardous Materials Emergency Preparedness (USDOT HMEP) grants, many offices have coordinated regional powers for hazardous materials incidents.

D. Supplies, Equipment, and Resources

Each individual agency maintains stockpiles and supplies for their own internal use to support the needs of their agency and personnel during a response operation. The list below summarizes the specialized equipment owned and operated by various agencies in support of response capabilities. This list is not intended to provide an agency-specific inventory but is meant to provide basic information of the specialized equipment that may be utilized as part of the response to a hazardous materials release.

- Radio-equipped vehicles
- 4 x 4 vehicles
- Interoperable communications vehicles available to respond statewide
- Personal watercraft
- Mobile command and control unit
- All-Terrain Vehicles (ATVs)
- Marine patrol vessels
- Analytical laboratory system
- HF statewide network
- Aviation response-fixed and rotary wing
- Unmanned aerial vehicles (UAVs)
- Foam trailers

The DEC has emergency response trailers situated throughout the state with the capability of responding to petroleum releases. The trailers contain items such as absorbent material, harbor boom, hand tools, and other supplies that may be utilized during a petroleum response.

OFPC administers the New York State Foam Task Force, which includes Class B foam trailers pre-positioned along major transportation corridors, including those used to transport crude oil by rail and water across the state. Each foam trailer is stationed with a local or county agency which has

agreed to participate in the Task Force and deploy the trailer upon activation by New York State for any incident involving crude oil or other ignitable liquids.

Section III: Response

A. Overview

The State of New York endorses the use of one response organizational structure that will include all responding agencies: local, state, and federal. State agency protocols will be organized under the framework of NIMS/ICS, as required by Executive Order 26.1 of 2006, and the overall NIMS components, as required by HSPD-5.

The fourteen ESF annexes to the CEMP Volume 2 identify multi-agency activities in coordinating a collective State response in support of a specific function or activity. Each ESF is comprised of various agencies that are assembled to coordinate the activities of their own agency in support of the ESF's activities.

B. Alert, Notification, and Activation

Alert and Notification

As a part of day to day agency activities, the DEC maintains the Spill Response Hotline, a reporting portal for petroleum and other hazardous materials releases throughout the State. While federal laws require that the RP contain, clean up, and dispose of any spilled/contaminated materials, the DEC can provide resources to local agencies and will remain involved if continued cleanup is required. The DEC oversees the cleanup process to ensure that the actions taken are protective of public safety, health, and the environment.

The Spill Response Program of the DEC is responsible for protecting the public and the environment from emergencies resulting from a release or discharge. The program reviews oil spill contingency plans for emergency situations, maintains a 24-hour State-wide emergency response capability, and supervises cleanup mitigation activities and contracts.

Several other state agencies continuously operate their own warning points, operational centers, dispatch centers, or reporting systems. Included in these notification systems is the notification to the National Response Center (NRC) from the rail industry that an emergency exists on the rail system.

Pursuant to federal, state, executive, and agency protocols, these systems are routinely utilized for notifications of significant or reportable events and/or make emergency notifications to state personnel. Among these systems is the NYS State Watch Center (SWC), which serves as the focal point for receiving or providing notification of incidents in the State. In response to an incident that warrants an increase in state response posture, the SWC will be used to notify agencies that the State EOC is activating.

1. Hazardous materials spills are to be reported to the DEC Spill Hotline, which will initiate an appropriate DEC regional response.
2. Major hazardous materials incidents are also to be reported to the SWC.
3. State OEM will immediately notify the appropriate ESFs, designated Coordinating Agencies, the DPC Chairperson, and the Governor's Office.
4. State OEM Headquarters will notify its Regional Office(s) to contact and regularly communicate with the County Office(s) of Emergency Management.
5. State OEM will notify appropriate federal agencies.
6. State OEM will make other notifications based upon developing situations at the scene, consistent with its coordination role.

Activation

Upon receipt of notification of any emergency in the state, a determination will be made to activate the State EOC. If warranted, the appropriate ESFs will be identified and requested to send a representative to State EOC.

The State EOC will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating the State EOC and associated ESFs. Not all incidents are the same, and not all activations will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support the ESF construct may vary from incident to incident. The CEMP identifies four activation levels of the State EOC. These are:

- Level 4 Enhanced Monitoring: A small, isolated or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.
- Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.
- Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.
- Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and federal ESF integration and coordination.

C. Response Organization/Direction and Control

The over-arching structure of state command and control will be organized as stated in the Volume 2 of the State CEMP, *Response and Short-Term Recovery*. NYS will also be represented at the Joint Field Office (JFO), when established, to assist in the local/state/federal coordination of federal assets.

NIMS, as defined in this annex, will be utilized to identify and prioritize response objectives that are of concern to the State. As such, the State Coordinating Officer will utilize NIMS to identify and support state on-scene and/or DPC coordinators who will be responsible to interface with the local incident management system Unified Command (UC) and coordinate the accomplishment of state objectives with local, area, or regional Incident Management Systems, as appropriate.

State Coordinating Officer (SCO)

In accordance with 44 CFR § 206.41, the Governor of the State shall designate a State Coordinating Officer (SCO) to coordinate state and local disaster assistance efforts with those of the federal government. The SCO, who will have the overall responsibility for the coordination of state resources and federal assistance in support of the state and local response to the incident, will typically be the director of State OEM; however, the Governor may designate another individual with statutory responsibility based on the type of incident.

Pursuant to pre-existing plans or statutory missions, agency or Commission on-scene coordinators will also be integrating into local, area, and regional incident management systems. They are responsible for coordinating the accomplishments of state agency or DPC-specific objectives. Prioritization of multiple state agency objectives shall happen in close coordination with the local, area, or State On-Scene Coordinator(s) as identified by the SCO and the MAC. When necessary, prioritization and/or identification of state response objectives or resource allocations will be strategically coordinated by the SCO, MAC Group(s), and/or supporting structures utilizing the NIMS framework as indicated in this plan.

The SCO and identified local, area, or state on-scene response structure will utilize the NIMS response system as defined in this plan to provide identified state on-scene coordinators with the necessary strategic planning, incident specific organizational structure(s), logistical, technical, financial, and operational support to accomplish identified objectives.

Joint Information Center/Public Information

The state recognizes the need to consistently disseminate critical public information. To meet this challenge, the State will establish a Joint Information Center (JIC) at or near the disaster site. The JIC will serve as the sole source of official information regarding all incident activities and will provide a forum for the coordinated release of all information. The representation will include local government officials, state officials (as the lead), and will include representation from federal ESF #15 External Affairs. JIC operations will be coordinated as stated in the ESF #15 External Affairs Annex to the State CEMP. The release of information may include public service advisories regarding:

- Dissemination of event facts, data, and hazards.
- Locations of food, shelters, supplies, and commodities.
- Locations of disaster recovery centers.
- Public health concerns, epidemic information, and food storage.
- Safety messages for traveling, fire safety, and public inquiry numbers.

D. Roles and Responsibilities

This section reviews existing roles, responsibilities, and capabilities of state agencies and ESFs and provides an overview of the local, state, and federal response. It should be clearly stated and understood that federal regulations mandate that in the event of a hazardous material release, the party responsible for the release has the legal and financial obligation for containment, cleanup activities, and removal/disposal of contaminated materials.

Local Government

Local government will be actively involved in the response and should be utilized to the fullest extent possible. Each county, and many local governments, has a comprehensive emergency CEMP which provides the framework for the jurisdiction's response to emergencies and disasters.

Each locally developed plan will differ in its implementation, including in response capabilities, surge capacities, and in the ability to exercise authorities. Therefore, it is prudent for the State to conduct timely situational reporting to identify any gaps in the protective measures or response activities that are generated at the local, state, or federal levels of the response. Local government may provide the initial response to an incident as required to protect public health and welfare, the environment, and livestock, however, the RP may be held liable for the costs associated with the response and cleanup activities financed by publicly funded entities/agencies.

State Government

State level assistance may be requested during any phase of the operations associated with a hazardous materials spill. State response efforts are not dependent upon a local, state, or federal declaration of emergency, and should be requested through the county office of emergency management.

An element of this plan includes the designation of lead state agencies. This term is based on specific statutory authority, or general functional responsibility of the agency. The assignment of lead agency status does not preclude an interaction and cooperative effort between the lead agency and all other involved state agencies or the activation of the ESF construct at the state level. Within the ESF, the standard designations of Coordinating and Support Agency will still apply as outlined in the ESF #10 Annex. Examples include DOH's concern for public health impact subsequent to a spill or release of a hazardous material or OFPC's expertise with the fire hazard associated with gasoline spills.

Specific statutory authority dictates that lead agency designation be assigned to:

- DOH for:
 - Emergencies involving radioactive substances.
 - Emergencies involving infectious substances.
- DEC for:
 - Emergencies involving hazardous wastes.

- Clean up and disposal of spilled hazardous materials, including petroleum products and pesticides.
- Emergencies resulting in contamination of the atmosphere and the resultant impact to receptors due to the spills or releases of hazardous material.
- Emergencies resulting in contamination of surface or groundwater from spills or releases of hazardous materials.

General functional responsibilities dictate that lead agency designation be assigned to:

- OFPC when fire or the threat of fire is the primary concern.
- DSP when perimeter control or ordinance (explosive) disposal is the primary concern.

The State response includes many components and capabilities, both State EOC-based and field-level. Under the CEMP, the State possesses 14 ESFs that provide the utility for a host of capability, and full integration with each of the federal ESFs. The information below outlines the expectation of responsibilities under each state ESF.

ESF #1 Transportation

- Inspect railroad and trackage.
- Investigate railroad accidents as soon as safe access is available to determine cause evidence and indicators have been destroyed.
- Inspection of commercial and other motor vehicles involved in the transportation of hazardous materials to ensure compliance with hazardous materials (HAZMAT) transportation regulations.
- Development of routing recommendations for responders and access to affected areas.
- Restoration of affected transportation systems.
- Provide infrastructure status reports for all modes of transportation.
- Facilitate traffic movement during an evacuation or re-entry.
- Management of aviation and air space within the affected area(s), if required.

ESF #2 Communications

- Support interoperable and emergency communications.
- Maintain fixed land mobile radio sites.
- Provide coordination with private carriers for access of temporary cellular sites.

ESF #3 Public Works and Engineering

- Assist in removal of non-hazardous material.
- Assist in containment (defined as action taken to limit or prevent the spread of a hazardous material) only at the request and direction of the official in charge on scene.
- Provide support for water contamination issues.
- Issuance of temporary emergency waste transporter permits.

ESF #4 Firefighting

- Administer the FMMAP for incidents whose scope or duration exceeds capacity of local and contiguous county resources, or which require the response of specialized equipment not provided for under existing local and county mutual aid agreements.
- Provide support to local responders through resource tracking and technical assistance.
- Provide assistance with investigations.
- Provide aerial firefighting assets, as required.

ESF #5 Information and Planning

- Operate and maintain the State EOC Planning Section, integrating with state and federal stakeholders, preparing situational information, data collection, and event status.
- Develop and maintain an Incident Action Plan (IAP) for the State EOC for each operational period.
- Provide technical analysis and review of current and projected weather forecast models.
- Provide for radiological assessment and evaluation through the use of multi-agency technical specialists and subject matter experts.

ESF #6 Mass Care, Emergency Assistance, Housing and Human Services

- Provision of temporary emergency shelter for those affected and for emergency workers.
- Assist affected jurisdiction with domestic animal/pet sheltering needs.
- Provide mental health assistance for survivors and workers in disaster impacted areas.
- Provide feeding and hydration services.
- Provide family reunification services.
- Provide for language and translation services.
- Bulk distribution of necessary support items.

ESF #7 Logistics

- Coordinate State and federal resource support manage requests for assistance and provide logistical support to emergency operations from other state agencies, multiple warehouse locations, and/or contracted vendors.
- Request and coordinate federal assistance, and integration with a federal Incident Management Team, FCO, and federal ESFs, as applicable.
- Procurement and financial tracking of resources.
- Assist with transportation of available resources, as necessary.

ESF #8 Public Health and Medical Services

- Assist the local health units in assessing potential or actual public health hazards arising from the incident via toxicological, radiological, biological hazard assessments, and/or epidemiological studies as appropriate.

- In consultation with local health units, assess the potential or actual contamination of public and private water systems and provide guidance to the owners/operators of these water systems.
- In consultation with local health commissioner or director, advise the responsible public safety officials of health protective recommendation for the public based on available toxicological/radiological or biological hazards information sheets.
- Coordinate the management and distribution of medical countermeasures in conjunction with state response partners.
- Provide subject matter expertise, guidance, coordination, assessment, and support in food related safety concerns.
- Provide support for medical shelters and coordinates with local, regional, and state partners to provide support for access and functional needs in a shelter environment.
- Provide behavioral health support to families of victims during the victim identification and mortuary process.
- Coordinate statewide emergency medical services (EMS) assets during a declared disaster through the statewide EMS plan.

ESF #9 Search and Rescue

- Assist in rescue efforts.
- Coordinate technical support for specialized responder safety issues.
- Support local responders through resource tracking and technical assistance on scene, as requested.

ESF #10 Oil and Hazardous Materials Response

- Assist with assessment of actual or potential environmental damage.
- Provide advice on environmental protective measures and remedial actions.
- Monitor the containment, cleanup, and disposal of released chemicals and hazardous wastes.
- Ensure the proper disposal of hazardous waste materials.
- Ensure geo-technical support services for ground water investigations of oil and hazardous substances, track downs, and water resource protection.
- Provide technical expertise to assist with product identification, hazard evaluation, and development and implementation of incident site safety and operational plans.
- Provide standby contracting services for the investigation, containment, and cleanup of hazardous materials.
- Provide hazardous substance sampling and analysis capabilities.
- Perform exposure assessments, risk assessments, and provide recommendations for decreasing potential exposure to hazardous materials.

ESF #11 Agriculture and Natural Resources

- Determine extent of contamination of agricultural products and processing plants, and collection and lab testing of air, water, and agriculture samples.
- Assess damage to croplands and farm animals.
- Seize and destroy contamination agricultural products.
- Regulate farm-to-table pathways.
- Maintain geographic information systems to include data on facilities with animals and businesses that support animals.
- Coordinate with local and state entities as needed on carcass management issues.
- Identification of archeological and historical sites.
- Facilitate the capture of domestic animals at large and the return of owned animals.
- Coordinate emergency animal shelter staffing assistance.

ESF #12 Energy

- Provide status monitoring and estimated restoration time of utility services.
- Monitor and ensure compliance with requirements related to customers with life support equipment.

ESF #13 Public Safety and Security

- Investigate and gather evidence needed for possible legal proceedings, if necessary.
- Secure crime scenes, preserve evidence, and conduct investigations to determine responsible parties and if violations to the State Environmental Conservation Law have occurred.
- Investigate deaths and assist the local coroner/medical examiner in establishing a morgue, if necessary.
- Take enforcement action, if required, on violations of obstructing government administration.
- Conduct investigations regarding hazardous materials/ hazardous waste activities, which may involve criminal activity.
- Investigate railroad accidents as soon as safe access is available to determine cause before evidence and indicators have been destroyed.
- Provide evacuation assistance by supporting traffic and access control points.
- Provide fixed and rotary wing aircraft in support of law enforcement missions and for other missions as authorized in support of state objectives.
- Provide perimeter security and authorized entry control.

ESF #15 External Affairs

- Responsible for all public information related to an incident.
- Provide staff and manage any activated JIC.

Federal Government

When an incident is anticipated to exceed state resources or when the federal government has unique capabilities needed by states, the governor may request federal assistance. In such cases, the affected local jurisdiction and the state, tribal, territorial, insular area, and federal governments coordinate to provide the necessary assistance. The federal government may provide assistance in the form of funding, resources, and/or services. Federal departments and agencies respect the sovereignty and responsibilities of local, state, tribal, territorial, and insular area governments while rendering assistance that supports the affected local or state governments.

If the amount of a hazardous substance release or oil spill exceeds the established reporting trigger, the organization responsible for the release or spill is required by law to notify the NRC. Once a report is made, the NRC immediately notifies a pre-designated EPA or USCG On-Scene Coordinator (OSC), based on the location of the spill. The OSC determines the status of the local response and monitors the situation to determine whether, or how much, federal involvement is necessary. It is the OSC's job to ensure that the cleanup, whether accomplished by industry, local, state, or federal officials, is appropriate, timely, and minimizes human and environmental damage.

The Federal OSC will take command of the response in the following situations:

- If the party responsible for the chemical release or oil spill is unknown or not cooperative;
- If the OSC determines that the spill or release is beyond the capacity of the company, local, or state responders to manage; or
- For oil spills, if the incident is determined to present a substantial threat to public health or welfare due to the size or character of the spill.

The Federal OSC may request additional support to respond to a release or spill, such as additional contractors, technical support from EPA's Special Teams, or Scientific Support Coordinators from EPA or the National Oceanic and Atmospheric Administration (NOAA). The OSC also may seek support from the RRT to access special expertise or to provide additional logistical support. In addition, the National Response Team stands ready to provide backup policy and logistical support to the OSC and the RRT during an incident.

The State response organization, to include the SCO, State EOC, and identified local, area, or SOC(s), will need to work in unison in coordinating with the federal response. Generally, federal resource support and assistance is not instantaneous. As such, multiple evolving lines of coordination may become active as the federal response begins to organize and deploy. Initially, the primary state/federal interface and response coordination will include collaborating with the DHS/FEMA representative in the State EOC (if present) or the DHS/FEMA Regional Office. As the response organization evolves and other federal mechanisms become active, the state incident management structure, at the field-level and State EOC-level, will need to increase its level of coordination and communication to ensure that the state can maintain a centralized coordination of resources and ensure that the request, acquisition and deployment of state and federal resources are used in an effective and efficient manner.

The federal response system that will be used to support the state will take place at a federal Regional Response Coordination Center (RRCC). The RRCC is a standing facility operated by DHS/FEMA that coordinates federal regional response efforts and implements local federal program support until a Joint Field Office (JFO) is established in the field and/or other key DHS incident management officials can assume their NRF coordination responsibilities. The RRCC will establish communications with the State EOC and the National Operations Center (NOC) and will coordinate the deployment of the Emergency Response Team–Advance Element (ERT-A) to field locations. Upon deployment, the ERT-A will assess damage information and issue initial federal mission assignments, including the operation orders to activate federal ESFs. Based upon the nature of the incident, the Federal Incident Response Support Team (FIRST) may deploy to the scene to support state operations. The FIRST provides technical assistance to assess the situation, identify critical and unmet needs, provide protective action recommendations, and establish incident support facilities. The FIRST coordinates with the ERT-A and integrates into the Operations Section of the JFO when established.

State/federal coordination will be facilitated by the activation of a JFO, once established. The State Coordinating Officer (or designee) and the Governor’s Authorized Representative (GAR) will be represented at the JFO to facilitate the coordination of federal resource support to the State. The JFO is a temporary federal facility established locally to provide a central point for federal, state, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. The JFO utilizes a scalable, ICS-based organizational structure, but does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site.

The Principal Federal Official (PFO) facilitates federal support to coordinate overall federal incident management and assistance activities from preparedness to recovery. An initial PFO may be identified until the primary PFO is in place. In certain scenarios, a PFO may be pre-designated by the Secretary of Homeland Security to facilitate federal domestic incident planning and coordination at the local level outside the context of a specific threat or incident. A PFO also may be designated in a pre-incident mode for a specific geographic area based on threat and other considerations. In the event of a single incident with national implications or in the case of multiple incidents, a national-level PFO may be designated to coordinate federal response activities. The PFO may delegate duties to a Deputy PFO, the FCO, or other designated federal official, as appropriate, after an event transitions to long-term recovery and/or cleanup operations.

The FCO manages and coordinates federal resource support activities related to Stafford Act disasters and emergencies. The FCO assists the Unified Command and/or the Area Command and works in coordination with the PFO. In Stafford Act situations where a PFO has not been assigned, the FCO provides overall coordination for the federal components of the JFO and

works in partnership with the SCO to determine and satisfy state and local assistance requirements. During national or geographically widespread incidents, the roles of the PFO and FCO may be combined to help ensure synchronized federal coordination. In instances where the PFO has also been assigned the role of the FCO, deputy FCOs for the affected states will support the PFO/FCO.

ESFs are the primary means through which the federal government provides assistance to the State and serve as the coordination mechanism to provide assistance to state, local, and tribal governments or to federal departments and agencies conducting missions of primary federal responsibility. ESFs were first established in the Federal Response Plan and carried forward to the NRF as the mechanism to group federal capabilities and resources into the functions that are most likely needed during actual or potential incidents where a federal response is required (i.e., Transportation, Firefighting, Public Health, etc.). Each ESF is composed of primary and support agencies. The NRF identifies primary agencies on the basis of authorities, resources, and capabilities. Support agencies are assigned based on resources and capabilities in each functional area. Additional discussion on roles and responsibilities of ESF coordinators, primary agencies, and support agencies can be found in the introduction to each of the ESF annexes to the NRF.

ESFs may be selectively activated for both Stafford Act and non-Stafford Act incidents where federal departments or agencies request DHS assistance or under other circumstances as defined in HSPD-5. The ESF structure provides a modular structure to identify the precise components that can best address the requirements of the incident.

Not all Incidents of National Significance result in the activation of ESFs. It is possible that an Incident of National Significance can be adequately addressed by DHS and other federal agencies through activation of certain NRF elements (i.e., Principal Federal Official) without the activation of ESFs. Similarly, operational security considerations may dictate that activation of NRF elements be kept to a minimum, particularly in the context of certain terrorism prevention activities. The federal response to actual or potential Incidents of National Significance will likely be provided through the partial or full activation of the ESF structure as necessary. The ESFs provide staffing for the National Response Coordination Center (NRCC), Regional Response Coordination Center (RRCC), JFO, and ICP as required by the situation at hand.

Section IV: Recovery

A. Overview

Dependent on the type of destruction and damage caused to the communities and individuals, the response may be short-lived or could extend for a prolonged period, perhaps even years. Emergency response activities may include control measures that have been rapidly employed and may result in a slow demobilization of response agencies and activities.

A variety of forces may influence the direction of the recovery process. Considerations that must be analyzed for an effective response and prompt recovery include the safety of responders, repair and re-opening of critical transportation routes, remoteness of areas, and the needs and requirements for the restoration of utility systems.

Regardless of the extent of damage, the State of New York will strive to assist local governments, businesses, and citizens in recovering from the impacts of any emergency. Where possible, hazard mitigation measures will be incorporated into recovery activities to lessen the impact of or eliminate future reoccurrence.

Following the initial response, cleanup and restoration work must be undertaken. During this phase of the event, the following activities may occur:

- Monitoring of hazard levels.
- Dissemination of public information.
- Investigation required for potential legal proceedings.
- Monitoring traffic flow on detour routes, as applicable.
- Engagement of qualified cleanup contractor, as required.
- Oversight of contractor work and maintenance of related financial records.
- Approval of disposal site(s).
- Restoration of damaged transportation facilities.
- Removal of detours and restoration of affected travel routes.
- Return of evacuees, as applicable.

After the cleanup and disposal phase of the operations, permanent restoration efforts begin. Such permanent efforts may include:

- Development of supervision of contracts to permanently restore environmental and infrastructure damage.
- Compilation and documentation of loss and damage estimates.
- Administration of funding assistance for the restoration of private and commercial losses, as applicable.
- Administration of finding assistance for the restoration of environmental damage and damage to public facilities, as applicable.

- Initiation of legal proceedings to recover financial losses, if applicable.

The scope of the State's involvement with disaster recovery activities will expand with the level of severity of the disaster. It is understood that a disaster that did not warrant a state or federal disaster declaration could most likely be handled at the local level, using existing local and state programs and resources. As the scope of the disaster increases, and as the financial impact grows beyond the ability of local government to absorb within existing resources, the level of active participation by state and federal programs and personnel will increase.

A variety of forces may influence the direction of the recovery process. The State of New York will endeavor to assist local governments, businesses, and citizens in recovering from the impacts of any emergency. Where possible, hazard mitigation measures will be incorporated into recovery activities to lessen the impact of reoccurrence or eliminate it entirely.

Emergency response operations include a variety of measures that are taken to protect public health and safety. As the response begins to transition from the response phase to the recovery phase, the focus begins to shift to rebuilding a community and demobilizing state response activities and resources. The recovery process typically includes both short-term and long-term actions that can be taken restore a community to a state of self-sustainment. Short-term recovery activities include those actions that can be taken to restore essential services and sectors that are vital to a community. Long-term recovery actions include rebuilding and capital programming efforts while incorporating mitigation measures into the recovery process. The following identifies the actions the State will take in managing short-term recovery efforts. Long-term recovery efforts can be found in Volume 3 of the State CEMP, Long-Term Recovery Planning.

B. Demobilization of the State Response

When a multi-agency, centralized state coordination focus is no longer required, the State EOC will develop and implement a demobilization plan to transfer responsibilities and suspend unnecessary field and agency operations. State EOC and field-level planning sections will respectively develop a scalable demobilization plan for the release of appropriate components. As the need for full-time interagency coordination at the State EOC ceases, plans for selective release of state resources, demobilization, deactivation, and closeout are developed. The State EOC may remain operational at reduced staffing levels to ensure longer term missions are completed and to maintain situational awareness to support additional response operations.

When the State response effort is deactivated, specific procedures for deactivation will be followed to ensure proper record keeping and handling of contracts as well as recovery of deployed equipment and materials. Demobilization and deactivation activities are planned, coordinated, and executed to ensure that all levels of government, tribal, and private sector response and recovery personnel are maintained at a state of readiness commensurate to operational field response and recovery operations.

When the State response effort is deactivated, specific procedures for demobilization will be followed to ensure proper record keeping and handling of contracts as well as recovery of deployed equipment and materials. Demobilization is planned, coordinated, and executed to ensure that all level of government, tribal, and private sector response and recovery personnel are maintained at a state of readiness commensurate to operational field response and recovery operations. Actions may include:

- Relaxing traffic and access control points.
- Follow-up water supply analyses, remediation of hazardous materials, and monitoring of hazardous waste sites.
- Conducting ongoing debris removal and environmental remediation activities.
- Additional food safety messages, handling practices, inspections, and monitoring.
- Estimating the overall impact on the State, including mortality, financial impacts, and the disaster recovery mechanisms that can support the general public.
- Continued risk communications for mental health support, recovery programs, individual and family preparedness, and safety messages regarding exposure levels.

C. The Recovery Process

State Government

The State has recently updated Volume 3 of the State CEMP, Long-Term Recovery. Volume 3 outlines the State Recovery Support Function (RSF) construct and lays the foundation for the implementation of the State RSF annexes. bring together the core recovery capabilities of federal, state, and local governments to focus on community recovery needs. The objective of an RSF is to facilitate coordination and delivery of federal assistance needed to supplement recovery efforts. Not all RSFs are activated for every incident; activation is based on disaster assessment and needs. The State RSFs match the federal RSFs as identified in the National Disaster Recovery Framework (NDRF) and are organized in six manageable, multi-agency components:

- **Community Planning and Capacity Building:** The core recovery capability for community planning is the ability to effectively plan and implement disaster recovery activities, engaging the whole community to achieve their objectives and increase resilience.
- **Economic:** The core recovery capability for economic recovery is the ability to return economic and business activities (including agricultural) to a state of health and develop new economic opportunities that result in a sustainable and economically viable community.
- **Health and Social Services:** The core recovery capability for health and social services is the ability to restore and improve health and social service networks to promote the resilience, health, independence, and well-being of the whole community.
- **Housing:** The core recovery capability for housing is the ability to implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience. Like infrastructure and safety services, housing is a critical and often challenging component of disaster recovery.

- **Infrastructure Systems:** The core recovery capability for infrastructure systems is the ability to efficiently restore the infrastructure systems and services to support a viable, sustainable community and improve resilience to and protection from future hazards. The Infrastructure Systems RSF promotes a holistic approach to disaster recovery coordination, support, planning and implementation for infrastructure systems that serve the community.
- **Natural and Cultural Resources:** The core recovery capability for natural and cultural resources is the ability to protect natural and cultural resources and historic properties through appropriate response and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and in compliance with appropriate environmental and cultural resources laws.

Each ESF annex includes the RSF assignments and mission areas for each of the agencies listed in the ESFs.

Federal Government

The federal government will remain involved at the site following response actions to undertake a number of activities, including damage assessment, support of restoration efforts, recovering response costs from the parties responsible for the spill, and, if necessary, enforcing the liability and penalty provisions of the Clean Water Act (CWA), as amended by the Oil Pollution Act of 1990.

As the federal ESFs transition to RSFs, the State's ESF posture will be required to transition into the RSF construct. As such, state agencies will transition from their assigned ESF role to the appropriate RSF, if warranted. It is important to note that not all federally declared disasters will require full RSF activation; and not all RSF activations will require full participation from each agency.

As the State EOC activation ceases, and the JFO activates, the federal government will transition out the ESFs and implement the RSFs. Although the RSF structure builds upon the ESF structure, RSFs are different from ESFs in that they have a different set of mission objectives, time spans and skill sets. RSFs bring together the core recovery capabilities of state and federal departments and agencies to focus on community recovery needs. The objective of the RSF is to facilitate coordination and delivery of federal assistance needed to supplement recovery efforts. RSFs are designed to operate within a timeframe of months to years. The RSFs are Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, and Natural and Cultural Resources. The RSFs facilitate coordination and delivery of federal assistance in these areas to supplement recovery efforts.

If a disaster escalates to the point of a federal declaration, there are a wide range of federal assistance programs which are made available to help affected municipalities; public and private organizations and individuals recover from a disaster. The three main assistance programs, Individual Assistance (IA), Public Assistance (PA) and the Hazard Mitigation Grant Program (HMGP), are administered by the State and coordinated with FEMA. The IA program is administered by the FEMA, IA Disaster Unemployment Assistance is administered by the Department of Labor (DOL), and

IA Disaster Case Management is administered by State OEM. Other key federal programs, which originate from various other federal agencies, are administered directly by the federal agencies or by their counterparts at the state level. There are also numerous federal regulations that support short-term recovery efforts in regard to IA and PA. It is beyond the scope of this document to reference each program and each implementing regulation.

The primary federal mechanisms for IA and PA are identified in ESF #3 Public Works and Engineering. ESF #3 is structured to provide public works and engineering-related support for domestic incident management to include 36 preparedness, prevention, response, recovery, and mitigation actions. Activities within the scope of this function include pre- and post-incident assessments of public works and infrastructure, executing emergency contract support for life saving and life-sustaining services, providing technical assistance to include engineering expertise, construction management, contracting, and real estate services, providing emergency repair of damaged infrastructure and critical facilities and the implementation and management of the DHS/FEMA Public Assistance program and other recovery programs. Implementation and management of DHS/FEMA Public Assistance program and other recovery programs between and among federal, state, and tribal officials, to include efforts to permanently repair, replace, or relocate damaged or destroyed public facilities and infrastructure, are coordinated as part of the long-term recovery planning effort of ESF #14 Long-term Community Recovery.

Following a Presidential Disaster Declaration, federal assistance will be provided in accordance with applicable laws, regulations, and the FEMA-State agreement. In this agreement, the Governor will designate a GAR, who shall administer federal disaster assistance programs on behalf of the State and local disaster assistance efforts with those of the federal government. The GAR will be an executive staff member of State OEM.

Section V

Attachments

Attachment 1

Acronyms

ACP	Area Contingency Plan
CEMP	Comprehensive Emergency Management Plan
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CFR	Code of Federal Regulations
CWA	Clean Water Act
DEC	Department of Environmental Conservation
DHSES	Department of Homeland Security and Emergency Services
DHS	Department of Homeland Security
DOD	Department of Defense
DOE	Department of Energy
DOH	Department of Health
DOL	Department of Labor
DPC	(New York State) Disaster Preparedness Commission
DSP	Division of State Police
ECL	Environmental Conservation Law
EOC	Emergency Operations Center
EMPG	Emergency Management Performance Grant
EPA	Environmental Protection Agency
EPCRA	Environmental Planning and Community Right-to-Know Act
ERT-A	Emergency Response Team–Advance Element
ESF	Emergency Support Function
EO	Executive Order
FCO	Federal Coordinating Officer
FEMA	Federal Emergency Management Agency
FIRST	Federal Incident Response Support Team
FMMAP	State Fire Mobilization and Mutual Aid Plan
FOSC	Federal On-site Coordinating Officer
GAR	Governor’s Authorized Representative
HMGP	Hazard Mitigation Grant Program
HSPD	Homeland Security Presidential Directive
IA	Individual Assistance
IACP	Inland Area Contingency Plan
IC	Incident Commander
ICP	Incident Command Post
IMT	Incident Management Team
JFO	Joint Field Office
JIC	Joint Information Center
LNG	Liquefied Natural Gas
LEPC	Local Emergency Planning Committee
MAC	Multi-agency Coordination

NCP	National Oil and Hazardous Substances Pollution Contingency Plan (National Contingency Plan)
NDRF	National Disaster Recovery Framework
NIMS	National Incident Management System
NRC	National Response Center
NRF	National Response Framework
NYCRR	New York Codes, Rules, and Regulations
State EOC	State Emergency Operations Center
State OEM	New York State Office of Emergency Management
DSP	New York State Police
OFPC	Office of Fire Prevention and Control
OPA	Oil Protection Act
OSC	On-Scene Coordinator
PA	Public Assistance
PDS	Professional Development Series
PFO	Principal Federal Official
PVC	Polyvinyl Chloride
RRT	Regional Response Team
RP	Responsible Party
RRCC	Regional Response Coordination Center
RSF	Recovery Support Function
SARA	Superfund Amendments and Reauthorization Act of 1986
SCO	State Coordinating Officer
State EOC	NYS Emergency Operations Center
SERC	State Emergency Response Commission
SONS	Spill of National Significance
TVA	Tennessee Valley Authority
UC	Unified Command
USCG	United States Coast Guard
USDOT HMEP	United States Department of Transportation Hazardous Materials Emergency Preparedness

New York State Comprehensive Emergency Management Plan

Emergency Public Information Annex



**Prepared by the New York State
Disaster Preparedness Commission**

March 2021

List of Plan Revisions

Date of Revision	Subject Matter	Page(s)	Completed by:
Created May 2013			OEM Planning
June 2013	Internal Review	Entire Document	Planning Division
March 2015	Internal Review	Entire Document	PIO/Planning Section
March 2016	Internal Review	Entire Document	PIO/Planning Section
April 2017	Internal Review	Entire Document	PIO/Planning Section
March 2018	Internal Review	Entire Document	PIO/Planning Section
March 2019	Internal Review	Entire Document	PIO/Planning Section
February 2020	Internal Review, Annual Maintenance	All, as appropriate	OEM Planning, PIO
March 2021	Stakeholder review	All, as appropriate	OEM Planning, DHSES Public Affairs

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Section I – General Considerations & Planning Guidelines

1. Introduction

New York State experiences a variety of disasters from human, nature, and technological causes. This annex outlines the Emergency Public Information approach to providing communications to protect and warn people throughout New York State during the response and short-term recovery phases of a disaster as outlined in the State Comprehensive Emergency Management Plan (CEMP).

During an incident or planned event, coordinated and timely communication is critical to effectively help the community. Effective and accurate communication can save lives, save property, and helps ensure credibility and public trust.

The annex also addresses actions for preparedness, incident response, Joint Information Centers (JICs), incident recovery, and Federal public information support.

2. Purpose

The State CEMP is 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 State CEMP is to identify the State's overarching policies, authorities, and response organizational structure that is implemented in an emergency or disaster situation that warrants a State response. The State CEMP serves as the foundational framework for the State's response levels and serves as the operational basis of which other functional and hazard-specific annexes are built upon. These annexes address a broad range of consequences to respond to the State's highest rated hazards.

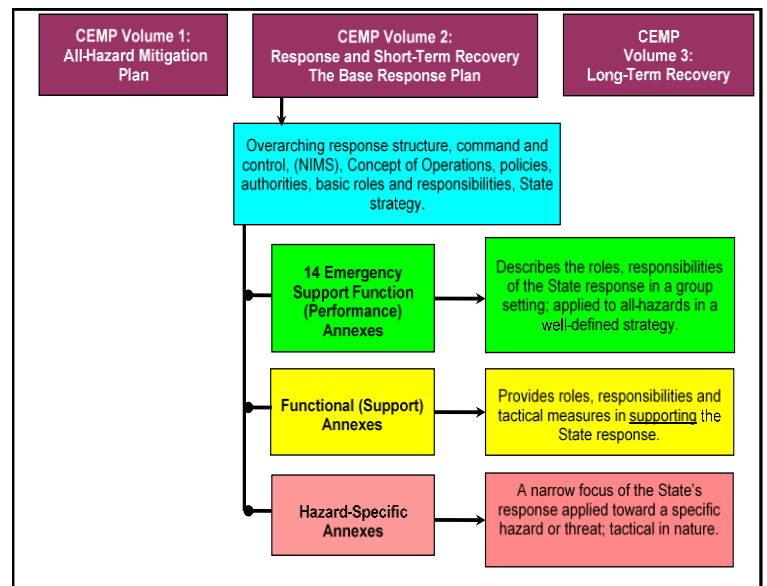


Figure 1: Structure of the State Comprehensive Emergency Management Plan

The purpose of this annex is to establish policies and operational procedures for disseminating official information and instructions to the people of New York State through all available communications media before, during, and after an emergency or disaster in any location of the state in support of State response/recovery operations. This annex will provide a framework for the most efficient, accurate, and complete dissemination of information by the Public Information Office (PIO). This annex provides for the conduct and coordination of public information activities through the establishment of a mutual understanding of responsibilities, functions, and operations capable of the following:

- Issuing emergency instructions;
- Responding to the needs of the public, the media, and elected officials; and
- Conducting media monitoring and public inquiry (rumor control) activities.

3. Scope

The Emergency Public Information Annex is a strategic-level management plan that outlines the basic concepts required to manage and coordinate State agencies providing response and short-term recovery assistance to localities.

Disaster response begins and ends at the local level. State agency-level support begins and ends based on statutory requirements and/or the needs of the requesting community.

This annex will provide operational practices for performing PIO duties within the Incident Command System (ICS). It offers basic procedures to operate an effective Joint Information System (JIS).

4. Situation

The public has the right and need to know lifesaving and other important information related to emergencies or disasters that affect New York State. Additionally, the accurate, vetted, and helpful information needs to be delivered in accessible communication formats in a timely manner. Disaster response and short-term recovery activities generally begin and end at the local government level, including the dissemination of information. However, local emergency response agencies may be fully involved with operational issues that are critical for responding to incidents or the parameters and complexity of the incident may, in many cases, exceed the response capabilities of local government. The scope of the emergency will determine how many levels of system become actively involved in Emergency Public Information releases.

The news media, social media, and public information partners play a key role in assisting New York State to disseminate emergency or disaster-related information to the public. In order to provide verified official information to the public, interagency coordination, information sharing, and cooperation at all levels of government will be the key to an effective and efficient response to bring the event to a conclusion.

New York State needs to maintain a public inquiry and/or disaster information hotline or call center, especially during catastrophic events. Historically, the Department of Taxation and Finance provided the Tax Call Center during the 2001 World Trade Center disaster to assist with donations management and the Governor's Fund.

5. Planning Assumptions

- Timely, accurate, and helpful information reduces public uncertainty, calms fears, and enhances emergency response and recovery measures.
- Speed of communication is critical. The first message disseminated sets the stage for all future comparisons. Speed of response is perceived as a reflection of the State's level of preparedness.
- Factual content of the message is crucial. The public will want current information and recommendations for actions that will reduce their risk.
- A sole source for official information must be established to assure the coordination and consistency of essential emergency information to meet the needs of the public and the media.
- During and following disasters or emergencies, people both inside and outside the affected area will seek information concerning the situation.
- Upon the onset of a disaster, local public information officers will begin disseminating emergency information from local Emergency Operations Centers (EOCs).
- The news media will fill an active role in disseminating disaster information.

- An efficient and effective means of disseminating emergency information and instructions can be achieved by a cooperative program between the government and the news media.
- The Department of Taxation and Finance Call Center will provide the public inquiry function for the JIC for the Radiological Emergency Preparedness (REP) Program and any catastrophic event affecting New York State.

6. Concept of Operations

1. An emergency or disaster threatens public safety that may require an immediate dissemination of emergency public information.
2. Local, State, or Federal public information officers decide to issue emergency public information separately or in a coordinated manner, as appropriate.
3. Based on the event, emergency public information is issued in the following manner.
 - a. Local: If conditions warrant, local government public information officers may issue emergency public information within its own jurisdiction. Emergency public information affecting citizens outside the local jurisdiction should be coordinated with the proper contiguous county, State, and Federal authorities.
 - b. State: The State may issue emergency public information releases on its own initiative, if local government is unable to do so on its or, or for redundancy purposes. Contact centers may be activated to assist with the collect and dissemination of information.
 - c. Federal: If the event involves potentially life-threatening weather or a Presidential Alert following a national emergency, the Federal Emergency Management Agency (FEMA) or the Federal government may issue public warnings or emergency public information releases. Weather-related public warnings are issued by the National Weather Service (NWS).
4. Emergency Support Function (ESF) #15 may be activated to assume responsibility for emergency public information releases and ESF #15 will become the central source for providing information to the public and the media. Releases of information are coordinated with and may occur through the Executive Chamber's Office of Communications.
5. If warranted, ESF #15 may deploy a public information officer to support field operations such as a Regional Operations Center (ROC), an established area command, or to support a State Incident Management Team (IMT).
6. In the event of a large-scale multi-agency, multi-jurisdiction event, and with the approval of the Chair of the Disaster Preparedness Commission (DPC), Commissioner of the Division of Homeland Security and Emergency Services (DHSES), Director of New York State Office of Emergency Management (OEM), or the EOC Manager, the State PIO may stand up a JIC to support dissemination of information through the JIS. The State PIO or designee shall review and coordinate all relative information releases and the JIC shall serve as the single dissemination point for all media releases in the incident. Other agencies wishing to release information to the public should coordinate through the JIC.
7. The Department of Taxation and Finance Call Center can be activated to handle phone calls during a catastrophic event and for purposed of public inquiry for the REP Program.
8. Should the event require the integration of federal resources, the ESF #15 coordinating agency, State OEM, will serve as the primary integration point for Federal ESF #15.
9. When an incident begins to subside, ESF #15 may continue to coordinate emergency public information efforts with the Executive Chamber's Office of Communication and/or ESF #15 agencies may transition to normal day-to-day operations.

7. Authority

This authority to develop this Annex and implement specific response actions is found in a variety of laws, regulations, resolutions, or orders.

New York State Authorities/Policies

- Executive Law, Article 2-B (4/1/78), as amended
- Executive Law Order #26 of 1996 and #26.1 of 2006 NYS Adoption of the Incident Management System

8. Plan Maintenance, Distribution, and Review Process

The State OEM Planning Section has the responsibility for the development, review, and maintenance of all multi-agency response plans under the State CEMP. DHSES PIO, with the assistance of the State OEM Planning Section, has the responsibility for the development, review, and maintenance of all emergency public information and media monitoring and public inquiry-related plans.

As required under New York State Executive Law Article 2-B, each plan shall undergo an annual review, update, and be posted online (if applicable) no later than March 31 of each year. During the annual review by the Planning Section for its material, this plan is examined for both content and format. For updates that do not impact operational mechanisms or processes, the appropriate edits are initiated within the Planning Section and do not warrant external involvement. Plan updates will also be conducted based upon experiences and lessons learned from exercises or real-world events, or through administrative changes in government. Planning Section updates and/or edits affecting operational capabilities, responsibilities, or otherwise impacting operations will engage stakeholders in a variety of ways, such as verbally, by document review, meetings, webinars, or any combination thereof. Final drafts will be socialized to all appropriate agencies/personnel upon completion.

Section II – Preparedness

1. Overview

To prepare for emergency situations that may arise, the State PIO and alternates developed mitigation, risk assessments, and tests, training, and exercise components to ensure there is a clear line of authority, coordination, and uniform procedures for public emergency information.

2. Mitigation

Volume 1 of the State CEMP is the State Multi-Hazard Mitigation Plan. Pursuant to the requirements of 44 CFR 201.4, the State Multi-Hazard Mitigation Plan is required to focus on natural hazards that are likely to cause a substantial impact on the state. Mitigation planning efforts for technological and human-caused hazards are also recognized and are being implemented throughout the state as well. New York State participates in federal, state, and local mitigation programs and identifies ongoing mitigation opportunities. The State takes maximum advantage of available federal funding to implement mitigation measures at the state and local levels. Throughout the past several years, a substantial amount of funding has been invested in mitigating the impacts of various disasters in all parts of the state. Volume 1 addresses the overall State hazard mitigation planning process, risk assessment, strategy development, and plan maintenance. The State Multi-Hazard Mitigation Plan was federally approved by Department of Homeland Security (DHS)/FEMA in 2018.

The State PIO and alternates develop public education programs that increase public awareness of potential hazards and how to deal with them and illustrate local emergency response capabilities. The focal State agency, as outlined in Volume 2 of the State CEMP, will be the source and generator of this information.

The State PIO and alternates develop working relationships with media outlets that will disseminate emergency information to the public. This assists the State PIO and alternates with maintaining an updated media list with call letters, contact names, addresses, fax and telephone numbers, email addresses, etc.

The State PIO and alternates maintain a list of State agency PIOs. The State PIO works with the Press Office to secure PIOs from other State agencies to support JIC activities as the incident warrants.

3. Risk Assessment

A variety of mechanisms are used to understand the various risks and associated threats and hazards facing the State. As required by the Homeland Security Grant Program (HSGP) and the National Preparedness Goal (NPG), the State must complete an annual Threat Hazard Identification Risk Assessment (THIRA). The process involves the identification of scenarios that will most stress the State's capabilities and an assessment of those capabilities. Those capabilities are mapped to the core capabilities in each of the ESF Annexes created under the State CEMP. Further, New York State has developed additional programs and methodologies to better understand risk at the local level. This includes a County Emergency Preparedness Assessment (CEPA), which the State has conducted in each of the 57 counties of New York and New York City. Counties also participate in their own CEPA to help understand their risks. CEPA provides great insight as to the State's risk profile from a local level perspective. The CEPA does address each county's response capabilities for mass care and sheltering.

The State PIO and alternates have determined that alternate dissemination resources may be necessary, if conditions warrant. The State PIO and alternatives have identified back-up

communication resources in the event conventional methods fail. Additionally, alternate facilities have been identified for an information center and a media facility.

4. Testing, Training, and Exercises

The State PIO and alternates attend PIO or emergency preparedness meetings and trainings. This includes ESF #15 training and exercise opportunities. Trainings and exercises include:

- Emergency management public information courses offered by FEMA's Emergency Management Institute;
- Joint Information System (JIS) / Joint Information Center (JIC) Planning for Tribal, State and Local PIOs training course (G0291); and,
- Various federal and state exercises that require testing public information capabilities, such as annual radiological exercises.

The State of New York sponsors and conducts a variety of training to improve knowledge and response capability. This includes varying levels of training in the ICS and the Professional Development Series (PDS) curriculum. The State also participates in a wide variety of specialized training, including training to meet Federal program and grant requirements, such as the Emergency Management Performance Grant (EMPG). Further, many State agencies identify training requirements within their own organization to meet the needs of the agency for that specific discipline.

The State of New York has incorporated the Homeland Security Exercise and Evaluation Program (HSEEP) into its emergency management program. HSEEP consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. The State has instituted HSEEP into a host of exercise activities, including those that involve tests and activations of the State EOC. Further, some exercises are often linked to a specific grant requirement, while others are conducted as part of ongoing or existing programs, such as those for the REP Program.

The State also utilizes an exercise component as part of the planning process to test the effectiveness of an emergency management plan. These exercises vary in scope and cross several state-level plans or annexes.

5. After Action Reports and Corrective Actions Programs

Following an exercise or an actual event, an After-Action Report (AAR) should be completed by all staff involved in the event. The information gathered in the AAR will provide insight into future refinement of the Emergency Public Information Annex. AARs will be completed immediately following any relevant exercise and will be facilitated by the State OEM and PIO for plan updates. The AAR should be completed within 1 week of deactivation of the State EOC and provided to the State OEM. DPC agencies will support all exercises and AARs.

Section III – Response

1. Overview

Emergency public information support response activities by providing well-timed and effective messages to the public that can save lives and reduce property damage. This information may be escalated depending on the severity, timing, nature, or area affected by the emergency.

2. Alert, Notification, and Plan Activation

State OEM will assess the potential needs and demands of the incident, and then determine the level of activation necessary to effectively manage the response to the incident. The capabilities that are needed to support that activation are also identified, and agencies are notified to staff the State EOC using the ESF construct.

Flexibility will be key in activating this ESF #15. Not all incidents are the same, and not all activations of ESF #15 will require the full list of agencies to support the demands of the incident. Therefore, the representation of agencies that will be necessary to support ESF #15 may vary from incident to incident. The State CEMP identifies four activation levels of the State EOC. ESF #15 will activate to one of those levels as conditions warrant, with the coordinating agency serving as the ESF #15 lead/coordinator. These are:

Level 4 Enhanced Monitoring: A small, isolated, or a potential event that has some indicators that warrant extra attention, enhanced monitoring, or external communication.

- State OEM staff only.
- Agencies may be asked individually to support any remote operations or reporting from their home agency.

Level 3 Partial Activation: An incident or event requiring a partial activation of the State EOC with agency/ESF lead activation.

- The ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.

Level 2 Full Activation: An incident requiring full activation of the State EOC with ESF activation.

- The ESF leadership is activated on as needed basis.
- Additional agencies will be determined at the time of the event.
- ESF agencies will work in coordination with the coordinating agency to operate and report under the ESF.

Level 1 Full State/Federal Response: An incident requiring full activation of the State EOC with ESF activation, and Federal ESF integration and coordination.

- ESF leadership is activated.
- Most, if not all, support agencies will be activated.
- ESF agencies will work in coordination with the coordinating agency to operate and report under the ESF.
- The activities of the ESF will be integrated with those of their Federal ESF counterparts.

3. Direction and Control

The State endorses the development of one response organizational structure that will include all responding agencies. State agencies and ESFs will be organized under the framework of the

National Incident Management System (NIMS) ICS as required by Executive Order 26.1 of 2006 and Homeland Security Presidential Directive (HSPD)-5. As such, a variety of direction and control components may be utilized to manage and coordinate the State's resources in an efficient and effective manner and to provide interoperability between the local, and Federal response organizations.

The organizational structure of the State's ESFs is inherently different than the Federal construct under the NRF. With the exception of ESF #5 (Planning), ESF #7 (Logistics), and ESF #15 (External Affairs) the State ESFs will be situated organizationally in the Operations Section, and report directly to the Operation Section Chief (OSC), or Branch Chiefs if established. ESF #5 is assumed by the Planning Section in the State EOC; ESF #7 is assumed by the Logistics Section in the State EOC; ESF #15 (External Affairs) is situated in the Command Element.

ESF #15 is directed and controlled by the Executive Chamber or Command Staff during an activation. ESF #15:

- Shall be responsible for all public information related to an incident;
- Shall staff and manage any activated JIC;
- May request communication staff from activated partners staff any activated JIC; and,
- May request intergovernmental staff to coordinate the exchange of information and serve as a liaison with federal/state/local government or officials.

4. Roles and Responsibilities

Emergency Public Information efforts of the State EOC will focus on public health and safety issues. The goal is to keep the public informed of the general progress of events with accurate and timely information. This is to reassure the affected community(ies) that the State is responding to the situation and that the public is being supplied with event-specific information, such as preparation, warning, emergency response, status of event, and human needs issues. Media monitoring and public inquiry (rumor control) will be a major aspect of the information program. All information and education efforts will rely heavily on qualified authorities and the cooperation of the media.

ESF #15

ESF #15 External Affairs, through the Coordinating and support agencies, shall manage the activities of the State EOC JIC, located in the State EOC.

The State Public Information Office

The State PIO may recommend deployment of additional PIOs to a forward location to support the State (such as IMTs) and/or local response activities. Ideally, a JIC would be established by Incident/Unified Command near the scene of the incident/emergency. The Chair of the DPC, the Commissioner of DHSES, and/or the Director of State OEM or authorized designee will have final authority over such deployments. If no JIC is established near the incident scene, a State agency PIO(s) should be assigned to the Incident/Unified Command located there.

To facilitate coordination among the response partners, the State PIO shall activate the PIO Coordination Line connecting all participating response organizations (government, voluntary, private sector, and tribal governments). The purpose of the telephone line is to share information and support the "single source" concept and coordinate the dissemination of vital information to the affected area(s). This telephone line will be functional during the operational hours of the JIC.

When a high-volume telephone call center is warranted to collect or disseminate public information, the State PIO shall coordinate the establishment of a New York State telephone hotline utilizing the New York State Department of Taxation and Finance Contact Center (See Appendix 6: Activation Procedures for NYS Department of Taxation and Finance Contact Center).

Emergency information dissemination will occur through all avenues of communication. Verbal communication may be conducted through media (press) conferences, briefings, tours, and over the phone in response to media and public inquiries. Written communication will use mediaContact (ITS online application) as the principal means of dissemination. Secondary means include social media applications (Twitter, Facebook).

The Public Information Center and/or the Joint Information Center

In the event of a major disaster/emergency with intense media interest, a JIC may be established by the State PIO in conjunction with other State, local, and Federal agencies, non-government response organizations, voluntary organizations, and tribal governments in coordination with the Press Office. The purpose of the center will be to facilitate a one-voice response and serve as the clearinghouse for accurate and timely information and enhance the dissemination of information essential to an effective emergency response. (See Appendix 5: Joint Information Center Procedures.)

The JIC will be equipped with communications equipment and necessary supplies. The JIC will contain an area for media briefings that includes a media work area, a public information work area, and facilities for inquiry functions. The JIC will be the sole source of official information. Ideally, a JIC will be established near the incident scene and supported by a JIC at or near the State EOC. If an incident JIC is not established, a PIO should be assigned to the Incident/ Unified Command. Other agencies/organizations can participate through the “virtual” realms (email, phone, fax, etc.) when physical presence is impossible.

The JIC will:

- Provide a central location for the news media to obtain information, eliminate conflicting reports, and reduce rumors.
- Support the Incident JIC, if one is established near the scene of the incident.
- Be equipped according to minimal requirements outlined in the Facility Equipment Appendix.
- Include a press briefing area.
- Schedule and facilitate press conferences and briefings.
- Collect and disseminate accurate emergency information in a timely manner through all available media including print, electronic including web-based, and through “boots on the ground” teams.
- Prepare press releases, factsheets, scripts, backgrounders, and any other materials as required or needed.
- Collect information about damage, casualties, and general conditions from all available sources (State agencies, response organizations, local government, and the media). This information will be verified before it can be provided to the Incident Commander or authorized designee.
- Monitor media reports to verify accuracy and issue corrections as needed.
- Counteract any rumors from the media or public.

- Coordinate with DHSES Technology (Communications) Section personnel to ensure that both video and audio feeds from the multi-boxes in the State EOC and the PIO room can be delivered to the exterior receiver in front of Building 22 for participating media.
- Coordinate personnel to escort media and visiting officials in the State EOC and/or disaster areas.
- Oversee the key functions of media relations.
- The JIC will conform with the DHS Basic Guidance for PIO under NIMS (See Appendix 7) unless it conflicts with policies and procedures established by New York State.

When operational activities begin to decline and the JIC is demobilized, public information functions will be transferred back to responsible jurisdictions and agencies. The decision to transition will be made by the IC/UC in consultation with the lead PIO and other Section Chiefs.

The PIO shall implement the following measures in demobilizing/deactivating a JIC:

- Prepare a comprehensive deactivation news release for lead-agency headquarters approval and distribution;
- Notify community, media, agency communications managers, and local officials about closing and provide regional contact information;
- Provide casebooks to communication managers whose organizations will assume responsibility for ongoing information;
- Support an after-action report and participate in evaluation discussions;
- Return borrowed equipment and supplies;
- Inventory equipment and supplies; and,
- Replenish “Go Kits” as necessary.

ESF #15 Support Agencies

- Shall maintain its own authority to manage its public information obligations but shall coordinate such public information obligations with ESF #15;
- May be required to provide communication or intergovernmental staff to support ESF #15; and,
- Shall make all reasonable efforts to comply with requests from the DHSES PIO or Executive Chamber Office of Communications in a timely manner.

In the event an incident impacts one or more of the following critical infrastructure sectors, the listed sector-specific agency or agencies may assume an enhanced role in ESF #15. These critical infrastructure sectors are defined by the Federal government as providing vital assets, systems, and networks to the United States. An enhanced role in ESF #15 may require an agency to assign a staff member to the JIC, provide background or technical information, or provide enhanced information sharing. The DHSES PIO or Executive Chamber Office of Communications may assign an enhanced role to any agency at any point before or during an incident.

Critical Infrastructure Sector	Sector-Specific Agency / Agencies
Chemical	Department of Environmental Conservation, Department of Health, Division of Homeland Security and Emergency Services

Commercial Facilities	Empire State Development, Dormitory Authority of the State of New York
Communications	Department of Public Service, Division of Homeland Security and Emergency Services / Office of Interoperable Communication
Critical Manufacturing	Empire State Development
Dams	Department of Environmental Conservation, Division of Homeland Security and Emergency Services
Defense Industrial Base	Division of Military and Naval Affairs, Empire State Development, Division of Homeland Security and Emergency Services
Emergency Services	Division of Homeland Security and Emergency Services, New York State Police
Energy	Department of Public Service, New York Power Authority, Long Island Power Authority
Food and Agriculture	Department of Agriculture and Markets
Government Facilities	Office of General Services, Dormitory Authority of the State of New York, New York State Police, Division of Homeland Security and Emergency Services
Healthcare and Public Health	Department of Health, Office of Mental Health, Office for People with Developmental Disabilities, Office for the Aging, Office of Children and Family Services, Office of Temporary and Disability Assistance
Information Technology	Information and Technology Services, Empire State Development
Nuclear Reactors, Materials, and Waste	Department of Environmental Conservation, Department of Health, Division of Homeland Security and Emergency Services, Department of Public Service
Transportation Systems	Department of Transportation, Metropolitan Transportation Authority, Port Authority of New York and New Jersey, Thruway Authority, Division of Homeland Security and Emergency Services
Water and Wastewater Systems	Department of Environmental Conservation, Department of Health, Division of Homeland Security and Emergency Services, Department of Public Service

National Weather Service

- The National Weather Service’s enhanced role may also involve providing additional public notice through its public warning system.

5. Integration with Federal ESFs

The Federal Government organizes its response resources and capabilities under an ESF construct. Similar to the State ESF construct, Federal ESFs are multi-agency operational components that serve as the primary means for coordinating Federal resources and capabilities into the State. The Federal ESFs bring together a wealth of capabilities of Federal departments and agencies and other national-level assets. In doing so, they are organized to provide the operating structure for building, sustaining, and delivering Federal response core capabilities in support of the State’s Critical Capabilities. Integration and coordination are key to leveraging the resources of each Federal ESF.

As such, State ESF #15 will serve at the primary integration point for Federal ESF #15. Detailed response capabilities and activities are listed in each Federal ESF Annex.

Section IV – Recovery /Demobilization

1. Overview and Summary

Since mass media is frequently inoperative following natural (i.e. hurricanes, snow or ice storms) events, the agencies represented in the JIC will disseminate critical post-event life safety information. This includes, but is not limited to, food safety information, how to ensure drinking water is safe, safe handling of debris, safety re-entry methods, not entering flood water, etc.

The JIC shall also employ this “boots on the ground” method to disseminate life safety and emergency information to disaster victims post event. The JIC will provide critical information to those most associated with disaster response including uniformed State and local law enforcement personnel, firefighters, emergency medical services personnel, National Guard personnel, NYS Department of Transportation, and public works employees. These responders and others are visible symbols to disaster survivors. The strategy would put very basic, and possibly localized, health and safety literature into the hands of responders who are most readily recognized and located in disaster impact areas, and thus in a position to answer questions.

2. Recovery and Demobilization Process

Demobilization of agencies and ESFs from the State EOC will occur based upon operational needs and will be jointly determined by State OEM and ESF leadership. Based upon the needs of the operation, ESFs may begin to demobilize during the response/short-term recovery phase. However, it should be noted that agencies may be subject to a rapid recall for reactivation of the ESF, if needed based upon operational needs.

As the urgency of a response lessens and communities begin to focus their efforts on implementing recovery programs, the State’s focus will also shift to the long-term recovery needs of the affected areas. In Presidential Disaster Declarations, this will likely include the activation of a federally established Joint Field Office (JFO). JFOs are established, operated, and maintained by DHS/FEMA, and will include the temporary recovery organization structure put in place to support recovery. To properly ensure effective integration of State and Federal recovery activities, the State will organize in a similar structure to the Federal structure contained within the National Disaster Recovery Framework.

As emergency response operations subside, federal and state government transition from ESFs to Recovery Support Functions (RSFs). At this point, most State agencies transition from an ESF role to an assigned RSF role. In most cases, ESF #15’s public information duties will not transition into any RSF. Instead, each ESF #15 support agency resumes its day-to-day public information duties. Day-to-day operations include providing public information support if the support agency has an RSF role. At any time during recovery, if directed by the Executive Chamber or Command Staff, participating ESF #15 agencies may be asked to provide additional public information support to aid the recovery effort.

3. Documentation for Demobilization

As part of a standard incident management practice, staff will be instructed to document all activities until the State has returned to normal operations, including the use of electronic or hardcopy materials generated in the event. Systems are in place to monitor and facilitate:

- Use of ICS Unit Logs.
- File saving and transferring information from the JIC, JFO, ROC, or field operations.

- Tracking files, documents, and records (including emergency operating costs) for future reference.
- All records should be documented in NY Responds.

Appendices and References

- Appendix 1: Public Information Officer Description
- Appendix 2: Facility Equipment List
- Appendix 3: State OEM Public Information Officer Activation Checklist
- Appendix 4: First 48 Hours Checklist
- Appendix 5: Joint Information Center Procedures
- Appendix 6: Activation Procedures: NYS Department of Taxation and Finance Contact Center
- Appendix 7: Basic Guidance for Public Information Officers / NIMS
- Media list (electronic file)
- Contact list: State Agency Public Information Officers (reference)

APPENDIX 1: PUBLIC INFORMATION OFFICER DESCRIPTION

A. Position Description

The Public Information Officer (PIO) is responsible for collecting, developing, and then releasing appropriate information about the incident to the public through the news media, to organization and incident personnel, and to appropriate agencies and organizations. Information to be released must be approved by the Incident Commander or authorized designee in coordination with the Governor's Communications Office (Press Office).

The PIO ensures that information support is provided on request and that all information releases are consistent, accurate and timely.

The PIO shall review and coordinate all relative information releases and serve as the single dissemination point for all media releases in the incident. Other agencies wishing to release information to the public should coordinate through the PIO.

The PIO shall coordinate as necessary to ensure that the public within the affected area(s) receives complete, accurate, and consistent information about lifesaving procedures, health preservation instructions, emergency status, and other information such as relief programs and services.

B. Responsibilities

- Determine from the Incident Commander (IC) if there are any limits on information release. Determine what information is essential to protect life and property.
- Advise the IC of all unusual requests for information and of all major critical or unfavorable media comments. Provide an estimate of the impact and severity of such comments or information and make appropriate recommendations.
- Identify means for securing information as it is developed.
- Develop an information release program including:
 - Respond to, and log, media inquiries
 - Media briefings
 - Written news releases
 - Public Service Announcements (PSAs)
 - Incident Factsheets
 - Radio/TV Interviews
 - Internet (world wide web) Information
 - Social Media
 - Organization Background

- Develop schedule for regular news briefings. Arrange for preparation of briefing materials as required. Inform media and conduct media briefings.
- Obtain IC's approval of all media releases. Coordinate release with Press Office.
- Arrange for tours and other interviews or briefings that may be required. Assist in making arrangements with adjacent jurisdictions, etc. for media visits.
- Ensure that a rumor control/public inquiry function is established as necessary and has the means for identifying false or erroneous information. Develop procedure to be used to clarify such information.
- Monitor broadcast, print, and social media. Use information gleaned to develop follow-up news releases and rumor control.
- Obtain media information that may be useful to incident planning.
- Maintain current information summaries and/or displays on the incident for dissemination to the public and response personnel. Coordinate the Situation Unit in the established Planning Section.
- Provide information on the status of the incident to assigned personnel.
- Maintain Unit Log, including file copies of all information (and audio/videotapes) that is released.
- Provide copies of all releases to the Incident Commander.

APPENDIX 2: FACILITY EQUIPMENT LIST

The following list of equipment is required to perform public information activities:

- Appropriate work space for Public Information Officers
- Uninterruptible Power Supply (UPS), e.g. backup generator
- Dedicated telephone lines and additional telephones
- Desktop and/or laptop computers with printer access, e.g., network or wireless
- Printer; printer ink/toner
- Internet access
- Access to photocopier
- Copier toner
- Adequate supply of paper
- Current telephone directory(ies)
- Current copy of State Comprehensive Emergency Management Plan (CEMP) and Emergency Public Information Annex
- Updated list of local, State and regional news media outlets
- White board and erasable markers
- Cable TV
- AM/FM radio with antenna
- U.S. and State flags for media briefing area
- Podium for media briefing area / agency logo for podium
- Additional cell phones and other communications equipment necessary for field deployment
- Pens
- Sticky (“post-in”) notes
- Tape
- Notebooks
- Poster board
- Standard press kit folders
- Staplers
- Paper punch
- Three-ring binders
- Paper clips

APPENDIX 3: STATE EOC PUBLIC INFORMATION OFFICER CHECKLIST

<input type="checkbox"/>	Sign in as present.
<input type="checkbox"/>	Open and maintain an event log. (ICS-214)
<input type="checkbox"/>	Report to the EOC Manager and obtain a briefing from Management Staff.
<input type="checkbox"/>	Sign onto NY Responds, input your profile, check for any outstanding requests, and update tickets as required.
<input type="checkbox"/>	Develop initial media briefing points. Observe constraints on the release of information imposed by Management Staff.
<input type="checkbox"/>	Obtain approval from the EOC Manager and State OEM Director on the release of appropriate information to the media.
<input type="checkbox"/>	Establish contact with the Governor's Press Office and provide an initial summary of events.
<input type="checkbox"/>	Gather and disseminate public instruction, warnings, and announcements. Include warning about unsafe areas, structures, and/or facilities.
<input type="checkbox"/>	Advise State OEM Director, Governor's Press Office, and /or EOC Manager of all unusual requests for information and all major critical or unfavorable media comments. Provide estimate of impact and severity of such comments or information and make appropriate recommendations.
<input type="checkbox"/>	Establish necessary contacts with the public information offices from the appropriate State agencies and the affected jurisdictions and responding entities.
<input type="checkbox"/>	Establish necessary contacts with the media (Print, Radio, Television, and Wire Services).
<input type="checkbox"/>	If a NYS event includes multi-jurisdictions and multiple agencies, it may warrant a Joint Information Center (JIC: identify a location, then brief and obtain approval from the State OEM Director. (See JIC Annex)
<input type="checkbox"/>	If an alert is declared by one of the following nuclear plant sites: Ginna, Oswego, or Indian Point, coordinate the JIC with the declaring entity. If an alert is declared, coordinate with Logistics the dispatch of the State JIC team including availability of air transportation through the State Police. (See JIC Annex)
<input type="checkbox"/>	The Governor's Press Office, State OEM Director, and EOC Manager must approve any request for media to enter the State EOC. If approved and media are allowed to enter the State EOC, coordinate an escort to stay with the media representatives.
<input type="checkbox"/>	Notify the Check-In Status Recorder, Logistics, Security, and DSP to ensure media are only allowed in the PIO Briefing Room or the designated media area in the State EOC accompanied by Information officers on duty.
<input type="checkbox"/>	Before any media is allowed into the State EOC, inform all staff including the DSP Check-In Desk, Agency Liaisons, and Functional Groups.

<input type="checkbox"/>	If a press conference is scheduled to take place at the State EOC, coordinate with NYS ITS that all video, audio, and lighting is in place and functioning properly.
<input type="checkbox"/>	Release approved information to the media. Use mediaContact (ITS online application) as primary vehicle for State EOC, DHSES websites, and the JIC.
<input type="checkbox"/>	Attend all briefings and planning meetings.
<input type="checkbox"/>	Monitor television, radio, print, and social media to verify accuracy and issue corrections as needed.
<input type="checkbox"/>	Obtain media information that may be useful to incident planning.
<input type="checkbox"/>	Coordinate with the appropriate Sections the issuance of warnings through other communications systems, namely the Emergency Alert System (EAS), Executive Hotline and / or the National Warning System (NAWAS).
<input type="checkbox"/>	When needed and approved by the EOC Manager, establish and assign staff to support a public inquiry hotline. Follow procedures outlined in the Emergency Public Information Annex Appendix entitled, Activation Procedures for NYS Department of Taxation and Finance Contact Center. Post the number in the State EOC and JIC.
<input type="checkbox"/>	Assign personnel to handle non-emergency calls and visitors.
<input type="checkbox"/>	Ensure that announcements and information is translated for special populations.
<input type="checkbox"/>	Maintain Unit Log, including file copies of all information (and audio/videotapes) that is collected and or released.
<input type="checkbox"/>	Provide periodic updates and briefings to the EOC Manager.

APPENDIX 4: FIRST 48 HOURS CHECKLIST

Critical First Steps after Verification

<input type="checkbox"/>	Ensure leadership is aware of the emergency and that they know you are involved.
<input type="checkbox"/>	Use the crisis communication plan's notification list to ensure all of the communication chain of command is aware and know you are involved.
<input type="checkbox"/>	Contact Governor's Communications (Press) Office.
<input type="checkbox"/>	Provide leadership with your first assessment of the emergency from a communications perspective and inform them of the next steps you are taking.
<input type="checkbox"/>	Provide periodic updates and briefings to the EOC Manager.

Coordination

<input type="checkbox"/>	Contact local, State, and federal partners now.
<input type="checkbox"/>	Secure spokesperson as designated in the plan.
<input type="checkbox"/>	Initiate alert notification and call in extra communication, per the plan.
<input type="checkbox"/>	Establish Joint Information Center, per the plan.

Media

<input type="checkbox"/>	BE FIRST: Provide a statement that the agency/State is aware of the emergency and is involved in the response.
<input type="checkbox"/>	BE CREDIBLE: Give directions to the media about when and where to get updates from the agency.
<input type="checkbox"/>	BE RIGHT: Start monitoring media for misinformation that must be corrected.

Public

<input type="checkbox"/>	Initiate public information toll-free number if State anticipates public will be seeking reassurance or information directly from the State. If activated, dispatch liaison (see Appendix 6).
<input type="checkbox"/>	Use initial media statement as first message to public – ensure statement expresses empathy and acknowledges public's concern about uncertainty.
<input type="checkbox"/>	Give pre-cleared facts that are available and refer public to other information sites, as appropriate.
<input type="checkbox"/>	Remind the public that the agency/State has a process in place to mitigate the crisis

<input type="checkbox"/>	Start monitoring public calls to capture and address trends or rumors.
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Partners / Stakeholders

<input type="checkbox"/>	Send a basic statement to partners to let them know that you are thinking about them.
<input type="checkbox"/>	Use pre-arranged notification systems – social media are the preferred methods.
<input type="checkbox"/>	Engage leadership to make important first phone calls, based on the plan, to partners and key stakeholders to let them know that the agency/State is responding.
<input type="checkbox"/>	Use the internal notification system to notify employees that the agency is involved in the response and that updates will follow – ask for their support.

APPENDIX 5: JOINT INFORMATION CENTER PROCEDURES

A. Purpose

These procedures define the actions needed to accomplish coordinated public information functions by the Joint Information Center (JIC) in support of State and local response activities to an emergency/event. The JIC will operate in accordance with the policies and procedures outlined in the Emergency Public Information Annex of the New York State Comprehensive Emergency Management Plan (CEMP).

B. Objectives

The JIC is the primary dissemination point for the coordinated release of information of State response and recovery activity to an emergency or planned event. It is capable of performing these functions:

- Issuing emergency instructions and protective actions
- Developing and delivering coordinated messages
- Responding to information needs of the public, media and elected officials
- Conducting media monitoring, analysis and rapid response
- Public inquiry (rumor control)
- Coordinating information flow among federal, State and local organizations

C. Staffing

The JIC may be staffed by representatives from all State, federal, and local agencies, as well as jurisdictions involved in the response and recovery operation, and through intrastate and interstate mutual aid agreements such as the Emergency Management Assistance Compact (EMAC). EMAC may be a supplemental source or vehicle for bringing trained personnel together to support a JIC.

D. Location

The JIC initially will be established at the headquarters of the New York State Office of Emergency Management (OEM) where the State Emergency Operations Center (EOC) also is located.

The physical location of the State EOC is:

Averell W. Harriman State Office Campus
1220 Washington Avenue
Building 22, Suite 101
Albany, NY 12226-2251

Should the size of the JIC outgrow adequate working space, it will be moved to an alternative location, preferably a State-owned/occupied facility.

When co-location is not feasible, a virtual JIC can be established, connecting Public Information Officers (PIOs) through e-mail, cell/land-line phones, video teleconferencing, web-based information systems, etc.

E. Access

State Police personnel provide security to Building 22. State agency ID or state-issued driver's license is required proof of identification to gain entry the State EOC for JIC personnel. When possible, a list of media personnel coming to JIC will be provided to State Police security. Media will be accompanied to staging area/briefing room by JIC personnel.

F. Activation

The JIC will be activated by the Public Affairs Office of the Division of Homeland Security and Emergency Services (DHSES) at the direction of:

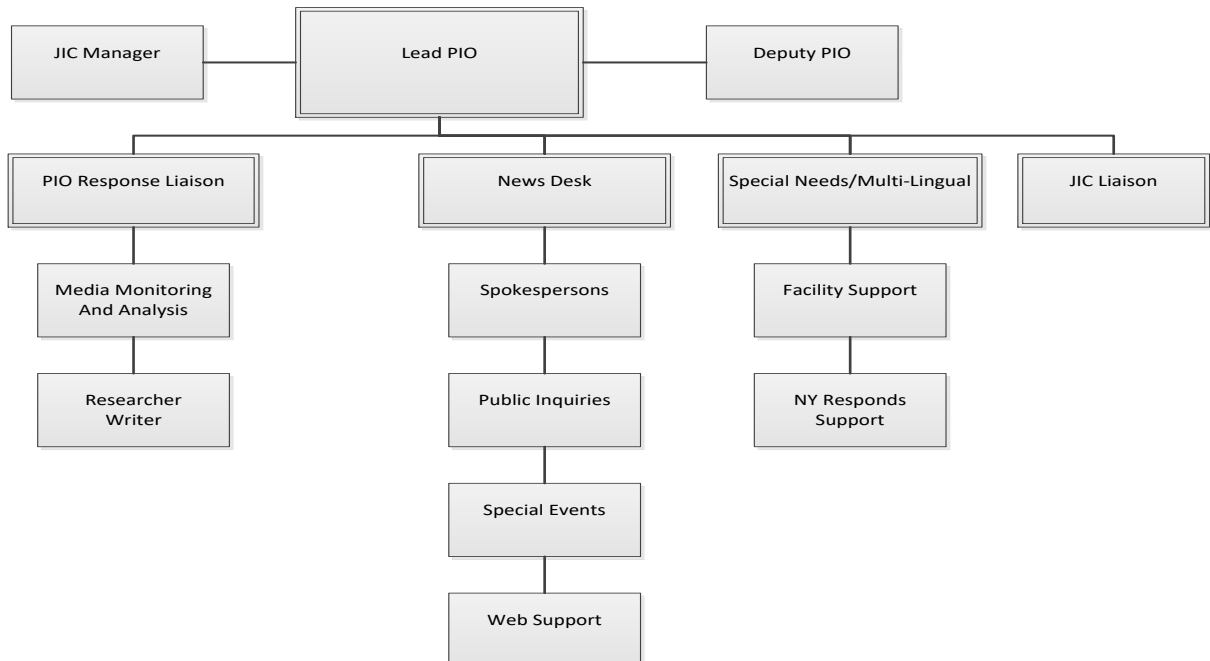
- The Governor's Communications Director
- The Chairman of the NYS Disaster Preparedness Commission
- The Commissioner of NYS DHSES
- The Director of State OEM
- The Manager of the State EOC

The JIC will be operational when the following requirements are met:

- Sufficient staff is assembled on-site or via virtual connectivity
- Off-site organizations are connected to the PIO Coordination Line

The State will announce the opening of the JIC via media advisory.

When activated, the organization and function of the JIC will follow the recommended structure as displayed below:



G. Notification

The number of State PIOs required to staff the JIC will depend on the magnitude of the incident. State agency PIOs will be notified of the activation of the JIC and either directed to report to Building 22, an alternative site, or to report in virtually by calling the PIO Coordination Line. The State Agency PIO list developed by the Governor's Communications (Press) Office will serve as the initial source of contact information.

Notifications will be made by DHSES PIO staff via email. Follow-up telephone calls will be made, if necessary.

H. Operations

The JIC is a management tool for providing accurate and timely information from the State of New York, State agencies and respective federal and local organizations to protect public health and safety in response to emergency and disaster situations and planned events.

The Lead PIO has overall responsibility for JIC operations. He/she may assign a Deputy PIO to oversee operational activities. The Deputy PIO will assume JIC operations and all Lead PIO responsibilities in the absence of the Lead PIO. Depending on the length and severity of the activation, multiple Deputy PIOs may be designated by the Lead PIO.

The Lead PIO also:

- Serves as advisor to IC/UC
- Provides overall communication policy direction
- Recommends and develops strategy for messages, briefings, and news releases;
- Obtains approval from those in authority before releases are made
- Conducts JIS/JIC briefings (live or virtual) to update staff regarding Incident Command /Multi-Agency Coordinating Group activities

The JIC Manager:

- Oversees JIC operations
- Ensures Media monitoring reports / new and public inquiries are thoroughly researched and answered in an accurate and timely manner
- Implements JIC strategy and makes product assignments
- Gets approval from Lead PIO for release of information through conventional means

I. JIC Staff Assignments

When State agency PIO report to the JIC, they will be assigned a position. While agency press officers serve as subject matter experts for their respective agencies' areas of expertise, they also will fill a functional position in the JIC. Each PIO will keep a log of his/her activities during the operational shift.

J. More than one PIO may be assigned to the following functional positions:

- JIC Liaison – Provides a coordinated two-way communication link with key program areas and other entities involved in the response and recovery operation (e.g., elected officials, community leaders, VIPs, and other governmental and NGO support agencies).

- PIO Response Liaison – Coordinates with supporting response agencies and their PIOs at EOCs, incident command posts, and other locations to gather information on the incident. Designates PIO personnel to monitor respective Task Group functions in accordance with areas of expertise. Supervises the State PIO Coordination line. Shares media monitoring issues on PIO Coordination Line. Posts summaries of media reports and their validity on JIC whiteboard.
- Media Monitor/Analyst/Rapid Response – Reviews media reports and social media for accuracy, content, and develops possible response based on all incident information provided to him/her. Will work with the appropriate agency PIO, or related subject matter expert (SME), for resolution. The nature of any problem/report should be discussed on the PIO coordination line. Inaccuracies / trends are brought to the attention of the Lead PIO. The Lead PIO, in turn, will appropriately brief the Incident Commander or Unified Command.
- Researcher/Writer – Prepares written products such as media releases, fact sheets, flyers, talking points, briefing papers, social media, etc.
- News Desk – Serves as the primary point of telephone/email contact for the media. Keeps track of and logs all media inquiries. Shares inquiries on PIO Coordination Line. Directs unanswered questions to the appropriate PIO in JIC or on PIO Coordination Line for follow-up. Ensures all inquiries are handled in a timely manner. Is provided with all incident information approved for public release.
- Spokesperson – Prepares and conducts regular news briefings and news conferences for the JIC. The Governor’s Director of Communications may designate the lead spokesperson for the event.
- Public Inquiries – Entails responding to questions from citizens, making referrals, and developing a log of telephone calls, e-mails, etc., containing names, addresses, the type of calls, and any necessary follow up actions. Maintains JIC log. Is provided with all incident information approved for public release.
- Special Events – Entails handling events such as news conferences, media briefings, VIP visits, and tours for senior officials of affected areas.
- Web Support – Creates and supports web pages and blogs containing information about the incident for use by the public and the media.

- Special Needs/Multilingual – Entails providing language translation and other services (for visually impaired and deaf/hard-of-hearing populations) to ensure appropriate and timely information reaches those in the affected areas with special needs.
- Facility Support – Coordinates with the EOC Logistics Section to maintain and support the JIC operations concerning the facility and resources.
- NY Responds Support – Monitors NY Responds (State OEM/EOC mission and information tracking system) and provides pertinent information to JIC Manager for distribution. Provides all information products released to NY Responds management.

K. Information Dissemination

Incident information (news releases, fact sheets, etc.) will be provided through all means available including:

- Email to media in affected areas via mediaContact (ITS online application); the Associated Press (AP) and Legislative Correspondents Association (LCA) list-serves will be provided all information for release.
- Postings to the DHSES and State OEM websites: www.dhses.ny.gov and www.dhses.ny.gov/oem.
- Social media (i.e. Twitter, Facebook).
- News conferences and briefings.
- Media call-outs.
- Agency-specific media lists.
- Incident and satellite JICs.
- Other dissemination methods deemed appropriate given the unavailability of traditional resources (examples: flyers, brochures distributed by hand, announcements via emergency response personnel, etc.).

L. Logistics

State OEM will provide logistical support to the JIC including computers and telephone communications. NYSOEM will ensure the provision of Internet and NY Responds access to all PIOs. If so equipped, all PIOs assigned to staff the JIC will bring their State-provided laptop computers and cell phones.

M. PIO Coordination Line

1. To facilitate coordination among the response partners, the State PIO shall activate the PIO Coordination Line connecting all participating response organizations (government, voluntary, private sector and tribal governments). The purpose of the PIO Coordination Line is to share information and support the “single source” concept and coordinate the dissemination of vital information to the affected area(s). This telephone line will be functional during the operational hours of the JIC.

2. The primary coordination for public information for the REP Program will be maintained through audio bridges connecting the emergency operations centers in the counties surrounding the nuclear power plant, the State EOC, the State Command Room, Department of Taxation and Finance Contact Center, and the Joint Information Center.

State PIO will set up all conference bridges using the ITS-supported WebEx application.

N. NYS Department of Taxation and Finance Contact Center

When a high-volume telephone call center is warranted to collect or disseminate public information, the State PIO shall coordinate the establishment of a New York State telephone hotline utilizing the New York State Department of Taxation and Finance Contact Center (See Appendix 6: Activation Procedures for NYS Department of Taxation and Finance Contact Center).

O. Demobilization

When operational activities begin to decline, public information functions will be transferred back to responsible jurisdictions and agencies. The decision to transition will be made by the IC/UC in consultation with the Lead PIO and other Section Chiefs.

Below are the major steps necessary for deactivating the JIC:

- Prepare a comprehensive deactivation news release for lead-agency headquarters approval and distribution. The release and/or media advisory should give media point of contact for agency(ies) assigned “(co-)lead” status for recovery operations
- Notify community, media, agency communications managers and local officials about closing and provide follow-up contact information
- Provide casebooks to communication managers whose organizations will assume responsibility for ongoing information
- Complete an after-action report and participate in evaluation discussions
- Return borrowed equipment and supplies
- Inventory equipment and supplies
- Replenish “Go Kits” as necessary

APPENDIX 6: CONTACT CENTER EMERGENCY ACTIVATION PROCEDURES

Acronyms in Contact Center Procedures

DTF: Department of Taxation and Finance

CCD: Contact Center Division

OPTS: Office of Processing and Taxpayer Services

VCC: Virtual Contact Center

IVR: Interactive Voice Response

OITS: Office of Information Technology Services

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Contact Center Emergency Activation Procedures

Requesting Agency Required Steps

1. DHSES (Division of Homeland Security and Emergency Services), the Governor's office, or other NYS agency whom is requesting a contact center activation, will notify the DTF Executives (see [Table I](#)) that an activation of the Contact Center is needed.
2. Provide DTF contact center with the nature and estimated scope of the activation. The scope should include an estimated call volume and the estimated hours of operations.
3. Provide appropriate phone scripts and procedures for contact center phone agents.
 - ❖ A basic (temporary) phone script will be used until official scripts are available. Temporary script will ask callers to identify their reason for calling and provide their contact information in order for a call back, once more information is available.
4. Provide a liaison to communicate with DTF contact center managers (see [Table IV](#)) to ensure phone agents have most up-to-date information & phone scripts pertaining to the activation. Depending on the event, an on-site liaison may be required.

DTF Contact Center Required Steps

1. DTF Executives (see [Table I](#)) will notify CCD Executives (see [Table II](#)) of the impending emergency activation.
2. CCD Executives (see [Table II](#)) will notify the following of the impending emergency activation:
 - OPTS Contact Center Services (see [Table III](#))
 - Contact Center Managers (see [Table IV](#))
3. Provide an available emergency activation toll-free telephone number to the requesting agency (see [Activation Phone Numbers and Skills](#) below). The local numbers listed are generally for internal purposes only.
4. Determine the required number of Contact Center personnel necessary for activation, based on scope and anticipated call volume. At least one grade 18 and grade 14 should be on-site prior to phone agents arriving.
5. If the activation is during **non-business hours**, contact center managers will utilize the 24/7 CCD Emergency Call-In lists (*w/ 5 miles and/or 5+ miles*) via the BOLD site to activate available phone staff.
6. Non-management staff do not have 24-hour building access. Upon staff arrival, the manager or supervisor on-site will be required to allow staff into the building. Staff must present their badge to the prior to entry and all staff should only use the main front entrance during non-business hours.
7. Contact Office Services Bureau for HVAC services (see [Table V](#)).
8. If any IVR updates or additional VCC assistance is necessary, contact OPTS Contact Center Services staff (see [Table III](#)).
9. If the activation will offer extended contact center hours, notify OITS Support Liaisons (see [Table VI](#)) of the activation and the need for them to activate their support procedures. This notification isn't necessary when an activation occurs during non-business hours; the notification can take place the following business day and only if the activation will continue to offer extended contact center hours.
 - Exception is if an activation occurs over the weekend. For example, we're activated Friday night or Saturday morning and will provide call center hours throughout the weekend.
10. Activate the designated IVR/phone number. This is performed by assigning **at least one agent** to the appropriate skill (see [Activation Phone Numbers and Skills](#) below). Once an assigned agent **logs into** VCC, the phone line will be **active**.
 - Note: All Emergency phone lines are pre-configured for 24/7 service. These phone lines will "shut-down" once all agents are logged out of VCC or removed from the associated skill.
11. Provide agents with proper phone scripts until Oracle/Portal Expert can be updated.

APPENDIX 7: BASIC GUIDANCE FOR PUBLIC INFORMATION OFFICERS / NATIONAL INCIDENT MANAGEMENT SYSTEM

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Figure 3—Federal ESF #15 Organizations and Functions – Field Level

Chapter 1: Introduction and the Incident Command System (ICS)

This guidance was developed in coordination with Federal, State, tribal, and local Public Information Officers (PIOs). The goal of this publication is to provide operational practices for performing PIO duties within the Incident Command System (ICS). It offers basic procedures to operate an effective Joint Information System (JIS).

During an incident or planned event, coordinated and timely communication is critical to effectively help the community. Effective and accurate communication can save lives, save property, and helps ensure credibility and public trust.

This *Basic Guidance for Public Information Officers* provides fundamental guidance for any person or group delegated PIO responsibilities when informing the public is necessary.

The guidance also addresses actions for preparedness, incident response, Joint Information Centers (JICs), incident recovery, and Federal public information support. The guidance material is adaptable to individual jurisdictions and specific incident conditions.

The guidance outlined in this document is based on the Homeland Security Presidential Directive (HSPD) -5, the National Incident Management System (NIMS), and the National Response Framework (NRF). All of these elements are integrated with and supported through the Federal Emergency Support Function (ESF) #15 structure.

The Incident Command System (ICS)

The ICS is a widely applicable management system designed to enable effective and efficient incident management by integrating facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.

The Incident Commanders (ICs) structural organization builds from the top down; responsibility and performance begin with the ICS element and the IC. The IC(s) is/are responsible for the overall management of the incident. On most incidents, the command activity is carried out by a single IC. The need for a Unified Command (UC) occurs when an incident affects the statutory responsibility of more than one agency or jurisdiction. It provides guidelines to enable agencies with different legal, geographic, and functional responsibilities to coordinate, plan, and interact effectively.

Command encompasses the IC and the Command Staff. Command Staff positions may be established to assign/delegate responsibility for command activities that the IC cannot perform due to the complexity of the incident or other situational demands. These positions may include the Public Information Officer, Safety Officer, and Liaison Officer, in addition to others, required and assigned by the IC.

The PIO is responsible for communicating with the public, media, and/or coordinating with other agencies, as necessary, with incident related information requirements. The PIO is responsible for developing and releasing information about the incident to the news media, incident personnel, and other appropriate agencies and organizations. Depending on the size or complexity of the incident, a lead PIO should be assigned for each incident and may have assistants, as necessary, including supporting PIOs representing other responding agencies or jurisdictions.

The Safety Officer monitors incident operations and advises the IC/UC on all matters relating to operational safety, including the health and safety of emergency responder personnel.

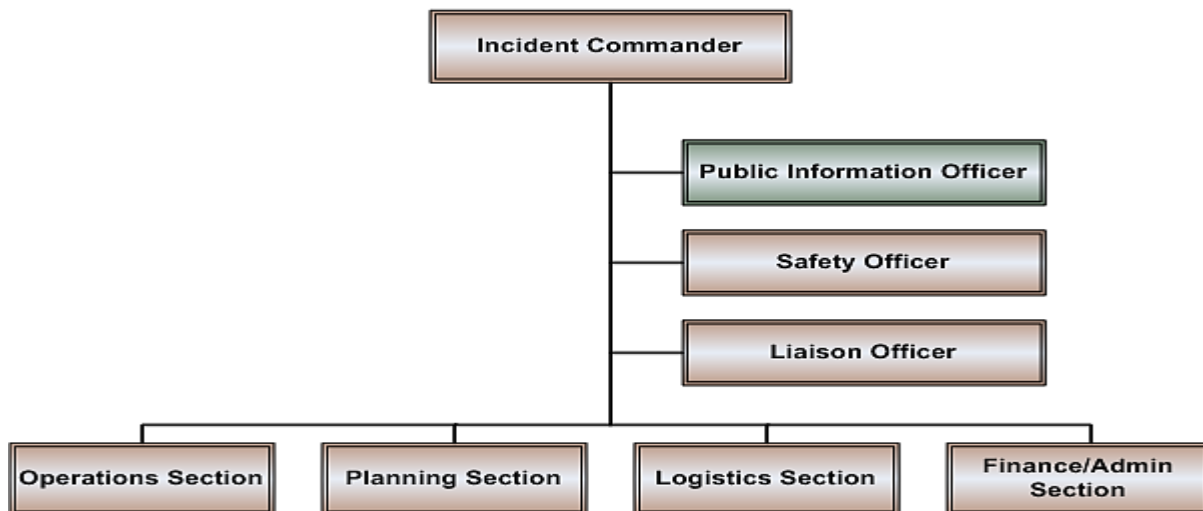
The Liaison Officer is the IC/UC point of contact for representatives of other governmental agencies, non-governmental organizations (NGOs), and/or the private sector (with no jurisdiction or legal authority) to provide input on their agency’s policies, resource availability, and other incident related matters.

The ICS has five major management functions: Command, Operations, Planning, Logistics, and Finance/Administration. This structure is modular and can extend to incorporate all elements necessary for the type, size, scope, and complexity of a given incident (figure 1).

The IC/UC normally assigns one or more Section Chiefs to manage the following ICS functional areas (the Section Chiefs are the General Staff):

- Operations Section: responsible for managing on-scene tactical operations to meet the incident objectives as established by the IC or UC.
- Planning Section: collects, evaluates, and disseminates incident situational information to the IC/UC and incident management personnel.
- Logistics Section: meets all service and support needs for the incident, including ordering resources through appropriate procurement authorities from off-incident locations.
- Finance/Administration Section: responsible for all administrative and financial considerations surrounding an incident, including financial reimbursement to individuals, agencies, and departments.

Figure 1—ICS Organizational Chart



Chapter 2: Preparedness

Preparedness is essential for an effective response to an incident or planned event. Public information efforts should begin well in advance of an incident or planned event and may involve a combination of planning, resource gathering, organizing, and training and exercises. Public information planning allows for lifesaving measures, such as evacuation routes, alert systems, and other public safety information to be coordinated and communicated to diverse audiences in a timely, consistent manner. Public education contributes to preparing citizens to respond to a variety of hazards.

Public information preparedness includes developing and maintaining plans and procedures, checklists, contact lists, and public information materials. Below are some factors a PIO should consider when developing or planning prior to an incident or planned event.

Public Education Campaigns

Public education is the process of making the public aware of risks and how they can prepare for all-hazards in advance.

Prior to an incident, the PIO should conduct activities to educate the public about local hazards, prevention, family preparedness, and response-level activities. It is important to develop plans and resource materials that are appropriate for a target audience such as children, special needs populations, pet owners, local governments, or entire communities.

Public education may be accomplished through events (safety fairs) or products such as media releases or packets and the distribution of brochures.

Examples of a public education campaigns include:

- Hurricane preparedness
- Personal preparedness and developing family or business emergency plans
- Hazardous materials awareness
- Tornado and severe weather awareness
- Special needs population awareness

Training

PIOs should participate in ongoing training related to emergency management. This should include basic public information, ICS courses, and courses on writing media releases, conducting media interviews, and understanding the role of a JIC. Below are some of the required and recommended courses available. Additionally, public information courses are available that support NIMS through various other agencies and associations such as the Centers for Disease Control and Prevention (CDC) and the Chemical Stockpile Emergency Preparedness Program (CSEPP).

Required training for the Command and General Staff:

- Introduction to the Incident Command System (ICS-100)
- ICS for Single Resources and Initial Action Incidents (ICS-200)
- Intermediate Incident Command System (ICS-300)
- National Incident Management System (NIMS), An Introduction (IS-700)

Recommended courses:

- Basic Public Information Officers Course (G-290)
- Advanced Public Information Officer (E-388)
- Advanced Incident Command System (ICS-400)
- National Incident Management Systems (NIMS), Public Information Systems (IS-702)
- National Response Plan (NRP), An Introduction (IS-800)

The URL for the FEMA training site, in which the above courses can be found is:

<https://training.fema.gov/is/>.

Exercises

Exercises provide opportunities to practice and test public information capabilities and to improve and maintain proficiency in a controlled environment. Exercises assess and validate policies, plans, and procedures, and clarify and familiarize personnel with roles and responsibilities. Exercises improve interagency coordination and communication, highlight gaps, and identify opportunities for improvement.

A PIO should be involved in all phases of exercises:

- Planning
- Development
- Participation
- Evaluation

It is also recommended to involve local media in drills and exercises and encourage them to role play during those drills and exercises in addition to covering the incident.

Media Relations

Working relationships with media will help during an incident. Establish a media contact list with after-business hours contact information. Keep media aware of all preparedness/awareness campaigns. Invite local media to the Emergency Operations Center (EOC), JIC, or other areas prior to any incident or planned event to show them the location and to answer questions about how information will be disseminated during an incident or planned event.

Positive media relationships built during normal day-to-day activities will be valuable during emergency situations. Do not wait until an incident to make first introductions to the media.

Considerations for Special Needs Populations

PIOs should be able to gather, verify, prepare, coordinate, and disseminate information to all audiences, including those with disabilities, special needs, or language requirements. It is important to have materials translated into common non-English area languages and to utilize other formats such as Braille, large print, audio, etc. Contacts should be established to translate emergency information.

Know the local media; there may be specialized newspapers or radio stations in the community that reach specific audiences. These audiences may need to be targeted during awareness/preparedness campaigns.

Communications Equipment and Resources

During an incident, communication is critical to effectively help the community through the incident. Methods of communicating with the public may include the use of the Emergency Alert System (EAS), Web sites, hotlines, amateur radio, and other alerting messaging systems.

PIOs should have direct involvement in public warnings and instructions for personal safety. In major emergencies or disasters, the PIO should work closely with the warning or communications staff in issuing lifesaving or emergency information on the EAS or other means of alerting the public.

Web sites are an important tool in disseminating emergency and preparedness information. Additionally, Web sites can also be a vehicle for the media and public to submit inquiries during an incident, providing PIOs with useful information and feedback. If the agency does not have a Web site, working with local jurisdictions in order to use their Web sites for posting emergency information is recommended.

Emergency and preparedness information may include:

- Press releases
- Situation reports
- Maps
- Other emergency information

Web logs or blogs are also important. Blogs are periodically updated journals, providing online commentary with minimal or no external editing. Media institutions have adopted this format, with many television networks, newspapers, and opinion journals now hosting blogs on their Web sites. PIOs should be aware that blogs are a part of social media reporting virtually 24/7 throughout their area of responsibility.

Joint Information System (JIS)/Joint Information Center (JIC) Planning

The JIS integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, accurate, accessible, timely, and complete information during crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the IC; advising the IC concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the incident response effort.

The JIC is a central location that facilitates operation of the JIS. It is a location where personnel with public information responsibilities perform critical emergency information functions and crisis

communications. If possible, it is advised to have a location(s) identified that could be used as a JIC before an incident occurs, ideally in close proximity to the EOC. It is important that these locations meet the working needs of the PIO function and allow easy access for the media. Once a JIC has been identified, it is recommended to have appropriate equipment and other resources available and operational. The PIO should develop standard operating procedures on the actual use of the JIC and the equipment and staff that may be needed.

Contact Lists

Review and update all contact lists (e.g., media, PIO, and other agencies) every six months. Include basic information such as telephone numbers (e.g., office, home, cell), fax numbers, e-mail addresses, and Web sites.

Go Kits

It is important for the PIO to have tools and resources available for utilization during an incident.

Although this is not a complete list, a Go Kit might include:

- office supplies such as pens, paper, stapler, tape, etc.;
- laptop computer and portable printer with an alternate power source(s), including accessories (e.g., memory stick, CDs, mouse, etc.);
- maps;
- television, radio, and/or broadcast recording equipment;
- cell phones/Personal Data Assistants (PDAs);
- fax machine;
- agency letterhead;
- PIO and other emergency operations plans;
- camera;
- contact lists;
- battery powered radio; and
- pre-scripted messages and template releases.

Prior to an incident or planned event, establish agreements with businesses or agencies that can assist with the operations. Examples would be contracts with translation services; printing companies in order to publish brochures, fact sheets, or other emergency documents; and coordination with telephone companies to install landline telephones.

Additional Public Information Support

Whether the public information program consists of one person or several, it is important to develop a core group of other PIOs who can assist in the incident or planned event. These PIOs may be from other agencies or volunteers who have been trained in public information. These PIOs work at the JIC or EOC performing a variety of public information functions. Establish these relationships prior to any incident or planned event by providing EOC and JIC training, as well as other PIO training. Communicate with these PIOs on a regular basis and keep their contact information current.

Emergency Management Assistance Compact (EMAC)

Another resource for PIO support is the Emergency Management Assistance Compact (EMAC). This national program that facilitates interstate mutual aid agreements could be used to provide

additional public information support. For more information on EMAC, contact the State emergency management office or visit: www.emacweb.org.

Chapter 3: Disaster/Emergency Response

Roles of PIOs in Emergency Response

The PIO gathers, verifies, coordinates, and disseminates accurate, accessible, and timely information on the incident's cause, size, and current situation; resources committed; and other matters of general interest for both internal and external use. All information in the field must be cleared by the IC prior to release. The following table (table 1) is a sample checklist of responsibilities for the PIO in an ICS structure, which would generally apply on any incident:

Table 1—PIO Major Responsibilities Checklist

Complete	PIO Major Responsibilities
<input type="checkbox"/>	Determine from the IC if there are any limits on information release.
<input type="checkbox"/>	Develop material for use in media briefings.
<input type="checkbox"/>	Obtain IC approval of media releases.
<input type="checkbox"/>	Inform the media and conduct media briefings.
<input type="checkbox"/>	Arrange for tours and other interviews or briefings, as required.
<input type="checkbox"/>	Evaluate the need for and, as appropriate, establish and operate a JIS.
<input type="checkbox"/>	Establish a JIC, as necessary, to coordinate and disseminate accurate, and timely incident-related information.
<input type="checkbox"/>	Maintain current information summaries and/or displays on the incident.
<input type="checkbox"/>	Provide information on the status of the incident to assigned personnel.
<input type="checkbox"/>	Maintain an Activity Log (ICS 214).
<input type="checkbox"/>	Manage media and public inquiries.
<input type="checkbox"/>	Coordinate emergency public information and warnings.

Complete	PIO Major Responsibilities
<input type="checkbox"/>	Monitor media reporting for accuracy.
<input type="checkbox"/>	Ensure that all required agency forms, reports, and documents are completed prior to demobilization.
<input type="checkbox"/>	Have debriefing session with the IC prior to demobilization.

Informing the Public and Additional Audiences

Informing the public and additional audiences during an incident is an ongoing cycle that involves four steps:

Step 1: Gather Information

Information is collected from the ICS Command and General Staff, which are a source of ongoing, official information on the response effort and other sources such as:

- response agencies;
- media;
- calls from public and elected officials;
- technical specialists;
- other agencies such as utilities and the National Weather Service; and
- emergency response guidebooks.

Step 2: Verify Information

Verify the accuracy of the information collected by consulting with:

- EOC sources and technical specialists;
- ensuring that information is consistent and accurate, striving toward accessibility to all affected by the incident; and
- other PIOs: Compare notes, especially with the lead PIO and PIOs who are liaisons to the various assistance programs or response/recovery partners, to verify the accuracy of information.

Step 3: Coordination of Information (Internal)

Coordination includes, but is not limited to:

- coordinating between ICS Command and General Staff;
- coordinating between EOC participants; and
- obtaining approval from appropriate authorities before information is disseminated.

Messaging

Initial information should include:

- actions the public should take;
- impact of the incident;
- actions the response agencies are taking;
- actions businesses and industries should take;
- a summary of the incident; and
- overall steps to be taken by the government and by citizens to return to normal after the incident.

Information Sharing

In addition to the public and media, information needs to be shared with the Command Staff; response community; other Federal, State, tribal, local, and volunteer agencies; elected and appointed officials, other community leaders; and other PIOs. Sharing information regarding response and recovery actions and objectives is critical to building situational awareness for a JIS.

Step 4: Dissemination of Information (External)

Information should be disseminated to:

- disaster victims;
- outside general public;
- affected jurisdictions;
- community leaders;
- private sector;
- media;
- nongovernmental organizations (NGOs) (e.g., American Red Cross);
- response and recovery organizations (e.g., urban search and rescue, utilities);
- volunteer groups (e.g., Community Emergency Response Team – CERT, Voluntary Organizations Active in Disasters – VOAD); and
- other impacted groups.

Methods of Dissemination

Dissemination may be done through multiple media outlets or alternatives, including:

- news releases;

- blogs;
- mass e-mails and faxes;
- text messages;
- Web site posting;
- EAS;
- Public Service Announcements;
- closed circuit cable;
- reverse 911;
- reader boards;
- loud speakers;
- door-to-door;
- fliers/factsheets;
- briefings; and
- community meetings.

Monitoring the Media

Verify that the public and officials are getting accurate and complete information through the media in a timely manner. Inaccuracies and rumors that affect health and safety should be addressed immediately with the media and correct information distributed through the media or other means.

Planning Considerations

The following are factors to consider in the planning of PIO operations:

- field operations (e.g., EOC, JIC);
- communications tools (e.g., cell phone, PDAs, radio);
- tasking (e.g., gathering resources such as media contacts; preparing for media conferences; creating media packets, fact sheets, background information);
- duration of operations (e.g., lodging, food, 24/7 operations);
- resource management for various locations;
- documentation (e.g., logs, time cards, media interviews);
- logistics (e.g., equipment location, supplies, power, parking, credentials); and
- evaluate staffing needs for each operational period.

Chapter 4: Joint Information System (JIS) and Joint Information Center (JIC)

Joint Information System (JIS)

The JIS provides the mechanism to organize, integrate, and coordinate information to ensure timely, accurate, accessible, and consistent messaging across multiple jurisdictions and/or disciplines, including the private sector and NGOs. It includes the plans, protocols, procedures, and structures used to provide information to:

- general public;
- disaster victims;
- affected jurisdictions;
- elected officials;
- community leaders;
- private sector;
- media;
- NGOs (e.g., American Red Cross);
- response and recovery organizations (e.g., urban search and rescue, utilities);
- volunteer groups (e.g., CERT, VOAD);
- international interests (e.g., international media and donations); and
- other impacted groups.

Federal, State, tribal, local, and voluntary agencies, private sector PIOs, and established JICs are critical supporting elements of the JIS. Key elements include the following:

- gathering, verifying, coordinating, and disseminating consistent messages;
- interagency coordination and integration;
- support for decision-makers; and
- flexibility, modularity, and adaptability.

Agencies issue their own releases related to their policies, procedures, programs, and capabilities; however, messages need to be coordinated utilizing the JIS to ensure message consistency.

Joint Information Center (JIC)

To ensure coordination of public information during incidents that involve multiple agencies and/or jurisdictions, the IC/UC may use a JIC to support the gathering, verification, coordination, and dissemination of accurate, accessible, and timely information. The JIC is a central location that facilitates operation of the JIS. In the early stages of response to an incident, the PIO shall consult with the IC/UC regarding the opening of a JIC. The IC/UC shall retain authority to order the opening of a JIC, although the lead PIO may recommend when it is appropriate.

JICs are established:

- at the direction of the IC/UC at various levels of government;
- at pre-determined or incident-specific sites; and
- as components of Federal, State, tribal, or local Multiagency Coordination Systems (MACS).

JICs may be staffed:

- by representatives from all agencies and jurisdictions involved in the response and recovery operation; and
- through intrastate and interstate mutual aid agreements such as EMAC. EMAC could be a supplemental source or vehicle for bringing trained personnel together to support a JIC.

The JIC should be located close to the best sources of information, such as an EOC, without compromising safety or security of the personnel staffing the facility. A single JIC location is preferable, but the system is flexible and adaptable enough to accommodate virtual or multiple JIC locations, as required. The following table (table 2) provides a description of different types of JICs:

Table 2—Types of Joint Information Centers (JICs)

Incident	Typically, an incident specific JIC is established at a single, on scene location in coordination with Federal, State, tribal, and local agencies or at the national level, if the situation warrants. It provides easy media access, which is paramount to success. This is a typical JIC.
Virtual	A virtual JIC is established when a physical co-location is not feasible. It connects PIOs through e-mail, cell/land-line phones, faxes, video teleconferencing, web-based information systems, etc. For a pandemic incident where PIOs at different locations communicate and coordinate public information electronically, it may be appropriate to establish a virtual JIC.
Satellite	A satellite JIC is smaller in scale than other JICs. It is established primarily to support the incident JIC and to operate under their direction. These are subordinate JICs, which are typically located closer to the scene.
Area	An area JIC supports multiple-incident ICS structures that are spread over a wide geographic area. It is typically located near the largest media market and can be established on a local, State, or multi-state basis. Multiple States experiencing storm damage may participate in an area JIC.
Support	A support JIC is established to supplement the efforts of several Incident JICs in multiple States. It offers additional staff and resources outside of the disaster area.
National	A national JIC is established when an incident requires Federal coordination and is expected to be of long duration (weeks or months) or when the incident affects a large area of the country. A national JIC is staffed by numerous Federal departments and/or agencies.

Common Roles and Functions

The following roles and functions are common components of a JIC.

Lead PIO:

- responsible for managing the JIC;
- serves as advisor to IC/UC;
- provides overall communication policy direction;
- recommends and develops strategy for messages, briefings, and news releases;
- obtains approval from those in authority before releases are made; and
- conduct JIS/JIC briefings (live or virtual) to update staff regarding Incident Command activities.

Information Gathering:

- Response Partners – Coordination with supporting response agencies and their PIOs at EOCs, incident command posts, and other locations to gather information on the incident.
- Media Monitoring Analysis/Rapid Response – Entails reviewing media reports for accuracy, content, and possible response.
- Research and Writing:
- Products – Writing materials such as media releases, fact sheets, flyers, etc.
- Graphics Support – Entails designing layouts, developing PowerPoint presentations, and creating graphics for a range of materials (e.g., newsletters, flyers, etc.).
- Audio-Visual:
- Broadcast Operations – Entails developing video documentation, special productions, remote live interview feeds, and logistical support of public meetings and presentations.
- Photo Video – Entails providing still photography documentation to support print and internet media needs, and video documentation to support broadcast media needs. Also includes collecting materials for agency archives.

Information Dissemination:

- Briefing/Special Events – Entails handling events such as news conferences, media briefings, VIP visits, and tours for senior officials of affected areas.
- Media Relations:
- News Desk – Serves as the primary point of contact for the media.
- Spokesperson – Prepares and conducts regular news briefings and conferences.
- Web Support – Entails creating and maintaining web pages and blogs containing information about the incident for use by the public and the media.
- Public Inquiries – Entails responding to questions from citizens, making referrals, and developing a log of telephone calls, e-mails, etc., containing names, addresses, the type of calls, and any necessary follow up actions.

Operations Support:

- Special Needs/Multilingual – Entails providing language translation and other services to ensure appropriate and timely information reaches those in the affected areas with special needs.
- Facility Support – Coordinates with the JIC Facility Liaison to maintain and support the JIC operations concerning the facility and resources.

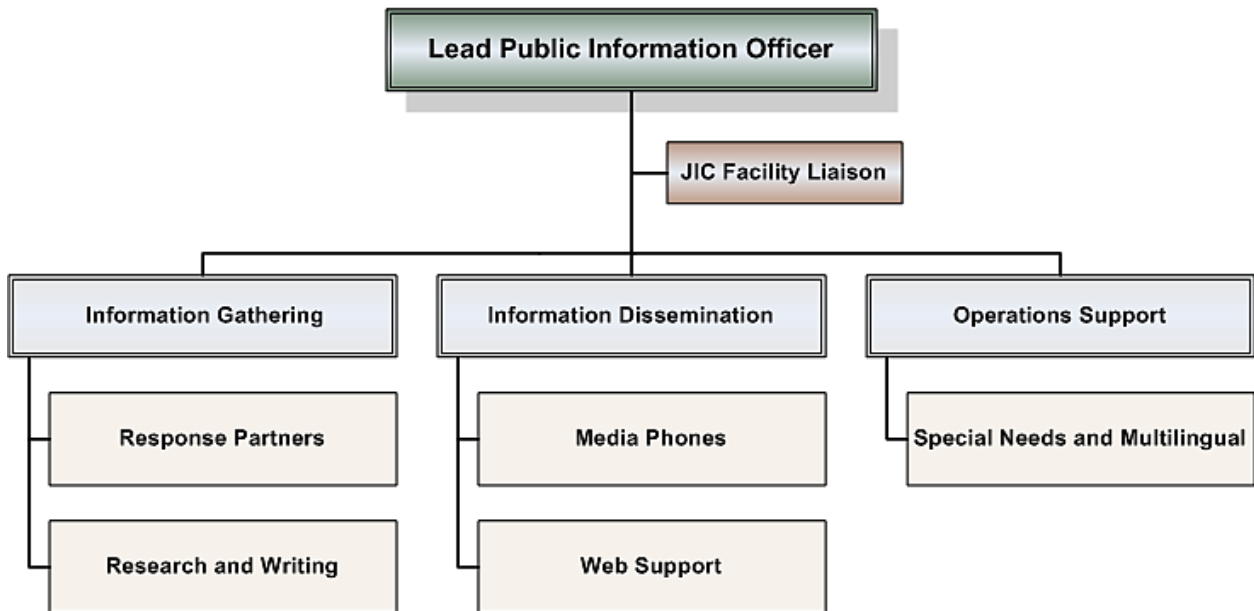
Liaison:

- Provides a coordinated two-way communication link with key program areas and other entities involved in the response and recovery operation (e.g., elected officials, community leaders, VIPs, and other governmental and NGO support agencies).

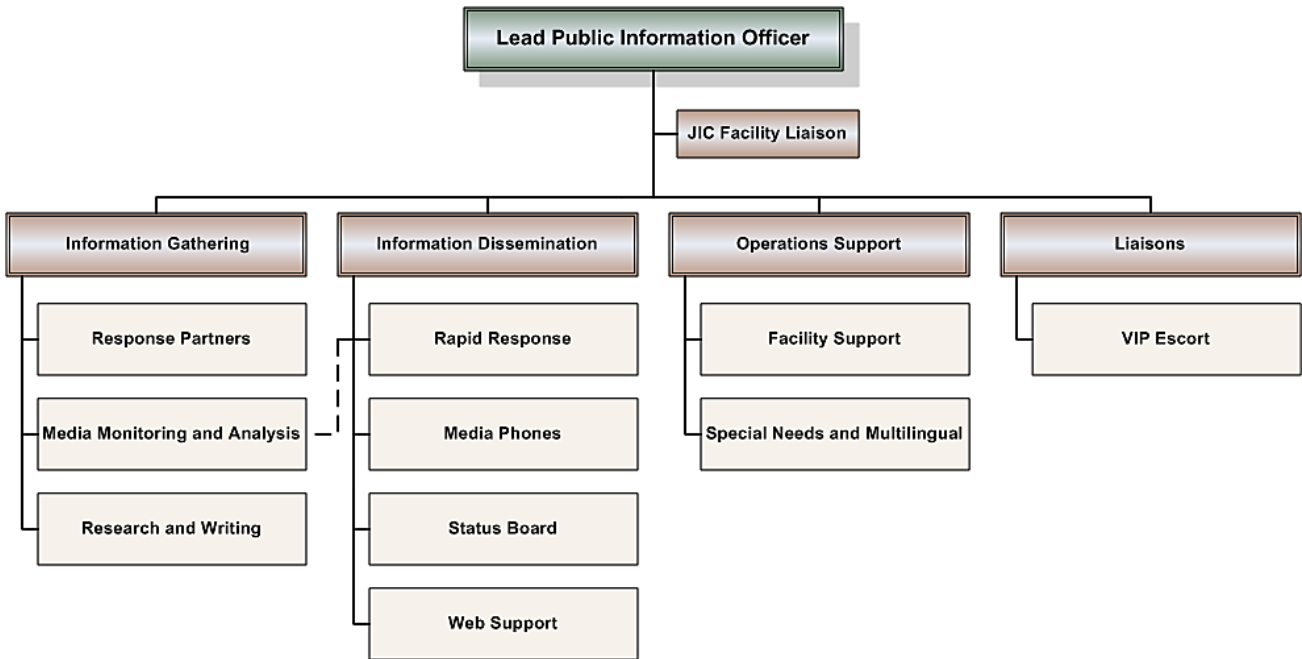
The following diagrams (figure 2) are examples of what JIC organizations look like at various stages of an escalating incident. They are scalable and flexible; certain functions may not be needed for every type of incident or planned event. Each box represents a function to be performed. One person may do many functions, or one function may be staffed by many people, depending upon the scope of the incident.

Figure 2—Sample Joint Information Center (JIC) Organizations and Functions

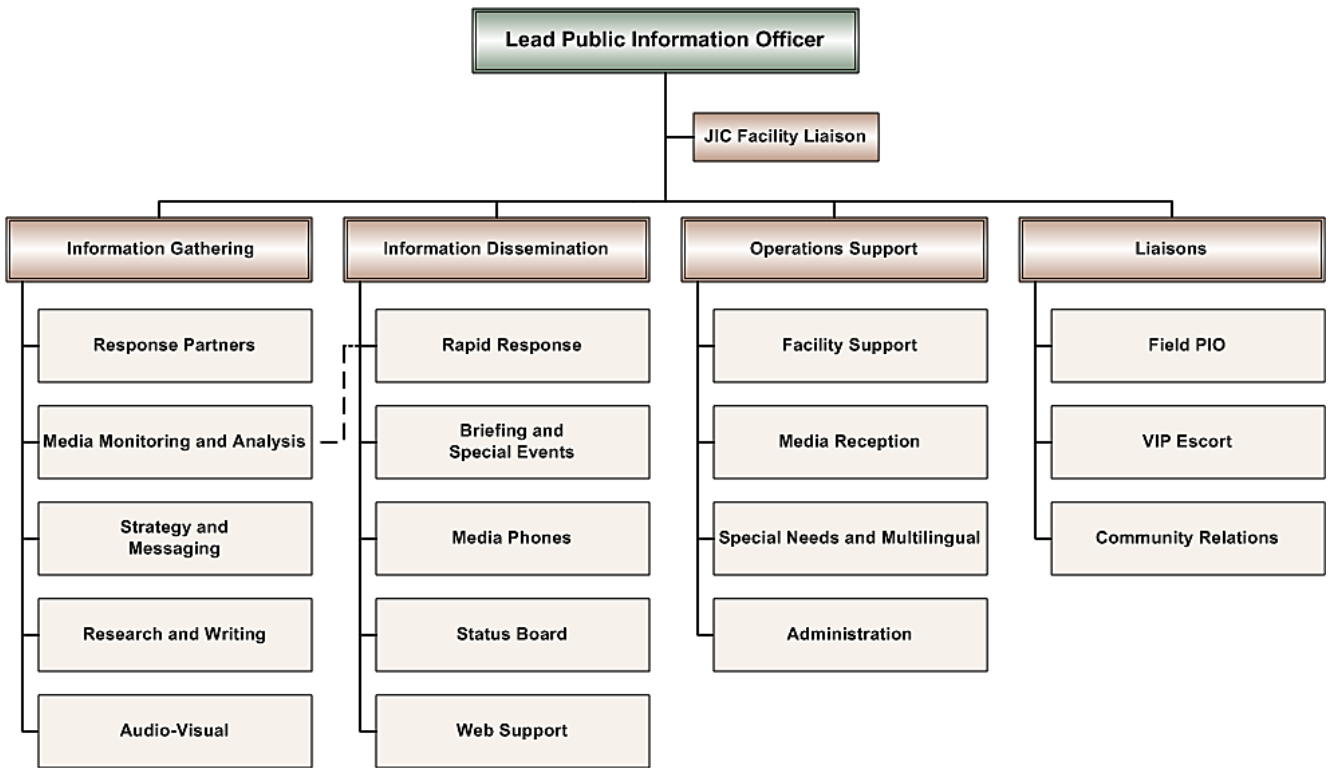
Initial Response or Local Incidents



Escalating Incidents



Large-Scale Incidents



Demobilizing the Joint Information Center (JIC)

When operational activities begin to decline, public information functions will be transferred back to responsible jurisdictions and agencies. The decision to transition will be made by the IC/UC in consultation with the lead PIO and other Section Chiefs. Below are the major steps the PIO would take in deactivating a JIC:

- prepare a comprehensive deactivation news release for lead-agency headquarters approval and distribution
- notify community, media, agency communications managers and local officials about closing and provide regional contact information;
- provide casebooks to communication managers whose organizations will assume responsibility for ongoing information;
- complete an after-action report and participate in evaluation discussions;
- return borrowed equipment and supplies;
- inventory equipment and supplies; and
- replenish “Go Kits” as necessary.

Chapter 5: Recovery

Recovery

The responsive dissemination of public information plays a critical role in the recovery process, and it begins the moment a crisis occurs. Regular communication about recovery efforts, even though response efforts may not be over, reassures the public that government agencies are working together to resolve the situation and to bring assistance to those who need it.

Communications among PIOs and the impacted audience should occur as often as necessary and continue until recovery is complete. This coordination may be accomplished through the JIC (which may still be active during the recovery phase). This information should be updated regularly and may include the following:

- actions the public should take;
- a summary of the incident or planned event;
- the impact of the incident or planned event;
- actions the response agencies are taking;
- actions the public, businesses, and industries may take to gain access to recovery programs and information on how these programs work;
- information on how to repair or restore damaged property;
- debris removal information;
- overall steps to be taken by the government and citizens to return to normal; and
- any other crisis-specific recovery information.

PIOs should:

- emphasize, as soon as appropriate, when the danger has passed, or the situation has transitioned from response to recovery;
- be prepared to direct questions concerning volunteers and financial contributions to the appropriate organizations;
- inform local businesses about special programs designed to assist them through the news media, appropriate business channels, and community outreach efforts;
- communicate information on service animals, pets, and livestock; and
- coordinate with their PIO counterparts at appropriate agencies concerning environmental, ecological, and agricultural impacts.

Recovery Evaluation

To help determine the effectiveness of recovery communication during an incident or planned event, PIOs should closely monitor media reports and assess public inquiries to determine if information is received and understood by its intended audiences.

Following an incident or planned event, PIOs should create a comprehensive report of media coverage, media inquiries, and public inquiries to determine the effectiveness of the recovery communications efforts. This report, or conclusions of the report, can be forwarded to the ICS planning section for inclusion in the After-Action Report (AAR). The PIO should also participate in AAR reviews.

Typically, AARs contain the following components:

- Executive Summary;
- Incident Overview;
- Analysis of Capabilities;
- Major Strengths;
- Areas of Improvement; and
- Lessons Learned.

Chapter 6: Integrating with Federal Support

Federal support in an incident will operate under the standard operating procedures of Emergency Support Function (ESF) #15. Under the title of External Affairs, ESF #15 integrates and coordinates the functional areas of public affairs; community relations; State, tribal, local, and territorial affairs; the private sector; congressional affairs; and international affairs. ESF #15 is led primarily by staff from the U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA), but may also be led by personnel from other Federal agencies during specific response scenarios.

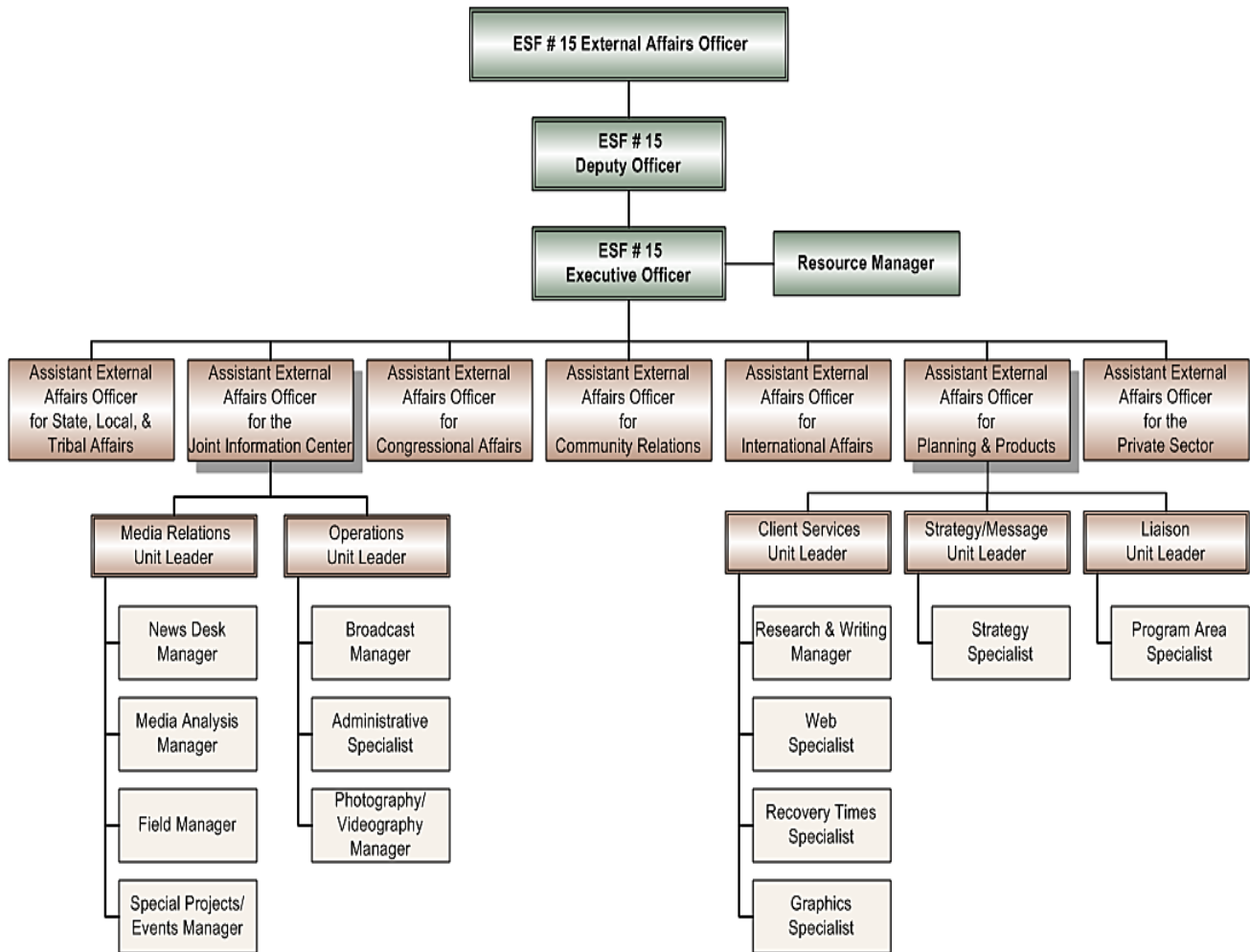
During an incident or planned event that requires a coordinated Federal response, DHS/FEMA will contact the affected State, tribal, or local jurisdictions to identify their public information needs. Based on this information, DHS/FEMA and ESF #15 will support State, tribal, and local communications plans with staff and other resources, which may include:

- satellite trucks;
- communications equipment;
- items for a media center such as TVs, computers, podiums, microphones, etc.; and
- personnel.

DHS/FEMA encourages Federal, State, tribal, and local entities to work in partnership to ensure effective and efficient emergency information is produced and disseminated. The Department encourages co-locating with the incident JIC, as it facilitates coordination, cooperation, and unified messaging between the Federal government's ESF #15 functions and their counterparts with State, tribal, and local agencies.

The following diagram shows the ESF #15 organizations and functions at the field level (figure 3). Each of the seven divisions that make up ESF #15 are represented by their own organizational chart; the structure for the JIC and Planning and Products sections are shown, but they are all a part of one large organizational chart that makes up ESF #15. Each division resides in the Joint Field Office (JFO), but the JIC could co-locate with a State-operated JIC if it is not part of the JFO.

Figure 3—Federal ESF #15 Organizations and Functions – Field Level



Communications Protocols

Pre-identified incident communications protocols are established and ready for use during large scale incidents and incidents requiring a coordinated Federal response. Two primary tools are described below.

National Incident Communications Conference Line (NICCL)

The NICCL was created to be a single source of coordination for DHS with all other Federal agencies. It can work as a call-in conference or as an open line that can be monitored 24 hours a day for the exchange of information and updates. It is primarily for Federal-to-Federal information sharing but can also include communicators from the primarily impacted State and local community. Specifically, the NICCL:

- is used for transmission and exchange of information primarily targeted to support senior State and local officials;
- originates with DHS Public Affairs and is an executive call to discuss happening events and their agencies' roles, activities, and response; and
- is typically conducted twice daily, but it could be staffed 24 hours a day and used as an open line for information dissemination if required by an incident.

State Incident Communications Conference Line (SICCL)

The SICCL was created primarily to bring States together to share information and discuss issues that have an effect on all of them following an incident. This line is typically used during a multiple State disaster such as a hurricane where impacted States may request support from other States. The SICCL is not a 24/7 line. Instead, it is a scheduled conference call, which would be set up as needed to address issues.

In summary, the SICCL is used for the transmission and exchange of information primarily targeted to State and local communicators; and typically activated with a multiple State incident, and there is need for cross border coordination.