Appendix A:
ETO Strategies
PREPAREDNESS
Strategy P1. Develop clear and effective policies to guide ETO activities.

**Existing State:** Absent clear guidance for some ETO functions, Main Office and Regions have necessarily created their own policies/procedures, resulting in lack of uniformity statewide.

**Desired State:** Consistent and unified Department ETO policies are in place.

**Gap in Desired State:** Current Department ETO policies are fragmented across various program areas and are insufficient to meet ETO program goals.

**Effort:** Establish coordinated policies for ETO activities that each Region can implement.

**Concept of Operations:** Refer to Table A-1 for Main Office vs. Regional responsibilities.

---

**Table A-1:**

**Strategy P1 – Actions**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
</table>
| - Develop or enhance:  
  - A statewide ETO policy for ITS field devices  
    - VMS  
    - HAR  
    - CCTV  
  - TIM policies  
    - Move It  
    - Quick Clearance  
    - Tow policy  
    - Detour routing  
    - Incident response trailers  
  - Policy for Overtime during emergencies  
  - Establish a consistent DOB policy on easing the letting cap due to required event spending  
  - A Dark signal policy  
  - A ETO Mutual Aid/Shared Services policy  
  - Update STICCC specific policies:  
    - Routine events  
    - Planned events  
    - Non-routine events  
  - Identify policy gaps  
  - Initiate policy changes  
  - Revise existing policies  
  - Foster new policies  | - Develop a regional ETO policy for ITS field devices based on the statewide policy  
  - VMS  
  - HAR  
  - CCTV  
  - Implement:  
    - TIM policies  
    - Move It  
    - Quick Clearance  
    - Tow policy  
    - Detour routing  
    - Incident response trailers  
  - The overtime policy  
  - The Dark signal policy  
  - The Mutual Aid/Shared Services policy  
  - Implement STICCC specific policies:  
    - Routine events  
    - Planned events  
    - Non-routine events  
  - Recommend policy changes  
  - Revise existing policies based on Main Office changes  
  - Understand new policies |
Strategy P2. Develop clear and effective procedures to implement ETO policies.

**Existing State:** Absent clear guidance for some ETO functions, Main Office and Regions have necessarily created their own procedures, resulting in lack of uniformity statewide.

**Desired State:** Consistent and unified Department ETO procedures are in place.

**Gap in Desired State:** Current Department ETO procedures are fragmented across various program areas and are insufficient to meet ETO program goals.

**Effort:** Establish coordinated procedures for ETO activities that each Region can implement.

**Concept of Operations:** Refer to Table A-2 for Main Office vs. Regional responsibilities.

### Table A-2: Strategy P2 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintain and improve procedures for ICS activations</td>
<td>Implement procedures for ICS activations</td>
</tr>
<tr>
<td>Establish statewide ETO procedures for ITS field devices (i.e. VMS, HAR, CCTV)</td>
<td>Establish:</td>
</tr>
<tr>
<td>Establish statewide procedures to deploy CCTV and detectors at various locations statewide, particularly in high congestion areas and at interchanges:</td>
<td>• Regional ETO procedures for ITS field devices based on statewide procedures</td>
</tr>
<tr>
<td>Develop an improved system for issuing / storing procedures (ex. Website / P drive)</td>
<td>• VMS</td>
</tr>
<tr>
<td>Develop and implement procedures for:</td>
<td>• HAR</td>
</tr>
<tr>
<td>• Multi-disciplinary TIM</td>
<td>• CCTV</td>
</tr>
<tr>
<td>• Move It</td>
<td>• TIM teams</td>
</tr>
<tr>
<td>• Quick Clearance</td>
<td></td>
</tr>
<tr>
<td>• Tow policy</td>
<td></td>
</tr>
<tr>
<td>• Detour routing</td>
<td></td>
</tr>
<tr>
<td>• Incident response trailers</td>
<td></td>
</tr>
<tr>
<td>• Statewide IMAT</td>
<td></td>
</tr>
<tr>
<td>• ETO</td>
<td></td>
</tr>
<tr>
<td>• Incident response</td>
<td></td>
</tr>
<tr>
<td>• Overtime</td>
<td></td>
</tr>
<tr>
<td>• Reimbursement (i.e. FHWA, FEMA)</td>
<td></td>
</tr>
<tr>
<td>• Back-up communications</td>
<td></td>
</tr>
<tr>
<td>• Update STICC specific procedures:</td>
<td></td>
</tr>
<tr>
<td>• Routine events</td>
<td></td>
</tr>
<tr>
<td>• Planned events</td>
<td></td>
</tr>
<tr>
<td>• Non-routine events</td>
<td></td>
</tr>
<tr>
<td>• Develop multi-disciplinary communications practices and procedures</td>
<td></td>
</tr>
</tbody>
</table>

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Strategy P3. Maintain an organizational structure to coordinate and support ETO activities.

**Existing State:** Regions do not have consistent organizational structures in place to support ETO activities. The Main Office ETO Bureau is not adequately staffed to manage the broad scope of ETO activities.

**Desired State:** A consistent ETO organizational structure with adequate staffing across the Department is in place. ETO staff has direct access to management. Staff understands and fulfills their ICS roles throughout the Department.

**Gap in Desired State:** The role of the Main Office ETO Bureau is not well understood throughout the Department and does not have adequate resources. Regional ETO activities need more monitoring, staffing, and statewide coordination. Knowledge of ETO history is scattered and is being lost through retirements.

**Effort:** Establish Main Office and Regional organizational structures with adequate resources. Ensure that everyone is aware of and familiar with their ETO function.

**Concept of Operations:** Refer to Table A-3 for Main Office vs. Regional responsibilities.

---

**Table A-3:**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Maintain ICS rosters with adequate depth</td>
<td>- Maintain ICS roster with adequate depth</td>
</tr>
<tr>
<td>- Maintain a team of Agency Representatives for deployment to the State EOC (SECC)</td>
<td>- Maintain a team of Agency Representatives for deployment to Local EOCs</td>
</tr>
<tr>
<td>- Clarify ICS staff duties/roles per NIMS requirements</td>
<td>- Clarify ICS staff duties/roles per NIMS requirements</td>
</tr>
<tr>
<td>- Develop a succession program so that ETO knowledge is not lost through retirements or departures</td>
<td>- Develop a succession program so that ETO knowledge is not lost through retirements</td>
</tr>
<tr>
<td>- Evaluate the location of the ETO Bureau and TIM function within the Department organization</td>
<td>- Ensure that adequate staff is assigned to ETO functions</td>
</tr>
<tr>
<td>- Increase awareness of ETO throughout the Department</td>
<td></td>
</tr>
</tbody>
</table>
Strategy P4. Ensure resources are in place to enable a wide range of ETO activities.

**Existing State:** There is a lack of dedicated resources (funding, staffing, and equipment) for ETO activities.

**Desired State:** The Department has the necessary resources in place to effectively respond to any emergency.

**Gap in Desired State:** Aging equipment, limited staff, and inadequate funding restrict the Department’s ability to efficiently respond.

**Effort:** Assess overall resource needs, prioritize investments and provide necessary funding.

**Concept of Operations:** Refer to Table A-4 for Main Office vs. Regional responsibilities.

---

**Table A-4:**

**Strategy P4 – Actions**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>■ Funding</td>
<td>■ Funding</td>
</tr>
<tr>
<td>• Establish a dedicated ETO budget and maintain an emergency fund</td>
<td>• Identify annual ETO budget needs</td>
</tr>
<tr>
<td>• Provide sufficient funds for STICC to operate for 24 hours, 7 days a week</td>
<td>• Appoint dedicated ETO staff in each region</td>
</tr>
<tr>
<td>■ Emergency Contracts</td>
<td>• Implement staff retention plan</td>
</tr>
<tr>
<td>■ Salt</td>
<td>• Implement Regional TIM response capabilities</td>
</tr>
<tr>
<td>■ Equipment rentals</td>
<td>• Assign TIM teams for response</td>
</tr>
<tr>
<td>■ Contractors</td>
<td>• Support statewide IMAT teams</td>
</tr>
<tr>
<td>■ Staffing</td>
<td>■ Staffing</td>
</tr>
<tr>
<td>• Ensure staff resources exist to maintain STICCC 24/7 operation</td>
<td>• Assess and prioritize ETO response equipment needs</td>
</tr>
<tr>
<td>• Provide statewide 24/7 IT support (i.e. Help Desk, desktop, etc.)</td>
<td>• Ensure maintenance of ETO related:</td>
</tr>
<tr>
<td>• Create dedicated ETO positions</td>
<td>■ Technology equipment</td>
</tr>
<tr>
<td>• Develop a staff retention plan</td>
<td>■ Communication Equipment (i.e., satellite phones, cell phones, air cards, etc.)</td>
</tr>
<tr>
<td>• Define and designate TIM team positions</td>
<td>■ Response equipment</td>
</tr>
<tr>
<td>• Develop and implement TIM response capabilities</td>
<td>■ Fleet equipment</td>
</tr>
<tr>
<td>• Develop IMAT teams</td>
<td>■ Supplies to target level</td>
</tr>
<tr>
<td>■ Tools/Equipment</td>
<td>• Interoperability among Regions</td>
</tr>
<tr>
<td>• Assess and prioritize ETO response equipment needs and propose sufficient budget for critical needs</td>
<td>• Monitor equipment availability</td>
</tr>
<tr>
<td></td>
<td>• Maintain an up-to-date inventory of equipment and supplies</td>
</tr>
</tbody>
</table>
**Table A-4:**
*Strategy P4 – Actions (Contd.)*

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Provide:</td>
<td></td>
</tr>
<tr>
<td>■ Assets, such as mobile command vehicle</td>
<td></td>
</tr>
<tr>
<td>■ Develop operations manual and training for the mobile command vehicle</td>
<td></td>
</tr>
<tr>
<td>■ Technology equipment</td>
<td></td>
</tr>
<tr>
<td>■ Response equipment</td>
<td></td>
</tr>
<tr>
<td>■ Communications equipment (i.e. satellite phone, cell phones, air cards, etc.)</td>
<td></td>
</tr>
<tr>
<td>• Monitor equipment availability</td>
<td></td>
</tr>
<tr>
<td>• Establish and implement standard TIM equipment patterns</td>
<td></td>
</tr>
<tr>
<td>• Keep an up-to-date inventory of equipment and supplies using NIMS “typing”</td>
<td></td>
</tr>
</tbody>
</table>
Strategy P5. Develop and monitor the progress and performance of the ETO program.

Existing State: Limited performance measures are in place to gauge the success of the ETO program.

Desired State: Have performance measures in place to gauge the success of the ETO program in meeting its goals.

Gap in Desired State: Lack of established ETO performance measures.

Effort: Develop consistent performance measures to monitor the progress of the ETO program.

Concept of Operations: Refer to Table A-5 for Main Office vs. Regional responsibilities.

Table A-5: Strategy P5 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
</table>
| ▪ Develop, implement, and monitor a statewide performance measures program for:  
  ▪ Preparedness  
  ▪ Response  
  ▪ Recovery  
  ▪ Develop a self assessment tool for Main Office and Regions to prioritize actions for improvement of the ETO program  
  ▪ Provide training in the use of the ETO self-assessment tool  
  ▪ Perform yearly Main Office self-assessment  
  ▪ Review Regional self-assessments and provide comments back to the Regions  
  ▪ Provide regular reports to management on performance progress, identifying successes impediments, and needs  
  ▪ Evaluate the Department’s compliance with NIMS requirements and develop corrective action plan, if necessary | ▪ Provide input to the development of the statewide performance measures program  
  ▪ Implement the statewide performance measures program  
  ▪ Perform Regional Self-Assessments  
  ▪ Provide yearly self-assessment results to Main Office  
  ▪ Provide quarterly progress reports |
Strategy P6. Train staff to meet NIMS requirements and to develop needed operational competencies to support ETO activities.

**Existing State:** The current training effort for staff and emergency responders needs to be strengthened and centrally monitored.

**Desired State:** Main Office maintains a training program to ensure that all staff is trained in the appropriate NIMS, ICS, and TIM courses. Required training should also include various software and information systems training to ensure that each staff member is competent in their respective ETO position and function.

**Gap in Desired State:** Most staff is trained in general NIMS/ICS courses, but there is no formal training program that ensures that the appropriate training has been completed. There is also no established training for TIM, information systems, software, and reimbursement programs.

**Effort:** Build upon current training efforts. Develop a comprehensive statewide ETO training program that contains all identified elements. Higher level training is dependent upon staff positions as well as ETO functions.

**Concept of Operations:** Refer to Table A-6 for Main Office vs. Regional responsibilities.

**Table A-6:**

<table>
<thead>
<tr>
<th>Strategy P6 – Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Office</strong></td>
</tr>
<tr>
<td>Facilitate and take NIMS and ICS courses that meet NIMS requirements</td>
</tr>
<tr>
<td>Track regional ETO related training</td>
</tr>
<tr>
<td>Key ETO staff should take FEMA Professional Development Series</td>
</tr>
<tr>
<td>Develop a TIM training program</td>
</tr>
<tr>
<td>Coordinate PMC training with SEMO</td>
</tr>
<tr>
<td>Define NYSDOT’s role in Radiological Preparedness (in conjunction with Employee Safety)</td>
</tr>
<tr>
<td>Develop training in practices for responder safety in Radiological Preparedness</td>
</tr>
<tr>
<td>Coordinate HAZMAT Awareness training</td>
</tr>
<tr>
<td>Provide FHWA and FEMA reimbursement programs training</td>
</tr>
<tr>
<td>Main Office</td>
</tr>
<tr>
<td>-------------</td>
</tr>
<tr>
<td>Provide information systems training that includes:</td>
</tr>
<tr>
<td>• GIS/DARS</td>
</tr>
<tr>
<td>• Regional Architecture</td>
</tr>
<tr>
<td>• DisasterLAN</td>
</tr>
<tr>
<td>• NY Alert</td>
</tr>
<tr>
<td>• MAMIS</td>
</tr>
<tr>
<td>• CARS Emergency Reports</td>
</tr>
<tr>
<td>• IIMS</td>
</tr>
<tr>
<td>• CEES/Site Manager</td>
</tr>
<tr>
<td>Provide training for STICC operators/ICS staff</td>
</tr>
</tbody>
</table>
Strategy P7. Identify and develop technology to improve efficiency and develop new capabilities.

Existing State: The current numerous and disparate technological systems are inefficient in supporting capabilities during ETO activities.

Desired State: Integrated simplified technological systems are functioning, which are efficient and take advantage of new technologies.

Gap in Desired State: Existing technology is not integrated, inefficient and not utilized to its full potential.

Effort: Evaluate existing technology to improve its effectiveness and assess the need for new capabilities.

Concept of Operations: Refer to Table A-7 for Main Office vs. Regional responsibilities.

**Table A-7:**
**Strategy P7 – Actions**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>■ Evaluate existing technological systems</td>
<td>■ Provide Main Office with information on</td>
</tr>
<tr>
<td>■ Determine if:</td>
<td>existing technological systems</td>
</tr>
<tr>
<td>■ All systems are needed</td>
<td>■ Follow the maintenance procedure and</td>
</tr>
<tr>
<td>■ The systems need to be coordinated</td>
<td>upgrade plan for ETO communications and</td>
</tr>
<tr>
<td>■ There is a better way to maintain systems</td>
<td>technology equipment</td>
</tr>
<tr>
<td>■ Develop a maintenance procedure and</td>
<td>■ Implement the following statewide</td>
</tr>
<tr>
<td>upgrade plan for ETO communications and technology equipment</td>
<td></td>
</tr>
<tr>
<td>■ Promote rapid and coordinated</td>
<td>technological systems:</td>
</tr>
<tr>
<td>implementation of new technologies</td>
<td>■ Voice communications</td>
</tr>
<tr>
<td>■ Specify the following statewide technological</td>
<td>■ Data communications</td>
</tr>
<tr>
<td>systems:</td>
<td>■ Information management</td>
</tr>
<tr>
<td>■ Voice communications</td>
<td>■ Record keeping</td>
</tr>
<tr>
<td>■ Data communications</td>
<td>■ Resource tracking</td>
</tr>
<tr>
<td>■ Information management</td>
<td>■ Performance measurement</td>
</tr>
<tr>
<td>■ Record keeping</td>
<td>■ Data Display</td>
</tr>
<tr>
<td>■ Resource tracking</td>
<td>■ Identify new technologies</td>
</tr>
<tr>
<td>■ Performance measurement</td>
<td>■ Implement:</td>
</tr>
<tr>
<td>■ Data Display</td>
<td>■ Interoperability and redundancy among</td>
</tr>
<tr>
<td>■ Develop a plan for TMC interoperability and</td>
<td>TMCs</td>
</tr>
<tr>
<td>redundancy</td>
<td>■ Technology for interoperable voice and</td>
</tr>
<tr>
<td>■ Adopt technology for interoperable voice and</td>
<td>data networks</td>
</tr>
<tr>
<td>data network</td>
<td></td>
</tr>
</tbody>
</table>
Strategy P8. Develop/support event or hazard specific plans to define Department functions.

Existing State: Plans are in place for some of the various events or hazards.

Desired State: Plans are in place to address the impacts of identified hazards and planned events.

Gap in Desired State: Current plans do not address all the planned or unexpected events that may occur.

Effort: Identify events and hazards that require pre-planning and develop plans that address the wide range of events and hazards.

Concept of Operations: Refer to Table A-8 for Main Office vs. Regional responsibilities.

**Table A-8:** Strategy P8 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintain Main Office COOP</td>
<td>Establish Regional COOPs</td>
</tr>
<tr>
<td>Develop guidelines for Regions to develop a database of Regional vulnerabilities</td>
<td>Develop and maintain a database of Regional vulnerabilities</td>
</tr>
<tr>
<td>Develop and maintain a database of vulnerabilities</td>
<td>Provide up-to-date vulnerability information to Main Office</td>
</tr>
<tr>
<td>Develop or contribute to:</td>
<td>Develop or contribute to:</td>
</tr>
<tr>
<td>• EOPs</td>
<td>• Regional EOPs</td>
</tr>
<tr>
<td>• SOPs</td>
<td>• Regional SOPs</td>
</tr>
<tr>
<td>• Corrective action and hazard mitigation plans</td>
<td>• Regional evacuation plans</td>
</tr>
<tr>
<td>• Short and long term recovery plans</td>
<td>• Dam failure plans</td>
</tr>
<tr>
<td>• Dam failure plans</td>
<td>• Regional Comprehensive Emergency Management Plan</td>
</tr>
<tr>
<td>• State Comprehensive Emergency Management Plan</td>
<td>• Special planning committees</td>
</tr>
<tr>
<td>• Special planning committees</td>
<td>• Plans for planned special events</td>
</tr>
<tr>
<td>• Plans for planned special events</td>
<td></td>
</tr>
<tr>
<td>Coordinate Regional contributions to evacuation plans</td>
<td>Establish plans for identified hazards and unplanned events, such as hurricanes</td>
</tr>
<tr>
<td>Coordinate regional plan development for identified hazards and unplanned events, such as hurricanes</td>
<td>Develop contingency plans for potential multi-modal and multi-regional transportation impacts</td>
</tr>
</tbody>
</table>
Strategy P9. Conduct regular drills and exercises to ensure competency and improve procedures.

**Existing State:** Not all Regions have formally adopted the practice of conducting regular drills and exercises.

**Desired State:** Main Office and Regions perform regular drills and exercises to test and improve procedures.

**Gap in Desired State:** There is a need to establish and implement a formal drill and exercise program.

**Effort:** Establish a formal program for performing drills and exercises.

**Concept of Operations:** Refer to Table A-9 for Main Office vs. Regional responsibilities.

**Table A-9:**

<table>
<thead>
<tr>
<th>Strategy P9 – Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Office</strong></td>
</tr>
<tr>
<td>Appoint a statewide drills/exercises coordinator/mentor</td>
</tr>
<tr>
<td>Develop and implement a statewide drills/exercises plan</td>
</tr>
<tr>
<td>Assess the effectiveness of conducted drills and exercises</td>
</tr>
<tr>
<td>Execute smaller scale drills such as routine events, to larger scale drills such as non-routine events</td>
</tr>
<tr>
<td>Execute statewide drills/exercises:</td>
</tr>
<tr>
<td>- Orientation seminars</td>
</tr>
<tr>
<td>- Table top exercises</td>
</tr>
<tr>
<td>- Functional exercises</td>
</tr>
<tr>
<td>- Full scale exercises</td>
</tr>
<tr>
<td>- ICS exercises</td>
</tr>
<tr>
<td>Participate in drills and exercises hosted by other transportation and responder agencies</td>
</tr>
<tr>
<td>Revise procedures based on drills</td>
</tr>
</tbody>
</table>
**Strategy P10.** Develop and foster internal and external partnerships.

**Existing State:** Various statewide agencies have a role in emergency operations but the established partnerships are inconsistent or nonexistent.

**Desired State:** A robust network of partner agencies to support ETO activities is in place with formal operational procedures.

**Gap in Desired State:** Operational procedures among partner agencies are not always formalized and are inconsistent statewide.

**Effort:** Conduct regular meetings among ETO partners. Build upon best practices developed in some of the regions with county emergency managers, ATIG, TIM activities and others.

**Concept of Operations:** Refer to Table A-10 for Main Office vs. Regional responsibilities.

**Table A-10: Strategy P10 – Actions**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Conduct a yearly ETO conference with internal and external stakeholders</td>
<td>- Attend yearly ETO conference</td>
</tr>
<tr>
<td>- Attend Conferences/Meetings/Seminars</td>
<td>- Attend Conferences/Meetings/Seminars</td>
</tr>
<tr>
<td>- Develop a plan to implement a statewide comprehensive, multi-disciplinary TIM program</td>
<td>- Implement plan for a statewide comprehensive, multi-disciplinary TIM program</td>
</tr>
<tr>
<td>- Hold periodic ETO meetings that may include:</td>
<td>- Identify specific agencies that need to be involved</td>
</tr>
<tr>
<td>- TIM stakeholders</td>
<td>- Foster agreement and procedures among responders agencies</td>
</tr>
<tr>
<td>- NYSTA</td>
<td></td>
</tr>
<tr>
<td>- RD/RDO/REM/RE</td>
<td>- Attend periodic ETO meetings that may include:</td>
</tr>
<tr>
<td>- TMC managers</td>
<td>- TIM stakeholders</td>
</tr>
<tr>
<td>- Traffic</td>
<td>- NYSTA</td>
</tr>
<tr>
<td>- DEC</td>
<td>- RD/RDO/REM/RE</td>
</tr>
<tr>
<td>- SEMO</td>
<td>- TMC managers</td>
</tr>
<tr>
<td>- County EMs</td>
<td>- Traffic</td>
</tr>
<tr>
<td>- DPC</td>
<td>- DEC</td>
</tr>
<tr>
<td>- Coast Guard</td>
<td>- SEMO</td>
</tr>
<tr>
<td>- Utilities</td>
<td>- County EMs</td>
</tr>
<tr>
<td>- Other agencies</td>
<td>- DPC</td>
</tr>
<tr>
<td>- Engage all Department Divisions to understand ETO and their role in ETO activities</td>
<td>- Coast Guard</td>
</tr>
<tr>
<td>- Establish/Revitalize TIG</td>
<td>- Utilities</td>
</tr>
<tr>
<td>- Coordinate with GTSC and DMV for driver training and awareness</td>
<td>- Other agencies</td>
</tr>
<tr>
<td>- Provide an agency representative to SEMO and other agencies</td>
<td>- Share best practices among Regions</td>
</tr>
<tr>
<td></td>
<td>- Coordinate ATIG</td>
</tr>
</tbody>
</table>
Strategy P11. Define and support the Department's security role.

**Existing State:** There remains ambiguity concerning the Department’s specific roles and responsibilities.

**Desired State:** There are clear expectations for the Department’s security role within the Department and among first responder partners.

**Gap in Desired State:** The Department’s security role has not been adequately identified and needs to be established.

**Effort:** Determine and implement the Department’s policy and guidance.

**Concept of Operations:** Refer to Table A-11 for Main Office vs. Regional responsibilities.

**Table A-11:**
**Strategy P11 – Actions**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
</table>
| Define security related actions and protocols for the three important areas:  
  - Critical infrastructure protection  
  - Awareness and information sharing  
    - Multi-modal public safety  
    - Roadway safety  
  - Operational issues  
    - Minimize risk to employees  
    - Provide clear partner expectations of Department capabilities  
| Provide input to three important areas  
  - Regions confirm critical infrastructure  
  - Reinforce or establish information sharing relationships and protocols with local and multi-modal partners  
  - Define Region’s unique security risks  
| Develop a statewide plan defining the Department’s role in security  
| Implement the statewide plan as developed by Main Office  
| Investigate the feasibility of implementing credentialing  
  - Meet with ETO partners to consider a credentialing system for staff  
  - Look at OHS, NIMS, and PE Board credentialing as examples  
| Conduct security specific training, drills and exercises  
| Develop and conduct security specific training, drills and exercises  
|

**Existing State:** The Department uses several independent ways to be aware of transportation impacts. Highway information is readily available; non-highway information is lacking.

**Desired State:** A functioning, integrated system is in place to maintain awareness of current and potential impacts to all transportation modes.

**Gap in Desired State:** Information on multi-modal transportation impacts is not readily available

**Effort:** Develop a uniform reporting process and integrate existing and new systems.

**Concept of Operations:** Refer to Table A-12 for Main Office vs. Regional responsibilities.

### Table A-12: Strategy P12 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve methods to monitor situational awareness/system status:</td>
<td>Implement methods to monitor situational awareness/system status</td>
</tr>
<tr>
<td>• Website (WTA, TIG, ETIPS)</td>
<td>• Provide input to statewide plan</td>
</tr>
<tr>
<td>• STICC</td>
<td>• Provide timely information to STICC according to established notification procedures</td>
</tr>
<tr>
<td>• SEMO</td>
<td>• Maintain regional integrated systems</td>
</tr>
<tr>
<td>• 511</td>
<td>• Provide Main Office with up-to-date potential transportation impacts</td>
</tr>
<tr>
<td>• ISP</td>
<td>• Develop contingency plans for potential multi-regional transportation impacts</td>
</tr>
<tr>
<td>• VMS &amp; HAR</td>
<td></td>
</tr>
<tr>
<td>• NWS</td>
<td></td>
</tr>
<tr>
<td>• RWIS</td>
<td></td>
</tr>
</tbody>
</table>

- Develop and implement a statewide plan for:
  - TMC information sharing
  - Integrated systems
  - Uniform reporting
  - Non-highway modes
- Maintain integrated statewide systems
- Strengthen STICC’s ability to monitor multi-modal events
- Maintain a “watch list” of potential transportation impacts based on identified vulnerabilities, recurring events, or forecasted events
- Develop contingency plans for potential multi-regional transportation impacts
Strategy P13. Develop and implement a public awareness and outreach program to raise public awareness about the ETO program and the public’s role.

Existing State: There is a limited statewide outreach program to inform the Public.

Desired State: A statewide outreach program is in place to educate the Public on its role during a transportation related events, ensure Public has access to timely travel information, and raise public awareness about the Department’s ETO planning and response efforts.

Gap in Desired State: An integrated approach for statewide public awareness of the ETO program.

Effort: Establish methods to provide awareness to the public about the ETO program and the public’s roles and responsibilities during an event.

Concept of Operations: Refer to Table A-13 for Main Office vs. Regional responsibilities.

Table A-13: Strategy P13 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>■ Develop and implement a statewide outreach program to inform the public about available traveler information sources, such as:</td>
<td>■ Provide input to the development of the statewide outreach program</td>
</tr>
<tr>
<td>■ 511</td>
<td>■ Implement and support the statewide outreach program to promote public awareness and education regarding the public’s role in safe efficient resolution of TIM events</td>
</tr>
<tr>
<td>■ TransAlert</td>
<td>■ Assign staff to promote regional outreach</td>
</tr>
<tr>
<td>■ VMS</td>
<td>■ Attend and display at public functions</td>
</tr>
<tr>
<td>■ HAR</td>
<td>■ Hold a yearly ETO day in the regions</td>
</tr>
<tr>
<td>■ Develop and implement a program to promote public awareness and education regarding the public’s role in safe efficient resolution of TIM events, such as:</td>
<td>■ Provide ETO speakers to public functions and schools</td>
</tr>
<tr>
<td>■ Move It legislation</td>
<td></td>
</tr>
<tr>
<td>■ Quick Clearance legislation</td>
<td></td>
</tr>
<tr>
<td>■ Driver safety during events</td>
<td></td>
</tr>
<tr>
<td>■ Work with media to promote Department efforts during events</td>
<td></td>
</tr>
<tr>
<td>■ Dedicate staff to carry out the program</td>
<td></td>
</tr>
<tr>
<td>■ Provide promotional materials for Main Office and regions to use</td>
<td></td>
</tr>
<tr>
<td>■ Hold a yearly ETO day with the legislators</td>
<td></td>
</tr>
<tr>
<td>■ Support outreach programs by ETO partners</td>
<td></td>
</tr>
<tr>
<td>■ Monitor Main Office and regional ETO outreach activities</td>
<td></td>
</tr>
</tbody>
</table>
RESPONSE
Strategy RS1.  Detect events in a timely manner.

**Existing State:** Multi-modal events and hazards are reported using various methods. Highway incidents are generally reported in a sufficient manner; incidents for other modes are inconsistent.

**Desired State:** Detect events and hazards, which may disrupt the transportation system, in a timely and efficient manner.

**Gap in Desired State:** Many independent systems are used to detect incidents, which are not coordinated and do not always provide sufficient information.

**Effort:** Research and determine additional methods for detecting events and hazards.

**Concept of Operations:** Refer to Table A-14 for Main Office vs. Regional responsibilities.

### Table A-14: Strategy RS1 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Maintain statewide communication capability using:</td>
<td>- Re-assess the ITS field deployment plan, particularly in high congestion areas and at interchanges:</td>
</tr>
<tr>
<td>- STICC</td>
<td>- CCTV</td>
</tr>
<tr>
<td>- IEN</td>
<td>- Detectors</td>
</tr>
<tr>
<td>- Create and maintain a statewide communications capability using a statewide video (traffic cameras) network</td>
<td></td>
</tr>
<tr>
<td>- Monitor the transportation system using the following:</td>
<td>- Maintain the following regional devices:</td>
</tr>
<tr>
<td>- STICC</td>
<td>- CCTV</td>
</tr>
<tr>
<td>- CARS</td>
<td>- Detectors</td>
</tr>
<tr>
<td>- CCTV</td>
<td>- Service Patrol</td>
</tr>
<tr>
<td>- Service Patrol</td>
<td>- Call boxes</td>
</tr>
<tr>
<td>- Call boxes</td>
<td>- Fleet reporting</td>
</tr>
<tr>
<td>- Fleet reporting</td>
<td>- CCTV</td>
</tr>
<tr>
<td>- RWIS</td>
<td>- IEN</td>
</tr>
<tr>
<td>- Improve use of NOAA/NWS/AccuweatherPro information for predicting weather impacts</td>
<td>- Service Patrol</td>
</tr>
<tr>
<td>- Partner with the following organizations to share data and/or equipment and also present consistent information to the traveling public:</td>
<td>- Call boxes</td>
</tr>
<tr>
<td>- Local/State Police</td>
<td>- Fleet reporting</td>
</tr>
<tr>
<td>- County EM</td>
<td>- SSTC of all verified events for all modes</td>
</tr>
<tr>
<td>- Multi-Modal Organizations</td>
<td>- Establish Regional relationships with the following local organizations:</td>
</tr>
<tr>
<td>- TRANSCOM</td>
<td>- Police</td>
</tr>
<tr>
<td>- NITTEC</td>
<td>- Transit agencies</td>
</tr>
<tr>
<td>- NYSTA</td>
<td>- County EM</td>
</tr>
<tr>
<td>- SEMO</td>
<td>- First responders</td>
</tr>
<tr>
<td></td>
<td>- 911 centers</td>
</tr>
<tr>
<td></td>
<td>- Media</td>
</tr>
</tbody>
</table>
Strategy RS2. Consistently assess the impact of events.

Existing State: There are no statewide procedures for assessing the impact of all types of events.

Desired State: Consistent procedures are used across the state to assess the impacts and extent of all events.

Gap in Desired State: Regions may use different procedures to assess similar events.

Effort: Establish procedures that Department personnel can use as a guide.

Concept of Operations: Refer to Table A-15 for Main Office vs. Regional responsibilities.

Table A-15: Strategy RS2 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Provide laptops for assessments</td>
<td>- Use laptops for assessments</td>
</tr>
<tr>
<td>- Ensure damage assessment personnel are trained and equipped</td>
<td>- Ensure damage assessment personnel are trained and equipped</td>
</tr>
<tr>
<td>- Establish:</td>
<td>- Understand and use common incident categories consistent with NIMS</td>
</tr>
<tr>
<td>- Incident categories consistent with NIMS</td>
<td>- Follow the guidelines for assessing the extent of an event</td>
</tr>
<tr>
<td>- Damage assessment procedures including use of standard GIS software</td>
<td>- Dispatch personnel as needed</td>
</tr>
<tr>
<td>- Guidelines for assessing the extent of an event, including:</td>
<td></td>
</tr>
<tr>
<td>- Is the road closed?</td>
<td></td>
</tr>
<tr>
<td>- Is Department assistance needed?</td>
<td></td>
</tr>
<tr>
<td>- Will the event last more than one hour?</td>
<td></td>
</tr>
<tr>
<td>- Is there damage to any Department facility?</td>
<td></td>
</tr>
<tr>
<td>- Are detours required relative to the incident?</td>
<td></td>
</tr>
<tr>
<td>- Are fatalities involved?</td>
<td></td>
</tr>
</tbody>
</table>
Strategy RS3. Respond using a scalable ICS structure; ensuring life safety first.

**Existing State:** Not all Regions have the same experience level in implementing an ICS structure.

**Desired State:** Regions and Main Office are proactive in using the appropriate level of ICS activation to manage all types of ETO events

**Gap in Desired State:** Regions and Main Office have varying triggers for activating a scalable ICS structure.

**Effort:** Establish statewide and regional ICS rosters and procedures.

**Concept of Operations:** Refer to Table A-16 for Main Office vs. Regional responsibilities.

---

**Table A-16:**

<table>
<thead>
<tr>
<th>Strategy RS3 – Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Office</strong></td>
</tr>
</tbody>
</table>

- Maintain an ICS structure consistent with MAP 6.2-1
- Establish:
  - Maintain pre-planned response crew configurations
  - The role for all Department employees in the ICS organization for large scale events
  - Triggers to go from routine to non-routine, ordinary to non-ordinary
  - Maintain a well equipped EOC (i.e. STICC)
  - A model for Regions to use defining roles under unified command for traffic incidents
- Ensure IAPs are developed and implemented

- Maintain a Regional ICS structure consistent with MAP 6.2-2
- Implement:
  - Pre-planned response crew configurations
  - The role for all Department employees in the ICS organization for large scale events
  - Triggers to go from routine to non-routine, ordinary to non-ordinary
  - Maintain a well equipped EOC
- Establish consistent Regional procedures for all events
- Define roles under unified command for traffic incidents based on statewide model
- Ensure IAPs are developed and implemented
Strategy RS4. Communicate with partners on a real-time basis.

**Existing State:** Communication with internal and external partners is relatively good but doesn’t always occur on a real-time basis.

**Desired State:** Be able to communicate with all internal and external partners during an ETO response on a real-time basis.

**Gap in Desired State:** Not all partner information systems are set up to communicate and share information on a real-time basis.

**Effort:** Enhance real-time communication with all partners.

**Concept of Operations:** Refer to Table A-17 for Main Office vs. Regional responsibilities.

### Table A-17: Strategy RS4 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>■ Maintain/update contact lists (e.g., telephone, email, etc.) for:</td>
<td>■ Maintain/update contact lists (e.g., telephone, email, etc.) for:</td>
</tr>
<tr>
<td>● Main Office and Regions</td>
<td>● Main Office and Regions</td>
</tr>
<tr>
<td>● All modes</td>
<td>● All modes</td>
</tr>
<tr>
<td>● Other transportation agencies</td>
<td>● Other transportation agencies</td>
</tr>
<tr>
<td>■ Include what the person is trained in, what duties they are capable of performing, and contact number(s) that they can be reached at 24/7</td>
<td>■ Include what the person is trained in, what duties they are capable of performing, and contact number(s) that they can be reached at 24/7</td>
</tr>
<tr>
<td>● Media</td>
<td>● Media</td>
</tr>
<tr>
<td>■ Provide prompt, reliable responder notification of events</td>
<td>■ Provide prompt, reliable responder notification of events</td>
</tr>
<tr>
<td>■ Develop and implement interoperable voice and data networks</td>
<td>■ Implement interoperable voice and data networks</td>
</tr>
<tr>
<td>■ Improve stakeholder relationships to support information/resource sharing with the following partners:</td>
<td>■ Improve stakeholder relationships to support information/resource sharing with the following partners:</td>
</tr>
<tr>
<td>● SEMO</td>
<td>● ATIG</td>
</tr>
<tr>
<td>● NYSTA</td>
<td>● City DOTs/DPWs</td>
</tr>
<tr>
<td>● Federal agencies</td>
<td>● Local police, fire and EMS</td>
</tr>
<tr>
<td>● MTA &amp; Port Authority</td>
<td>● City and county OEM</td>
</tr>
<tr>
<td>● TIG</td>
<td>● Media</td>
</tr>
<tr>
<td>● Homeland Security</td>
<td>● National Weather</td>
</tr>
<tr>
<td>● Media</td>
<td>● Multimodal</td>
</tr>
<tr>
<td>● National Weather</td>
<td>● Public</td>
</tr>
<tr>
<td>● Multimodal</td>
<td>● Elected Officials</td>
</tr>
<tr>
<td>● Public</td>
<td>● Local transit agencies</td>
</tr>
<tr>
<td>● Elected Officials</td>
<td>● Utilities</td>
</tr>
<tr>
<td>■ Establish and maintain an ICS dedicated email box for each region</td>
<td>■ Maintain and check dedicated ICS email box</td>
</tr>
</tbody>
</table>
Strategy RS5. Implement redundant communications.

Existing State: Some redundant communications is established, such as satellite phone, back-up email accounts, and radio relay systems.

Desired State: Agencies are able to communicate with response partners when primary systems fail.

Gap in Desired State: Complete redundant communications is not in place.

Effort: Enhance existing methods for establishing redundant communications.

Concept of Operations: Refer to Table A-18 for Main Office vs. Regional responsibilities.

Table A-18: Strategy RS5 – Actions

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
</table>
| - Develop a comprehensive back-up communications plan including procedures to ensure back-up communications are operable in the Main Office:  
  - Facsimile capability  
  - Digital and analog telephones  
  - Satellite telephones  
  - Government telecommunications service (GETS)  
  - WPS  
  - Back-up email accounts including OFT accounts  
  - Back-up internet access  
- Provide Regions with accounts for  
  - GETS/WPS  
  - OFT accounts  
  - Satellite telephones | - Follow back-up communications plan to ensure the following back-up communications are operable:  
  - Facsimile capability  
  - Digital and analog telephones  
  - Satellite telephones  
  - Government telecommunications service (GETS)  
  - WPS  
  - Back-up email accounts including OFT accounts  
  - Back-up internet access  
  - Air cards  
  - Broadband |
Strategy RS6. Provide timely travel information to the public and the media.

**Existing State:** Information is provided to the public and the media by various statewide information systems.

**Desired State:** Timely real-time traveler information, including traffic and construction information, is provided to travelers and the media.

**Gap in Desired State:** Limited options for receiving travel information

**Effort:** Improve methods to provide more personalized and timely travel information.

**Concept of Operations:** Refer to Table A-19 for Main Office vs. Regional responsibilities.

**Table A-19:**

*Strategy RS6 – Actions*

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>■ Partner with the media and information providers to facilitate broad information dissemination</td>
<td>■ Partner with the media and information providers to facilitate broad information dissemination</td>
</tr>
<tr>
<td>● Have press releases</td>
<td>● Have press releases</td>
</tr>
<tr>
<td>● Have interviews</td>
<td>● Have interviews</td>
</tr>
<tr>
<td>● For marketing</td>
<td>● For marketing</td>
</tr>
<tr>
<td>■ Evaluate and improve methods of providing information to the public and the media during events:</td>
<td>■ Implement the following methods of providing information to the public and the media during events:</td>
</tr>
<tr>
<td>● Website</td>
<td>● Website</td>
</tr>
<tr>
<td>■ WTA</td>
<td>■ WTA</td>
</tr>
<tr>
<td>■ Travel Information Gateway</td>
<td>■ Travel Information Gateway</td>
</tr>
<tr>
<td>■ NYSDOT</td>
<td>■ NYSDOT</td>
</tr>
<tr>
<td>■ ETIPS</td>
<td>■ ETIPS</td>
</tr>
<tr>
<td>■ TransAlerts</td>
<td>■ TransAlerts</td>
</tr>
<tr>
<td>● VMS</td>
<td>● VMS</td>
</tr>
<tr>
<td>● HAR</td>
<td>● HAR</td>
</tr>
<tr>
<td>● 511</td>
<td>● 511</td>
</tr>
<tr>
<td>■ PIO to work with media to promote Department efforts during events</td>
<td>■ PIO to work with media to promote Department efforts during events Provide information to ISPs (i.e., Shadow traffic, Metro traffic)</td>
</tr>
<tr>
<td>■ Provide information to ISPs (i.e., Shadow traffic, Metro traffic)</td>
<td>■ Provide information to ISPs (i.e., Shadow traffic, Metro traffic)</td>
</tr>
</tbody>
</table>
Strategy RS7. Deploy/Track/Demobilize resources during response activities.

**Existing State:** Deployments are coordinated through the STICC for large scale events.

**Desired State:** Clear procedures are in place for deploying and demobilizing resources during ETO response activities.

**Gap in Desired State:** Existing IT systems are not integrated for deploying and demobilizing resources, which requires a manual tracking for staffing and equipment.

**Effort:** Maintain resource management during resource activities.

**Concept of Operations:** Refer to Table A-20 for Main Office vs. Regional responsibilities.

---

**Table A-20: Strategy RS7 – Actions**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staffing</strong></td>
<td><strong>Staffing</strong></td>
</tr>
<tr>
<td>• Deploy IMAT teams</td>
<td>• Deploy TIM teams</td>
</tr>
<tr>
<td>• Engage technical specialists, as needed</td>
<td>• Utilize IMAT teams</td>
</tr>
<tr>
<td><strong>Centralize statewide resource deployments</strong></td>
<td>• Engage technical specialists, as needed</td>
</tr>
<tr>
<td><strong>Tools/Equipment</strong></td>
<td>• Provide support to other regions during ETO activations</td>
</tr>
<tr>
<td>• Monitor resource utilization</td>
<td><strong>Tools/Equipment</strong></td>
</tr>
<tr>
<td>• Track resources by NIMS typing</td>
<td>• Monitor and report on resource utilization</td>
</tr>
<tr>
<td><strong>Ensure Regional Emergency Contracts are in place</strong></td>
<td><strong>Ensure that when demobilizing and leaving the scene, everyone involved is notified and knows who is in charge</strong></td>
</tr>
<tr>
<td><strong>Develop a consistent demobilization plan format and guidance</strong></td>
<td><strong>Utilize Regional Emergency Contracts</strong></td>
</tr>
<tr>
<td></td>
<td>• Contractor</td>
</tr>
<tr>
<td></td>
<td>• Equipment rental</td>
</tr>
</tbody>
</table>
RECOVERY
Strategy RC1. Recover Department assets during demobilization.

**Existing State:** Large assets are tracked well: small assets are not.

**Desired State:** All Department assets are recovered during demobilization.

**Gap in Desired State:** There is no centralized inventory of small assets.

**Effort:** Document and track all Department assets during ETO activities.

**Concept of Operations:** Refer to Table A-21 for Main Office vs. Regional responsibilities.

---

**Table A-21:**

**Strategy RC1 – Actions**

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve coordination and tracking of statewide resource deployments using the Logistics Spreadsheet, including small equipment</td>
<td>Maintain a regional resource inventory by location</td>
</tr>
<tr>
<td>Maintain a statewide resource inventory by location</td>
<td>Perform resource tracking of all regional assets during response and recovery</td>
</tr>
<tr>
<td>Perform resource tracking of all statewide assets during multi-regional response and recovery operations</td>
<td>Categorize regional assets as:</td>
</tr>
<tr>
<td>Categorize statewide assets as:</td>
<td>• Expendable</td>
</tr>
<tr>
<td>• Expendable</td>
<td>• Replace used inventory</td>
</tr>
<tr>
<td>• Non-expendable</td>
<td>• Non-expendable</td>
</tr>
<tr>
<td>• Restore the asset to full functional capability and ready it for the next mobilization</td>
<td>• Restore the asset to full functional capability and ready it for the next mobilization</td>
</tr>
<tr>
<td>• Track broken and/or lost items</td>
<td>• Track broken and/or lost items</td>
</tr>
</tbody>
</table>


Strategy RC2. Conduct after-action reviews to evaluate performance and implement improved procedures.

**Existing State:** After-action reviews are not consistently performed for all major events.

**Desired State:** After-action reviews are conducted following each major event and for a cross section of minor events.

**Gap in Desired State:** Lack of after-action reviews.

**Effort:** Perform after-action reviews after all major and representative minor events.

**Concept of Operations:** Refer to Table A-22 for Main Office vs. Regional responsibilities.

---

**Table A-22:**

<table>
<thead>
<tr>
<th>Strategy RC2 – Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Office</strong></td>
</tr>
<tr>
<td>■ Conduct an after-action review after each major event and a representative sample of minor events</td>
</tr>
<tr>
<td>■ Include all stakeholders</td>
</tr>
<tr>
<td>■ Discuss what was done, what went well, and what could be improved</td>
</tr>
<tr>
<td>■ Analyze the quarterly reports from the regions to look for common problems and identify best practices</td>
</tr>
<tr>
<td>■ During quarterly meeting with all regions discuss ways to improve actions at events</td>
</tr>
</tbody>
</table>
Strategy RC3. Maximize reimbursement of funds from FEMA and FHWA.

**Existing State:** The process for applying for and acquiring reimbursement from FEMA and FHWA for emergency work is inefficient and not applied consistently. This situation results in delays in reimbursement and possible forfeiture of millions of dollars.

**Desired State:** All qualified reimbursements are received in a timely manner, and the FHWA emergency relief program is effectively administered for local governments.

**Gap in Desired State:** The process is complicated and not understood. Roles and responsibilities are not consistently applied statewide. There is no designated coordinator in each region to monitor the reimbursement process.

**Effort:** Establish and monitor a reimbursement procedure that regions can follow to expedite the reimbursement process.

**Concept of Operations:** Refer to Table A-23 for Main Office vs. Regional responsibilities.

---

**Table A-23:**

<table>
<thead>
<tr>
<th><strong>Strategy RC3 – Actions</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Office</strong></td>
</tr>
<tr>
<td>Improve and monitor a statewide system of accounting for reimbursement from FHWA and FEMA</td>
</tr>
<tr>
<td>Update and simplify the MAP procedures for FHWA and FEMA reimbursements</td>
</tr>
<tr>
<td>Provide reimbursement training</td>
</tr>
<tr>
<td>Develop means to extract information from MAMIS</td>
</tr>
<tr>
<td>Develop an improved process to track response costs</td>
</tr>
<tr>
<td>Report on the status and distribution of reimbursed funds</td>
</tr>
<tr>
<td>Improve automation of current processes</td>
</tr>
<tr>
<td>Provide support to reimbursement for multi-regional efforts</td>
</tr>
<tr>
<td>Provide appropriate staffing levels to administer the FEMA and FHWA programs</td>
</tr>
</tbody>
</table>
Strategy RC4. Identify and support implementation of changes to facilities and infrastructure to mitigate future adverse impacts.

**Existing State:** Mitigation projects are periodically done as part of the Region's capital program when resources are available.

**Desired State:** A mitigation process is in place to systematically evaluate and recommend improvements at hazard prone facilities or infrastructure.

**Gap in Desired State:** There is no systematic approach to identify and prioritize identified hazard prone locations so that mitigation options can be developed.

**Effort:** Use analysis of after action reports to identify facilities and infrastructure for evaluation of mitigation efforts.

**Concept of Operations:** Refer to Table A-24 for Main Office vs. Regional responsibilities.

---

**Table A-24:**

*Strategy RC4 – Actions*

<table>
<thead>
<tr>
<th>Main Office</th>
<th>Regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigate funding sources for mitigation projects</td>
<td>Use all sources including after action reports in support of proactive Preparedness activities to identify mitigation needs</td>
</tr>
<tr>
<td>Identify mitigation needs from all sources including after-action reports in support of proactive Preparedness activities</td>
<td>Follow guidelines to develop a database of ranked vulnerabilities that may affect transportation</td>
</tr>
<tr>
<td>Identify and monitor implementation of mitigation solutions identified by Regions</td>
<td></td>
</tr>
<tr>
<td>Develop guidelines for Regions to develop a database of ranked Regional vulnerabilities that may affect transportation</td>
<td></td>
</tr>
</tbody>
</table>
Appendix B: Self-Assessment Tool
For Main Office
Self-Assessment Tool of Emergency Transportation Operations
By New York State Department of Transportation for Main Office

This self-assessment tool provides a means to determine how well the NYSDOT Main Office is meeting the intent of the ETO strategies presented in the ETO Strategic Plan dated January 2009. Areas that need improvement can be identified and put in priority order. It is suggested that this tool be used annually.

The self-assessment is best done as a small group exercise. Those involved should represent the key aspects of ETO. Steps for conducting the exercise are:

1. Assemble a small group of key ETO players including the RD, RDO, REM, RTE, etc.
2. Provide the self-assessment tool to these key players before the assessment meeting
3. Have the key players score the assessment and bring the score sheets with them to the assessment meeting
4. Meet to discuss the scores and agree upon a consolidated score for each strategy.
5. Select three to five improvement areas to work on for the succeeding year.

This self-assessment is divided into three sections – preparedness, response, and recovery. Each section is divided into individually identified strategies continued in the ETO Strategic Plan. A number of questions are posed for each strategy. A score of zero to 50 should be given to each strategy with one being low and 50 being high. All questions have equal weight. Table B-1 provides guidance on scoring from zero to 50.

<table>
<thead>
<tr>
<th>Score</th>
<th>Description</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – 10</td>
<td>Not done or starting</td>
<td>Informal discussions only; no action taken</td>
</tr>
<tr>
<td>10 – 20</td>
<td>Very little done</td>
<td>Being investigated; minimal activity</td>
</tr>
<tr>
<td>20 – 30</td>
<td>Moderate effort</td>
<td>Limited practice; inconsistent application</td>
</tr>
<tr>
<td>30 – 40</td>
<td>Strong effort, still needs more</td>
<td>Generally accepted; not a standard practice</td>
</tr>
<tr>
<td>40 – 50</td>
<td>Excellent efforts and results</td>
<td>Accepted practice; documented standard</td>
</tr>
</tbody>
</table>

A summary score sheet is contained in Table B-2. It should be used after all strategies have been scored to rank order the responses. The lowest score should be ranked as number one. The top three to five responses should be considered for improvement during the next year unless other considerations, such as availability of resources, would change the rank order. The objective is to select three to five strategies to improve during the next year.
### Table B-2

**Main Office Summary Score Sheet**

Completed by: __________________________  Date: ________________

<table>
<thead>
<tr>
<th>Section</th>
<th>Strategy</th>
<th>Score</th>
<th>Rank</th>
<th>Selected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparedness</td>
<td>P1</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>P2</td>
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<td>P3</td>
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<td></td>
<td>P13</td>
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<tr>
<td>Response</td>
<td>RS1</td>
<td></td>
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<td></td>
<td>RS2</td>
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<td>RS6</td>
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<td></td>
<td>RS7</td>
<td></td>
<td></td>
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<tr>
<td>Recovery</td>
<td>RC1</td>
<td></td>
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<tr>
<td></td>
<td>RC2</td>
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<td>RC3</td>
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<tr>
<td></td>
<td>RC4</td>
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</tbody>
</table>
Section 1 – Preparedness

<p>| | | |</p>
<table>
<thead>
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</tr>
</thead>
<tbody>
<tr>
<td>P1</td>
<td>Have clear and effective policies to guide ETO activities been developed?</td>
<td>Score (0-50)</td>
</tr>
</tbody>
</table>

The following describes the activities needed for a score of 50:
- Policies have been developed for all field devices
- Policies have been developed for all TIM activities
- Overtime policies are in place reflecting current operations practice
- Consistent DOB policy is in place to ease the letting cap
- A dark signal policy is in place
- An ETO Mutual Aid/Shared Services policy is in place
- STICC specific policies have been updated
- Policy gaps have been identified and new policies are in place
- Existing policies have been reviewed and updated

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>P2</td>
<td>Have clear and effective procedures been developed to implement ETO policies?</td>
<td>Score (0-50)</td>
</tr>
</tbody>
</table>

The following describes the activities needed for a score of 50:
- Procedures for ICS activations have been improved and maintained
- Procedures have been developed for all ITS field devices
- An improved system for issuing/storing procedures has been developed
- Statewide procedures to deploy CCTV and detectors at various locations have been established
- The following procedures are developed and implemented for:
  - Multi-disciplinary TIM
  - Statewide IMAT
  - ETO
  - STICC
  - Overtime
  - Reimbursement
  - Multi-disciplinary communications practices and procedures
P3 | Has an organizational structure been maintained to coordinate and support ETO activities? | Score (0-50)
---|-------------------------------------------------|---

The following describes the activities needed for a score of 50:

- ICS rosters are maintained with adequate depth
- ICS staff duties/roles per NIMS requirements have been clarified
- A succession program has been developed so that ETO knowledge is not lost through retirements or departures
- The location of the ETO Bureau and TIM function within the NYSDOT organization has been evaluated
- Awareness of ETO throughout NYSDOT has been increased
- The organizational role of the REMs has been defined

P4 | Are resources in place to enable a wide range of ETO activities? | Score (0-50)
---|-------------------------------------------------|---

The following describes the activities needed for a score of 50:

- A dedicated ETO budget has been established and an emergency fund has been maintained
- Sufficient funds for STICC to operate for 24 hours, 7 days a week have been provided
- Emergency contracts are in place for salt, equipment rentals, and contractors
- Sufficient staff resources exist to maintain STICC 24/7 operation
- Statewide IT support is provided
- A staff retention plan has been developed
- TIM response capabilities have been developed and implemented
- TIM team positions have been defined and designated
- ETO response equipment needs have been assessed and prioritized and sufficient budget for critical needs has been proposed
- Dedicated ETO positions have been created
- IMAT teams have been developed
- Assets, such as mobile command vehicles, have been provided
- N operations manual and training for the mobile command vehicle has been provided
- Technology, response, and communications equipment has been provided
- Equipment availability is being monitored
- Standard TIM equipment patterns have been established and implemented
- An up-to-date inventory of equipment and supplies using NIMS "typing" has been maintained
P5  Has the progress and performance of the ETO program been developed and monitored?  Score (0-50)

The following describes the activities needed for a score of 50:

- Statewide performance measures program has been developed, implemented, and monitored for preparedness, response, and recovery
- A self-assessment tool for Main Office and Regions has been developed to prioritize actions for improvement of the ETO program
- Training in the use of the ETO self-assessment tool has been provided
- Yearly Main Office self-assessments are performed
- Regional self-assessments and are reviewed and comments are provided back to the Regions
- Regular reports are provided to management on performance progress, identifying successes impediments, and needs
- NYSDOT compliance with NIMS requirements have been evaluated and corrective action plans have been developed, if necessary

P6  Has staff been trained to meet NIMS requirements and to develop needed operational competencies to support ETO activities?  Score (0-50)

The following describes the activities needed for a score of 50:

- Regional training is tracked
- NIMS and ICS courses that meet NIMS requirements have been facilitated and taken
- Key ETO staff have taken the FEMA Professional Development Services
- A TIM training program has been developed
- PMC training has been coordinated with SEMO
- NYSDOT’s role in Radiological Preparedness has been defined
- Training in practices for responder safety in Radiological Preparedness has been developed
- HAZMAT Awareness training has been coordinated
- Training for FHWA and FEMA reimbursement programs has been provided
- Training for information systems has been provided
- Training for STICC operators and ICS staff has been provided

P7  Has technology been identified and developed to improve efficiency and develop new capabilities?  Score (0-50)

The following describes the activities needed for a score of 50:

- Existing technological systems have been evaluated
• A maintenance procedure and upgrade plan for ETO communications and technology equipment has been developed
• Implementation of new technologies has been promoted in a rapid and coordinated manner
• Statewide technological systems have been specified
• A plan for TMC interoperability and redundancy has been developed
• Technology has been adopted for interoperable voice and data networks

<table>
<thead>
<tr>
<th>P8</th>
<th>Have event or hazard specific plans been developed to define Department functions?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

• Main Office COOPs have been maintained
• Guidelines for Regions to develop a database of Regional vulnerabilities has been developed
• A database of statewide vulnerabilities has been developed and maintained
• The following are developed or contributed to:
  o EOPs
  o SOPs
  o Corrective action and hazard mitigation plans
  o Short and Long term recovery plans
  o Dam failure plans
  o State Comprehensive Emergency Management Plan
  o Special planning committees
  o Plans for planned special events
• Regional contributions to evacuation plans have been coordinated
• Regional plan development for identified hazards and unplanned vents, such as hurricanes, have been coordinated
• Contingency plans for potential multi-modal and multi-regional transportation impacts have been developed

<table>
<thead>
<tr>
<th>P9</th>
<th>Have regular drills and exercises been conducted to ensure competency and to improve procedures?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

• A statewide drill/exercises coordinator/mentor has been appointed
• A statewide drills/exercises plan has been developed and implemented
• The effectiveness of conducted drills and exercises has been assessed
• Smaller scale drills, such as routine events, to larger scale drills such as non-routine events have been executed
• Drills and exercises hosted by other transportation and responder agencies are participated in
Information on the effectiveness of conducted drills and exercises is provided to the Main Office.
Procedures are revised based on drills.
Regional drills/exercises that include orientation seminars, and Table tops/Functional/Full scale/ICS exercises have been developed and executed.

<table>
<thead>
<tr>
<th>P10</th>
<th>Have internal and external partnerships been developed and fostered?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:
- A yearly ETO conference with internal and external stakeholders was conducted
- A statewide comprehensive TIM program has been developed
- Periodic ETO meetings have been held
- All NYSDOT Divisions have been engaged to understand ETO and their role in ETO activities
- TIG has been established and revitalized
- Have coordinated with GTSC and DMS for driver training and awareness
- An agency representative has been provided to SEMO and other agencies

<table>
<thead>
<tr>
<th>P11</th>
<th>Has the Department's security role been defined and supported?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:
- Security related actions and protocols have been defined for critical infrastructure protection, Awareness and information sharing, and operational issues
- Statewide plan defining the Department’s role in security has been developed
- Security specific training, drills and exercises have been developed and conducted
- The feasibility of implementing credentialing has been investigated

<table>
<thead>
<tr>
<th>P12</th>
<th>Has awareness of current and potential multi-modal transportation impacts been maintained?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:
- Methods to monitor situational awareness/system status have been improved
- A statewide plan has been developed and implemented for TMC information sharing, integrated systems, uniform reporting, and non-highway modes
- STICC’s ability to monitor multi-modal events has been strengthened
- Integrated systems have been maintained
A “watch list” of potential transportation impacts based on identified vulnerabilities, recurring events, or forecasted events is maintained.

A contingency plan for potential multi-regional transportation impacts has been developed.

<table>
<thead>
<tr>
<th>P13</th>
<th>Has a public awareness and outreach program been developed and implemented to raise public awareness about the ETO program?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- A statewide outreach program has been developed and implemented to inform the public about available traveler information sources.
- A program to promote public awareness and education regarding the public’s role in safe efficient resolution of TIM events has been developed and implemented.
- Have worked with the media to promote Department efforts during events.
- Staff is assigned to carry out the program.
- Provided promotional materials for Main Office and Regions to use.
- Main Office and Regional outreach activities have been monitored.
- A yearly ETO day is held with legislators.
- ETO partner outreach programs have been supported.
Section 2 – Response

RS1 | Are events detected in a timely manner? | Score (0-50)
---|---|---
The following describes the activities needed for a score of 50:
- Statewide communication capability has been maintained
- A statewide communications capability using a statewide video (traffic cameras) network has been created and maintained
- The transportation system is being monitored using STICC, CARS, CCTV, Service Patrols, Call boxes, Fleet reporting, and RWIS
- The use of NOAA/NWS/AccuweatherPro information for predicting weather impacts has been improved
- Partnerships have been established with organizations to share data and/or equipment and also present consistent information to the traveling public

RS2 | Is the impact of an event consistently assessed? | Score (0-50)
---|---|---
The following describes the activities needed for a score of 50:
- Laptops have been provided for assessments
- Damage assessment personnel are trained and equipped
- Common incident categories consistent with NIMS have been established
- Damage assessment procedures, including use of standard GIS software, have been established
- Guidelines for assessing the extent of an event have been established

RS3 | Are scalable ICS structures used during response; ensuring life safety first? | Score (0-50)
---|---|---
The following describes the activities needed for a score of 50:
- An ICS structure consistent with MAP 6.2-1 has been maintained
- Consistent Regional procedures for all events is established
- Pre-planned response crew configurations are maintained
- A model for Regions to use defining roles under unified command for traffic incidents has been established
- IAPs have been developed and implemented
- A well equipped EOC is maintained
- The role for all Department employees in the ICS organization has been developed for large scale events
- Triggers to go from routine to non-routine, ordinary to non-ordinary have been established

<table>
<thead>
<tr>
<th>RS4</th>
<th>Are partners communicated with on a real-time basis?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Contact lists for Main Office, Regions, all modes, other transportation agencies, and the media have been maintained and updated
- Prompt, reliable responder notification of events is provided
- Interoperable voice and data networks are developed and implemented
- Stakeholder relationships are improved to support information/resource sharing
- A dedicated ICS email box for each Region has been established and maintained

<table>
<thead>
<tr>
<th>RS5</th>
<th>Has redundant communications been implemented?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- A comprehensive back-up communications plan, including procedures to ensure back-up communications are operable in the Main Office, has been developed
- Accounts have been provided to Regions for GETS/WPS, OFT and satellite telephones

<table>
<thead>
<tr>
<th>RS6</th>
<th>Is timely travel information provided to the public and the media?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- The media and information providers are treated as partners to facilitate broad information dissemination
- Methods of providing information to the public and the media during events have been evaluated and improved
- PIOs work with the media to promote Department efforts during events
- Information is provided to ISPs

<table>
<thead>
<tr>
<th>RS7</th>
<th>Are resources deployed/tracked/demobilized during response activities?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>
The following describes the activities needed for a score of 50:

- IMAT teams are being deployed
- Statewide resource deployments are coordinated
- Technical specialists have been engaged, as needed
- Resource utilization is monitored
- Resources have been tracked by NIMS typing
- Regional Emergency Contracts are in place
- A consistent demobilization plan format and guidance has been developed

Section 3 – Recovery

<table>
<thead>
<tr>
<th>RC1</th>
<th>Are Department assets recovered during demobilization?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Coordination and tracking of statewide resource deployments has been improved using the Logistics Spreadsheet, including small equipment
- A statewide resource inventory by location is maintained
- Resource tracking of all statewide assets is performed during multi-regional response and recovery operations
- Statewide assets are categorized as expendable versus non-expendable

<table>
<thead>
<tr>
<th>RC2</th>
<th>Are after-action reviews are conducted to evaluate performance and determine ways to improve procedures?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- After-action reviews are conducted after each major event and a representative example of minor events
- Quarterly reports from Regions are analyzed to look for common problems and identify best practices
- Ways to improve actions at events are discussed during quarterly meetings with all regions
<table>
<thead>
<tr>
<th>RC3</th>
<th>Are reimbursement of funds from FEMA and FHWA maximized?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- A statewide system of accounting for reimbursement from FHWA and FEMA has been improved and monitored
- MAP procedures for FHWA and FEMA reimbursements have been updated and simplified
- Reimbursement training has been provided
- A means to extract information from MAMIS has been developed
- An improved process to track response costs has been developed
- Automation of current processes has been improved
- Support to reimbursement for multi-regional efforts has been provided
- Appropriate staffing levels to administer the FEMA and FHWA programs has been provided

<table>
<thead>
<tr>
<th>RC4</th>
<th>Have implementation of changes to facilities and infrastructure been identified and supported to mitigate future adverse impacts?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Funding sources for mitigation projects have been investigated
- Mitigation needs from after-action reports have been identified
- Implementation of mitigation solutions identified by Regions have been identified and monitored
- Guidelines for Regions to develop a database of ranked Regional vulnerabilities that may affect transportation has been developed
Appendix C: Self-Assessment Tool For Regions
Self-Assessment Tool of Emergency Transportation Operations

By New York State Department of Transportation for Regions

This self-assessment tool provides a means to determine how well the NYSDOT Regions are meeting the intent of the ETO strategies presented in the ETO Strategic Plan dated January 2009. Areas that need improvement can be identified and put in priority order. It is suggested that this tool be used annually.

The self-assessment is best done as a small group exercise. Those involved should represent the key aspects of ETO. Steps for conducting the exercise are:

1. Assemble a small group of key ETO players including the RD, RDO, REM, RTE, etc.
2. Provide the self-assessment tool to these key players before the assessment meeting.
3. Have the key players score the assessment and bring the score sheets with them to the assessment meeting.
4. Meet to discuss the scores and agree upon a consolidated score for each strategy.
5. Select three to five improvement areas to work on for the succeeding year.

This self-assessment is divided into three sections – preparedness, response, and recovery. Each section is divided into individually identified strategies contained in the ETO Strategic Plan. A number of questions are posed for each strategy. A score of zero to 50 should be given to each strategy with one being low and 50 being high. All questions have equal weight. Table C-1 provides guidance on scoring from zero to 50.

<table>
<thead>
<tr>
<th>Score</th>
<th>Description</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – 10</td>
<td>Not done or starting</td>
<td>Informal discussions only; no action taken</td>
</tr>
<tr>
<td>10 – 20</td>
<td>Very little done</td>
<td>Being investigated; minimal activity</td>
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<tr>
<td>20 – 30</td>
<td>Moderate effort</td>
<td>Limited practice; inconsistent application</td>
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<tr>
<td>30 – 40</td>
<td>Strong effort, still needs more</td>
<td>Generally accepted; not a standard practice</td>
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<tr>
<td>40 – 50</td>
<td>Excellent efforts and results</td>
<td>Accepted practice; documented standard procedure</td>
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</tbody>
</table>

A summary score sheet is contained in Table C-2. It should be used after all strategies have been scored to rank order the responses. The lowest score should be ranked as number one. The top three to five responses should be considered for improvement during the next year unless other considerations, such as availability of resources, would change the rank order. The objective is to select three to five strategies to improve during the next year.
### Table C-2

**Region Summary Score Sheet**

Completed by: ___________________________  Date: ________________

<table>
<thead>
<tr>
<th>Section</th>
<th>Strategy</th>
<th>Score</th>
<th>Rank</th>
<th>Selected</th>
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<tbody>
<tr>
<td>Preparedness</td>
<td>P1</td>
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<td>Response</td>
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<td>Recovery</td>
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<td>RC4</td>
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## Section 1 – Preparedness

<table>
<thead>
<tr>
<th>P1</th>
<th>Have clear and effective policies to guide ETO activities been developed?</th>
<th>Score (0-50)</th>
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</table>

The following describes the activities needed for a score of 50:

- Regional policies have been developed for all ITS field devices based on the statewide policy
- The following is implemented:
  - Policies for all TIM activities
  - Overtime policies reflecting current operations practice
  - A Dark Signal policy
  - An ETO Mutual Aid/Shared Services policy
  - STICC specific policies
- Policy changes have been recommended
- Policies have been revised based on Main Office changes

<table>
<thead>
<tr>
<th>P2</th>
<th>Have clear and effective procedures been developed to implement ETO policies?</th>
<th>Score (0-50)</th>
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</table>

The following describes the activities needed for a score of 50:

- Regional procedures have been developed for all ITS field devices based on statewide procedures
- TIM teams have been established
- The following ETO procedures have been implemented for:
  - ICS activations
  - Incident response
  - TIM
  - STICC
  - Overtime
  - Reimbursement
  - Multi-disciplinary communications practices and procedures
- TMC procedures are developed to support ETO

<table>
<thead>
<tr>
<th>P3</th>
<th>Has an organizational structure been maintained to coordinate and support ETO activities?</th>
<th>Score (0-50)</th>
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</thead>
</table>

The following describes the activities needed for a score of 50:
- ICS rosters are maintained with adequate depth
- ICS staff duties/roles are clarified per NIMS requirements
- A succession program is developed so that ETO knowledge is not lost through retirements
- Adequate staff is assigned to ETO functions

### P4
**Are resources in place to enable a wide range of ETO activities?**

**Score (0-50)**

The following describes the activities needed for a score of 50:

- ETO budget needs are identified annually
- ETO response equipment needs are assessed and prioritized
- Equipment availability is monitored
- ETO response equipment needs are assessed and prioritized
- An up-to-date inventory of equipment and supplies is maintained
- ETO related equipment is maintained
- Dedicated ETO staff is appointed in each Region

### P5
**Has the progress and performance of the ETO program been developed and monitored?**

**Score (0-50)**

The following describes the activities needed for a score of 50:

- Statewide performance measures program is implemented
- Regional self-assessments are performed and results are provided to the Main Office
- Quarterly progress reports are provided to the Main Office

### P6
**Has staff been trained to meet NIMS requirements and to develop needed operational competencies to support ETO activities?**

**Score (0-50)**

The following describes the activities needed for a score of 50:

- Staff training is tracked and reported to the Main Office
- The following training has been taken:
  - NIMS and ICS courses that meet NIMS requirements
  - FEMA Professional Development Series taken by key staff
  - Multi-disciplinary NIMS and TIM
  - PMC
  - Practices for responder safety in Radiological Preparedness
- HAZMAT awareness
- FHWA and FEMA reimbursement program
- Information systems
- TMC operators and ICS staff

<table>
<thead>
<tr>
<th>P7</th>
<th>Has technology been identified and developed to improve efficiency and develop new capabilities?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Information on existing technological systems has been provided to the Main Office
- The maintenance procedure and upgrade plan for communications and technology equipment has been followed
- Statewide technological systems have been implemented
- There is established interoperability and redundancy among TMCs
- Technology for interoperable voice and data networks has been implemented

<table>
<thead>
<tr>
<th>P8</th>
<th>Have event or hazard specific plans been developed to define Department functions?</th>
<th>Score (0-50)</th>
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</thead>
</table>

The following describes the activities needed for a score of 50:

- Regional COOPs have been established
- A database of Regional vulnerabilities is developed and maintained, and up-to-date information is provided to the Main Office
- The following has been developed or contributed to:
  - Regional EOPs
  - Regional SOPs
  - Regional Comprehensive Emergency Management Plan
  - Regional evacuation plans
  - Dam failure plans
  - Special planning committees
  - Plans for planned special events
  - Plans for identified hazards and unplanned events, such as hurricanes
  - Contingency plans for potential multi-regional transportation impacts

<table>
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<tr>
<th>P9</th>
<th>Have regular drills and exercises been conducted to ensure competency and to improve procedures?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:
- Smaller scale drills, such as routine events, to larger scale drills, such as non-routine events have been executed
- Participated in drills and exercises hosted by other transportation and responder agencies are
- Information on the effectiveness of conducted drills and exercises is provided to the Main Office
- Procedures are revised based on drills
- Develop and execute Regional drills/exercises that include orientation seminars, and Table top/Functional/Full scale/ICS exercises
- Statewide drills/exercises plan has been implemented

<table>
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<tr>
<th>P10</th>
<th>Have internal and external partnerships been developed and fostered?</th>
<th>Score (0-50)</th>
</tr>
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</table>

The following describes the activities needed for a score of 50:

- Attended a yearly ETO conferences
- Statewide comprehensive TIM program is implemented
- Attended periodic ETO meetings
- Best practices were shared among Regions
- ATIG is coordinated

<table>
<thead>
<tr>
<th>P11</th>
<th>Has the Department’s security role been defined and supported?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Statewide plan defining DEPARTMENT’s role in security is implemented
- Security specific training, drills and exercises are conducted
- Critical infrastructure in Regions is confirmed
- Information sharing relationships and protocols with local and multi-modal partners is established and reinforced
- Region’s unique security risks are defined

<table>
<thead>
<tr>
<th>P12</th>
<th>Has awareness of current and potential multi-modal transportation impacts been maintained?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Methods to monitor situational awareness/system status are implemented
- Timely information to STICC is provided according to established notification procedures
- Regional integrated systems are maintained
- Up-to-date potential transportation impacts is provided to the Main Office

P13 | Has a public awareness and outreach program been developed and implemented to raise public awareness about the ETO program? | Score (0-50)

The following describes the activities needed for a score of 50:

- Statewide outreach program is implemented and supported to promote public awareness and education regarding the public’s role in safe efficient resolution of TIM events
- Staff is assigned to promote Regional outreach
- ETO displays and speakers were provided to public functions
- A yearly ETO day is held in the Regions
- ETO speakers were provided to schools

Section 2 – Response

RS1 | Are events detected in a timely manner? | Score (0-50)

The following describes the activities needed for a score of 50:

- ITS field devices are installed at various locations statewide particularly in high congestion areas and at interchanges
- Events are detected and verified using approved methods
- All verified events for all modes is reported to STICC
- Regional relationships are established with local organizations

RS2 | Is the impact of an event consistently assessed? | Score (0-50)

The following describes the activities needed for a score of 50:

- Laptops are used for assessments
- Damage assessment personnel are trained and equipped
- Common incident categories consistent with NIMS are understood and used
• Guidelines for assessing the extent of an event are followed
• Personnel are dispatched as needed

RS3 | Are scalable ICS structures used during response; ensuring life safety first? | Score (0-50)
---|---|---

The following describes the activities needed for a score of 50:
• A Regional ICS structure consistent with MAP 6.2-2 is maintained
• Consistent Regional procedures for all events are established
• Roles are defined under unified command for traffic incidents based on statewide model
• IAPs are developed and implemented
• A well equipped EOC is maintained
• The role for all Department employees in the ICS organization is implemented for large scale events
• Pre-planed response crew configurations are implemented
• Triggers are implemented to go from routine to non-routine, ordinary to non-ordinary

RS4 | Is communication with partners on a real-time basis? | Score (0-50)
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The following describes the activities needed for a score of 50:
• Contact lists for Main Office, Regions, all modes, other transportation agencies, and the media are maintained and updated
• Prompt, reliable responder notification of events is provided
• Interoperable voice and data networks are implemented
• Stakeholder relationships are improved to support information/resource sharing
• Dedicated ICS email box is maintained and checked periodically

RS5 | Has redundant communications been implemented? | Score (0-50)
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The following describes the activities needed for a score of 50:
• Back-up communications plan is followed to ensure back-up communications are operable
<table>
<thead>
<tr>
<th>RS6</th>
<th>Is timely travel information provided to the public and the media?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Are the media and information providers used as partners to facilitate broad information dissemination
- Information is provided to the public and the media during events using implemented methods
- Regional PIOs work with the media to promote Department efforts during events
- Information is provided to ISPs

<table>
<thead>
<tr>
<th>RS7</th>
<th>Are resources deployed/tracked/demobilized during response activities?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- Support is provided to other Regions during ETO activations
- Resource utilization is monitored and reported on
- When demobilizing and leaving the scene, everyone involved is notified and knows who is in charge
- Regional Emergency Contracts are established

**Section 3 – Recovery**

<table>
<thead>
<tr>
<th>RC1</th>
<th>Are Department assets recovered during demobilization?</th>
<th>Score (0-50)</th>
</tr>
</thead>
</table>

The following describes the activities needed for a score of 50:

- A Regional resource inventory by location is maintained
- Resource tracking of all regional assets is performed during response and recovery
- Regional assets are categorized as expendable versus non-expendable

<table>
<thead>
<tr>
<th>RC2</th>
<th>Are after-action reviews conducted to evaluate performance and determine ways to improve procedures?</th>
<th>Score (0-50)</th>
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</table>

The following describes the activities needed for a score of 50:
- After-action reviews are conducted after each major event and a representative example of minor events
- After-action reports are reviewed every quarter to evaluate improvements in handling events
- Quarterly reports are provided to the Main Office, including an assessment of improvements resulting from the after action reviews

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<thead>
<tr>
<th>RC3</th>
<th>Are reimbursement of funds from FEMA and FHWA maximized?</th>
<th>Score (0-50)</th>
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The following describes the activities needed for a score of 50:

- Regional coordinator responsibilities are assigned to a consistent position statewide to be in charge of the reimbursement process and work with local partners
- All paperwork is monitored and DDIRs and PWs are submitted in a timely manner
- Regional accounting of outstanding reimbursement is monitored

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<tr>
<th>RC4</th>
<th>Have implementation of changes to facilities and infrastructure been identified and supported to mitigate future adverse impacts?</th>
<th>Score (0-50)</th>
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The following describes the activities needed for a score of 50:

- After-action reports are used to identify mitigation needs
- Guidelines are followed to develop a database of ranked vulnerabilities that may affect transportation
Appendix D:
New York State
Executive Order #26.1
Appendix E:
Applying WITT Report
Findings at NYSDOT
A team from the Office of Operations Management has reviewed the Independent Report on the Mid-February 2007 Winter Storm Response for the Commonwealth of Pennsylvania (3/27/07) – the “WITT Report”. This report lists dozens of findings and recommended actions for PennDOT, Pennsylvania State Police, and the Pennsylvania Emergency Management Agency (PEMA). These recommendations were evaluated to determine where NYSDOT lies in comparison and where we can benefit from the lessons learned by our neighbor to the south. Specific focus was directed to the findings/recommendations for inter-agency coordination and where DOT specific concerns were outlined.

Overall, the Department appears to be in a better position than was Pennsylvania at the time of the February 14th storm; however, there were several vulnerabilities identified within DOT when looking at the findings by James Lee Witt Associates. The most important issues identified related to; staffing (emergency transportation operations and maintenance worker series), training (NIMS/ICS), equipment (snow and ice and RWIS), and improved coordination with partner agencies. Detailed recommendations follow in the analysis below.

For the purposes of this evaluation, the findings and recommendations in the Witt Report were categorized into four major groups:

1. Interagency Coordination
2. Preparedness
3. Operating Capability and Management
4. Communications – Internal and Public Information

This synopsis will evaluate each of these major categories for NYSDOT as benchmarked against the situation and operating conditions in Pennsylvania. Specific recommendations for action at NYSDOT follow each section.

1. INTERAGENCY COORDINATION:

Findings in WITT Report:

- No consistent reporting or documentation procedures
- Lack of “common language” and clear roles/responsibilities in the statewide response
- PennDOT did not understand how to work alongside PEMA – lack of clear expectation of PennDOT from PEMA
- State Police and PennDOT did not communicate with locals regarding traffic detours
NYSDOT Status:

The NYSDOT has had a long relationship with SEMO and partner agencies that has been established through involvement in past events and drills. During events of statewide significance, the Department maintains a presence at the Statewide Emergency Coordination Center (SECC – SEMO) through an agency representative. The Department participates in planning activities and committees routinely. The role that SEMO plays in inter-agency coordination is important and is generally effective.

The Disaster Preparedness Commission (DPC), which is comprised of the commissioners, directors or chairpersons of 23 State agencies (including NYSDOT) and one volunteer organization (the American Red Cross), meets at least biannually and has the following responsibilities: to prepare State disaster plans; direct State disaster operations and coordinate those with local government operations; and coordinate federal, State and private recovery efforts.

As an agency, the NYSDOT began 24/7 operations of its Statewide Transportation Information and Coordination Center (STICC) in the fall of 2006. The STICC aims to coordinate information and operational needs among our 11 Regional Offices, including 10 Regional Transportation Management Centers, and our partner agencies and modal transportation providers (i.e. Thruway, rail, airports, and neighboring states). This new opportunity allows us to coordinate information and operating needs across the state and northeast region in real time to ensure management awareness and quick response to developing events. Work continues to establish and strengthen the full capability of the STICC coordination function. This will be a long-term process that could be accelerated with the addition of full time staff.

The WITT report made these findings in regard to Interagency Coordination:

- No consistent reporting or documentation procedures

The State Emergency Management Office (SEMO) uses a software, DisasterLAN, to coordinate state agency reporting and resource requests. NYSDOT utilizes this system to provide updates on transportation system status in a pre-determined format. SEMO then compiles all state agency reports into a statewide “Situation Report” for the Governor. The Planning Section Chief at DOT has the responsibility for the development of these reports. The reports include situational information for DOT executive management as well as DOT resource deployments. There is some need for DOT to improve documentation practices for actions taken during emergency response.

- Lack of “common language” and clear roles/responsibilities in the statewide response

Again, the roles of state agencies are established based on operating capabilities and are outlined in the State Comprehensive Emergency Management Plan (SCEMP). Resource
requests are coordinated through the SECC and each agency responds based on its ability to fulfill the requests. The use of common language is a basic element of ICS and a consistent effort is made by DOT to eliminate the use of “jargon” and acronyms when reporting to SEMO.

- **PennDOT did not understand how to work alongside PEMA – lack of clear expectation of PennDOT from PEMA**

SEMO has overall statewide coordination responsibility, but often DOT has internal operating challenges in response to an event. DOT needs to balance managing internal operations while remaining responsive to overall emergency response needs (as requested by SEMO though assigned “missions”). Mostly, DOT and SEMO understand our respective roles, but more work must be done to strengthen our working relationship.

- **State Police and PennDOT did not communicate with locals regarding traffic detours**

Regional Transportation Management Centers (TMCs) often coordinate detours due to incidents, weather related road closures or special events. The TMCs work closely with law enforcement and local agencies on a daily basis to manage roadway incidents within their jurisdictions. Many Regions have formal committees involving police and other response agencies that coordinate planning for traffic incidents and special events. Other Regions do not have ongoing formal committees, but coordinate on an as needed basis. The Department has also developed detour plans for many interstates in preparation for major construction projects, special events or security related concerns. More could be done to ensure that DOT has potential detours ready for critical corridors (including interstates) and that these plans are accessible to each TMC. All detour plans should be agreed upon by State Police, locals and DOT and must be shared with all involved jurisdictions.

### Recommended Actions for NYSDOT

- Develop and document detour plans for critical corridors and interstates
- Continue to work with SEMO to develop plans, procedures, and guidance.
- Strengthen the Transportation Infrastructure Group (TIG) implementation and management
- Continue to develop the role of STICC and provide adequate staff resources
- Participate in statewide drills and exercises
2. **PREPAREDNESS:**

Findings in WITT Report:

- PennDOT and the State Police lacked adequate pre-event inter-agency planning and agreements related to a transportation emergency
- The lack of statewide NIMS compliance impeded operations
- State Police and PennDOT did not have formal written traffic diversion plans for the interstate highway system
- PennDOT districts did not have consistent transportation related weather forecasting services

**NYSDOT Status:**

The Department has taken significant steps to ensure preparedness. This includes the establishment of an Emergency Transportation Operations Section in the Main Office and the designation of an Emergency Manager in each Regional office. While the program is broad, important progress has been made over the last year. This includes the implementation of a NIMS/ICS training plan to ensure NIMS compliance, creation of the STICC and operating 24/7, formalizing ICS organizations in each region and improvements in resource allocations and tracking during emergency response. This work has been accomplished at the same time that the Department has been engaged in several large-scale emergencies (October snow storm, November mudslides, Oswego Lake Effect, etc.). The Regional Emergency Managers meet regularly to discuss issues of statewide significance and are making progress toward resolving issues identified as a result of after-action reports from past events.

However, there is much work left to do. While priority issues are being addressed as best as available staff can handle, there are critical elements that cannot be accomplished as currently resourced. Some of these include; development of procedures and policies for emergency response activities, the integration of various information systems, drill and exercise development, administering reimbursements programs (millions of dollars in disaster reimbursement for 2006 alone), fully developing DOT’s continuity of operations plan (COOP) and others.

The WITT report made these findings in regard to Preparedness:

- PennDOT and the State Police lacked adequate pre-event inter-agency planning and agreements related to a transportation emergency

While the Department has developed detailed detour plans for some interstates in preparation for incidents, construction projects, special events, or weather related closures (see above finding under “Interagency Coordination”), there is currently no statewide evacuation plan. Planning activities for hurricane evacuation are complex due to the many local agencies involved, including the City of New York, Nassau, Suffolk, and Westchester.
counties, FEMA, SEMO, NWS and many others. Most recently, the “Urban Area Working Group” has been formed to bring the many state and local agencies together for evacuation planning for the downstate area. The Department is involved in this committee and will continue to work with SEMO (the lead agency) in the development of a comprehensive evacuation plan for this vulnerable area. This process is made difficult by “home rule” issues and while DOT is an important player, we are not always invited to participate in planning activities.

- The lack of statewide NIMS compliance impeded operations

New York State Agencies are required to use the Incident Command System (ICS) under Executive Order issued in 1996. NIMS compliance is more than just training staff in NIMS awareness and ICS (incident command system) coursework. NIMS includes: Preparedness, Command and Management processes, Resource Management, Communications and Information Management protocols, Supporting Technologies and ongoing Management and Maintenance. NYSDOT is working toward completing the training component for NIMS and is making good progress in this regard in most regions. Institutionalizing the concepts for all NIMS components is a longer-term goal. The proposed organizational structure for the Main Office ETO program will help move the Department toward meeting this goal, however the program lacks adequate staff. Also, it is important to note that while the Regions are making good progress in NIMS/ICS training, the Main Office still lacks a formal training plan for staff at 50 Wolf Rd.

- State Police and PennDOT did not have formal written traffic diversion plans for the interstate highway system

See evaluation for detours above.

- PennDOT districts did not have consistent transportation related weather forecasting services

NYSDOT has had a contract for years with AccuWeather to provide custom forecasts for all parts of the state. This web-based service provides at least one forecast per day for the state, with more frequent updates made when severe weather is approaching or if there are rapidly changing forecasts. As a backup to the web-based service, NYSDOT also subscribes to satellite weather service that provides real time weather information at two locations per region. Augmenting these services is a strong relationship with the five (5) local National Weather Service offices. DOT is invited to participate in conference calls regularly held by the NWS when severe weather is approaching. This has proved valuable in providing an opportunity to ask detailed questions of meteorologists about timing and severity of the forecasts. This interaction helps us make decisions about resource deployments and timings.
Recommended Actions for NYSDOT

- Complete NIMS/ICS training statewide. This should include a consistent model for Regions and the Main Office (i.e. train all staff in basic NIMS and ICS awareness)
- Provide adequate staff resources to Main Office and Regions to fully implement the Emergency Transportation Operations program
- Continue to assist SEMO and others in Hurricane evacuation planning activities

3. OPERATING CAPABILITY AND MANAGEMENT:

Findings in WITT Report:

- The loss of key personnel (managers) at PennDOT hampered the ability to react and adjust to the storm
- PennDOT did not have enough plow operators
- The existing Roadway Weather Information System (RWIS) had 55 of 74 sites inoperable
- HAR was inoperable in District 5-0
- PennDOT allowed Districts to modify their individual approaches for snow and ice control. Also lacking were sufficient stockpiles of chemical additives
- PA Turnpike has a “bare pavement” policy and PennDOT does not
- Emergency Operations did not appear to be treated as a core mission for PennDOT

NYSDOT Status:

Snow and ice control is certainly a “core” mission for the Department. DOT generally provides a consistent level of service – “it’s what we’re good at”. DOT’s goal is to remove snow from shoulder to shoulder within 2 hours after the storm ends. The Department is normally successful in achieving this goal, but thin staffing resources often make this a challenge during prolonged events. The maintenance force of approximately 4000 employees works shifts in the winter months and with one operator per plow truck typically. The work gets done, but there is no “reserve” within the region. In larger scale events, such as the Oswego event, crews were moved from across the state to assist in clearing snow on and off the state highway system. The ability to recruit downstate is severely hampered by the pay-scale.

The Department owns a fleet of 1400 plow trucks, 330 loaders, 30 operational snow blowers out of 50 (many of which are aging and unreliable), and various lowboys/tractors, hydraulic excavators, and graders. The Office of Fleet Administration is highly effective in
keeping this fleet of aging vehicles functional, but there is a significant need to upgrade obsolete and unreliable equipment. For example, the number of snow blowers deployed to Oswego had to be doubled to keep five crews working (each crew need a “backup” blower in order to keep working – swapping them when they went down for repair). (Note: we currently have approx 50 snow blowers, 30 of which we can consider operational; some date back to the 1950’s)

The Department utilizes many varied systems for managing maintenance work orders, traveler information, controlling field devices, providing traveler information, and asset management. While each of these systems performs a valid function individually, integrating these systems to manage resources and information during emergencies is difficult at best. Enterprise-wide solutions that merge and integrate these systems are badly needed. Existing OIS resources are stretched and newly proposed systems add to the burden of operators in the TMCs and emergency operations centers.

The WITT report made these findings in regard to Operating Capability and Management:

- The loss of key personnel (managers) at PennDOT hampered the ability to react and adjust to the storm

Personnel turnover is problematic at NYSDOT. There is no “career ladder” within a residency into management positions. Managers must migrate from other program areas and quickly learn how to run a residency. Further, succession planning as a whole is lacking within the DOT. The retirement of key managers in the Main Office and the Regions has resulted in a “brain drain” leaving the remaining staff to adjust. There is rarely an opportunity for an out-going resident engineer to work with an in-coming resident engineer during transition.

- PennDOT did not have enough plow operators

NYSDOT is fortunate to have a more robust workforce available for continued plowing operations. Recent emergency events have also allowed the State to exercise the sharing of DOT equipment and personnel resources across regional boundaries and across the state. However, staffing the “worker series” is difficult. There are issues with hiring and staff retention Downstate is a continual problem.

One issue with personnel is the shifting index approach that was developed over 20 years ago. While the basic premise is sound, i.e. have enough people to sustain a 24/7 operation in a two shift format, the problem is having three different index’s. In Regions 2, 3, 4, 5 & 7 we have a shift index of 2.0. What this means is we have enough operators to operate every
large plow truck and large loader working 12 hours on and 12 hours off. In other words two people for each of these types of equipment. Through experience, we have found that we can sustain this type of operation for days on end. Personnel get enough rest in their off hours and are available at the beginning of their next shift.

In most locations in Regions 1, 6, 8 & 9, we have a shift index of 1.5. This means that we have enough operators to operate the large dump trucks and loaders working 16 hours on and 8 hours off. That works out to 1.5 people per piece of equipment. Again, experience has shown that people do not get enough rest in their 8 hours off to be able to work safely for another 16-hour stretch. The result is during the second 24 hours period of the storm we are forced to use supervisors to operate equipment instead of managing the operation and in many cases we have to park equipment (because operators do not report to work due to fatigue and family responsibilities). Anytime you park equipment your level of service to the public decreases. These regions service major interstates and the parkway system that serves the lower metro Hudson Valley.

In Region 10, we have a shift index of 1.0. This means can only man one shift, but for Long Island, this approach has worked. Storms tend not to last as long in Region 10 and tend to have more mixed precipitation as opposed to large snowfall amounts. Plus, the number of storms downstate is much less that the rest of the state.

To further aggravate our staffing problems is our reliance on temporary workers. Beginning in FY 03/04, we began to rely on over 300 temporary operators to augment our permanent staff. While we can usually begin the hiring process in August, it is not uncommon to take over six weeks to get the person on board. At that time, we begin training this person to operate a plow truck in the One Person mode. It isn’t until we have had several storms that we can fully evaluate and certify the individual to perform One Person Plowing. Until that point the individual is operating with a second individual. Since we do not have extra personnel, it is not uncommon to have to park a truck that should be on the road. Not only are we vulnerable at the beginning of the snow and ice season, but most of the temporary operators must be off the payroll by March 31st. Thus for those late season April storms we are stretched to the limit.

- The existing Roadway Weather Information System (RWIS) had 55 of 74 sites inoperable

NYSDOT also has a system of RWIS sites, and like PA, most of these sites (62 of 74) are not operational. Ongoing problems with the contractor culminated in the termination of the agreement with the vendor in March of 2006. An updated concept of operations is under development now with the intent to reprioritize the locations of this equipment, take advantage of new technology and leverage other NYSDOT infrastructure (i.e. the upgrading to new 2070 controllers for traffic signals presents a statewide opportunity to co-locate equipment). It is anticipated that this will be a phased deployment driven in large part by funding availability. Full deployment could cost $5 to $15 million to build over the next three to five years. Additional funds will be required for ongoing operation and maintenance.
ETO STRATEGIC PLAN

- **HAR was inopera ble in District 5-0**

NYSDOT has deployed approximately 20 HAR stations in Regions 1, 4, 10 and 11. These include both permanent and portable transmitters. The portable devices are available to be repositioned for emergencies. These devices are regularly tested and used during construction and for incident or event related information. Maintenance is performed either through ITS maintenance contracts or via state forces.

- **PennDOT allowed Districts to modify their individual approaches for snow and ice control. Also lacked sufficient stockpiles of chemical additives.**

NYSDOT revised its snow and ice guidelines in 2006. This policy also allows regional supervisors/managers flexibility to adjust practices within reason depending on the conditions and availability of resources. Although the 1993 guidelines worked well for years, the new 2006 revision incorporates guidance for newer and more advanced snow and ice technologies, while providing more operational details as recommended by snow and ice experts from across the state. Chemicals used in snow and ice control are managed by each residency and statewide contracts are prepared by NYSOGS with input from NYSDOT. Safeguards are in place within the OGS contracts to help prevent supplier inventory problems. Although rare, problems with inventory or deliveries are aggressively addressed by working closely with the vendors.

- **PA Turnpike has a “bare pavement” policy and PennDOT does not**

While, the New York State Thruway has a similar policy to the PA Turnpike, NYSDOT does not. Staffing requirements and heavy application of chemical treatments make this level of service difficult to attain. The goal for NYSDOT is to keep roadways safe and passable during a storm, and fully clear the roadway from shoulder to shoulder within 2 hours after the storm ends. However, for storms with heavy snowfalls or when winds cause drifting, the time to clear the pavement and shoulder will increase.

- **Emergency Operations did not appear to be treated as a core mission for PennDOT**

NYSDOT does not have emergency operations as one of its core missions. However, increased focus has been placed on Emergency Transportation Operations as a key function within the organization. A Regional Emergency Manager has been appointed in each region and the Main Office has formed a section to implement policy and guidance on a statewide level.
Recommended Actions for NYSDOT

- Implement of consistent shift index of 2.0 for plowing operations statewide
- Address maintenance worker hiring and retention issues by providing a geographic salary adjustment in Regions 8 & 10
- Develop mentoring program and succession plan for key management positions
- Provide additional funds for acquisition of vehicles/equipment
- Accelerate RWIS project and provide adequate funding for implementation and long term O&M
- Include Emergency Transportation Operations in the Department’s mission statement

4. COMMUNICATIONS:

Findings in WITT Report:

- State agencies’ policies for emergency notification either have not been implemented or the threshold for reporting needs to be revisited
- There was no interagency, central gathering point for public and media information to be verified, coordinated and disseminated
- There was a lack of situational awareness among local and state officials
- Senior officials from State Police and PennDOT did not know the meaning of activation levels
- PennDOT’s Road Condition Reporting System was not available to PennDOT staff at PEMA’s operations center

NYSDOT Status:

Internal communications (within DOT and with external agencies) has improved with the implementation of the STICC last year. The STICC mission includes coordinating emergency activities for the Department within the agency and with SEMO and other partner organizations. On a daily basis, reports and notifications are made to various program areas and regions when specific events occur. During emergencies the STICC coordinates the DOT response efforts internally as well as responds to requests from SEMO for information or resources. Communications with SEMO are coordinated through a DOT representative at the SECC and the Liaison Officer at the STICC. DOT also uses DisasterLAN in the STICC to monitor event information and to manage requests at a statewide level (through DisasterLAN “tickets”).

The STICC operation, when the ICS organization is activated, includes an Information Officer who manages event related information and coordinates media outreach with SEMO and others, and ensures adequate public information is disseminated through the Travel Information Gateway and the Department’s website.
Traveler information is provided primarily through the Travel Information Gateway. Behind this website’s “real-time travel information” page is the CARS database. The information contained here is input directly by each region and includes construction, special event, and incident information. Also included on this website are ETIPs – Events with Transportation Impact. This page allows for specific detailed information related to a closure or event. While the Travel Information Gateway generally functions well, it should be noted that the information is only as good as what is entered and when. The lack of available staff during the June Floods (2006) caused some problems when information on road closures was not kept up to date. This was discussed in the event after action meeting. The solution is to ensure staffed trained in the use of CARS are available during large-scale events.

Other systems under development include TransAlerts and 511. TransAlerts will provide an email or text message service that the public will be able to subscribe to for incident notification. The TransAlerts program is currently being tested internally and it is anticipated that it will be available to the public in the next 12 months. 511 is the national standard for telephone access to traveler information. The data behind this system will be derived from CARS. This project is currently in the RFP stage with an aggressive schedule for completion by 2009.

The WITT report made these findings in regard to Communications:

- State agencies’ policies for emergency notification either have not been implemented or the threshold for reporting needs to be revisited

There has been little guidance from SEMO on what information needs to be reported. Years ago, there was a notice to report “everything”, but this policy has not been updated. The STICC has developed reporting protocols and routinely shares information with SEMO on significant events occurring on the transportation system as part of normal reporting/notification procedures.

- There was no interagency, central gathering point for public and media information to be verified, coordinated and disseminated

SEMO is currently developing “NY-Alert”. This project is based on the Joint Information Center website used for nuclear power plant drills downstate and will serve as a central clearinghouse for event related information. The DOT continues to develop and maintain the Travel Information Gateway website. It is anticipated that this information, along with Department related emergency information, will be incorporated into this “one-stop shop” for public information related to emergencies.

- There was a lack of situational awareness among local and state officials
SEMO has improved on their ability to convey and coordinate situational information with the use of DisasterLAN. The Department’s ability to log into this application remotely allows information to be shared quickly within DOT. However, the information is only available if it is entered into the system. The ability to provide timely updates is often at odds with the ability to confirm its accuracy.

- Senior officials from State Police and PennDOT did not know the meaning of activation levels

NYS’s Comprehensive Emergency Management Plan (SCEMP) contains information on the activation of the Plan, but not for the SECC. There are SECC activation levels, but these need to be shared with the state agencies.

- PennDOT’s Road Condition Reporting System was not available to PennDOT staff at PEMA’s operations center

DOT representatives at the SECC have access to most key DOT systems through citrix. Close coordination of the DOT representative at the SECC and the Liaison Officer in the STICC normally resolves any information needs at the SECC. The availability of DisasterLAN at the STICC allows close coordination between DOT and SEMO on any requests made of DOT by SEMO.

**Recommended Actions for NYSDOT**

- Standardize reporting and notification procedures within DOT
- Support SEMO’s development of NY-Alert
- Investigate how DisasterLAN software could help integrate software at DOT and enhance information sharing
- Provide additional, dedicated, IT support for integrating systems within DOT and with other State agencies

**Summary of all recommended actions for NYSDOT:**
• Develop and document detour plans for critical corridors and interstates
• Continue to work with SEMO to develop plans, procedures, and guidance.
• Strengthen the Transportation Infrastructure Group (TIG) implementation and management
• Continue to develop the role of STIC and provide adequate staff resources
• Participate in statewide drills and exercises
• Complete NIMS/ICS training statewide. This should include a consistent model for Regions and the Main Office (i.e. train all staff in basic NIMS and ICS awareness)
• Provide adequate staff resources to Main Office and Regions to fully implement the Emergency Transportation Operations program
• Continue to assist SEMO and others in Hurricane evacuation planning activities
• Implement of consistent shift index of 2.0 for plowing operations statewide
• Address maintenance worker hiring and retention issues by providing a geographic salary adjustment in Regions 8 & 10
• Develop mentoring program and succession plan for key management positions
• Provide additional funds for acquisition of vehicles/equipment
• Accelerate RWIS project and provide adequate funding for implementation and long term O&M
• Include Emergency Transportation Operations in the Departments mission statement
• Standardize reporting and notification procedures within DOT
• Support SEMO’s development of NY-Alert
• Investigate how DisasterLAN software could help integrate software at DOT and enhance information sharing
• Provide additional, dedicated, IT support for integrating systems within DOT and with other State agencies
Appendix F:
Regional Best Practices
During the Regional meetings, the attendees were asked to present some of their best practices. The following list is based on these meetings:

**REGION'S BEST PRACTICES**

1. **NYSDOT is co-located with County and State Police in a TMC**
   - Very effective since they talk easily among themselves
   - Constant coordination is a major plus

   **Actions:**
   - Maintain and encourage coordination among County, State Police, and TMC staff

2. **Regions coordinate with local and State Police and local transportation agencies and meet every other month to discuss TIM**
   - Perform monthly team building for TIM

   **Actions:**
   - Maintain and encourage coordination among local and State police, and local transportation agencies
   - Facilitate meetings among local and State Police, and local transportation agencies

3. **Incident Response Trailers are located within a Region**
   - Have signs, cones, PVMS, speedy dry mix, and most incident management equipment ready for use

   **Actions:**
   - Keep a maintenance schedule so that all trailers remain stocked with necessary equipment

4. **Developed messages for motorists to use alternate underutilized routes**
   - Use the entire transportation network during incidents

   **Actions:**
   - Utilize VMS and PVMS
   - Utilize HAR
- Create and maintain a library of pre-programmed messages that can be used in any event

5. **Mandated training for responders**
   - Monitor that everyone has taken ICS 100 and 700

   **Actions:**
   - Keep track that every employee has taken standard and necessary training for their position
   - Provide trainers and resources to deliver training

6. **After incident meetings**
   - Meet after an incident to discuss what went well and what could be improved

   **Actions:**
   - Facilitate debriefings and after-action meetings

7. **Police coordinate with TMCs**
   - Provide information on conditions to police

   **Actions:**
   - Keep TMC numbers in all police cars
   - Maintain up to date contact information for TMCs

8. **Having a copy of Article 2, Section 15 of NYS Highway Law at events**
   - Use copy to inform motorists at an event

   **Actions:**
   - Keep copies in all DOT vehicles
   - Provide a copy to motorists when necessary

9. **Having an ICS structure in place**
   - Be able to use ICS when it is needed

   **Actions:**
   - Perform drills/exercises so that everyone knows their role in an emergency situation

Appendix F, Page 2
10. Having a contact list
   - Be able to contact whoever is needed at any time

   **Actions:**
   - Maintain an up-to-date contact list
   - Update frequently to include contact information for 24/7

11. Developed and finalized detours
   - Be able to use detours as needed

   **Actions:**
   - Keep up-to-date detour guides in all first responder vehicles (DOT)

12. Utilizing signal crews
   - Use available resources during events

   **Actions:**
   - Keep traffic moving during detouring
   - Keep up to date contact information

13. Established TIM teams
   - Have TIM teams ready to use as needed

   **Actions:**
   - Establish Regional committees to discuss TIM
   - Model TIM teams after Florida, Georgia, and some procedures from NYS Thruway
14. Employee assessments

- Have employees trained before an event happens

**Actions:**

- Perform regularly to see what each employee is trained in
- Keep a list of each employees’ capabilities

15. ATIG (Area Transportation Infrastructure Group)

- Have additional resources identified before events happen

**Actions:**

- Meet regularly with ATIG members
- Keep up to date contact lists for 24/7 contact capability

16. Resource sharing among regions

- Be prepared to share resources with other regions

**Actions:**

- Keep track of all resources
- Keep a list of what equipment is borrowed

17. Having a TMC, TOC, or EOC in every region

- Be able to gather, synthesize and disseminate transportation information

**Actions:**

- Keep staffed for 24/7 operations
- Perform system checks
- Maintain system equipment

18. The use of the CCTVs

- Maintain CCTV in workable condition

**Actions:**

- Keep a maintenance schedule
- Perform system checks on all equipment
19. Each person has two hats, their normal function and their emergency response function
   • Identify secondary job function for each employee

   Actions:
   • Maintain a list of everyone’s responsibilities during normal and emergency situations

20. Each region has someone appointed to STICC operations
   • Identify a STICC representative in each region

   Actions:
   • Maintain a list of what everyone’s responsibility is in STICC operations
Appendix G:
Regional Meeting Summaries
with Meeting Agenda
SAMPLE AGENDA

Regional DOTs Meeting

9:30AM to 3:30PM

- Welcome
  - Purpose of meeting by NYSDOT representative
- Introductions
  - Participants introduce themselves
  - Explain their involvement in event management
- Meeting Objectives
  - Explain Emergency Transportation Operations/Management
  - Identify expectations - What we hope to accomplish in meeting
- Regional Event – Example
  - What, when, and who was involved
  - Evaluation
- Discuss Regional DOT characteristics
  - Regional ETO Events
  - Stakeholders
  - Organization
    - Routine events
    - Non-routine events
  - TMC Operations
  - Training
  - Resource Management
  - COOP & COOP activities
  - Training
  - TIMS Teams
  - Integration of TIMS and emergencies
  - Dispatching
  - Operations
  - Maintenance
  - Snow & Ice Guidelines
  - Signal Crews
  - Performance Measures
  - Partnerships
    - Who
    - How are they managed
  - Triggers
    - Going from routine to the unusual
    - ICS organization
  - Supportive technologies
  - Security
- What is working well?
  - NIMS or ICS organizations
- What needs improvement?
  - Identify gaps
  - Prioritize gaps
- Who are the Stakeholders?
  - Key and non-key stakeholders
- Name for plan
  - ETO?
- Meeting Wrap-Up
  - Identify improvement areas
  - Summarize meeting
Summary of Region 10 Meeting
Hauppauge, New York
October 2, 2007

Those in Attendance:

1. Joseph Brown – Region 10 Transportation Maintenance Engineer
2. Subi Chakraborti – Region 10 Director
3. Timothy Conway – Region 1/Main Office Regional Transportation Manager
4. Roberta Fox – Main Office DPPR3
5. Walter Kraft – Eng-Wong, Taub & Associates
6. Rob Limoges – Main Office ETO Manager
7. Frank Pearson – Region 10 Traffic Engineer
8. Ed Roberts – Main Office Director of System Optimization Bureau
9. Emilio Sosa – Region 10 Director of INFORM
10. Uzo Udenta – Eng-Wong, Taub & Associates
11. Dave Williams – Region 10 Liaison Officer
12. Theodore Fisch – Region 1 Director of SEMO

Preparedness

- Need to develop a roles and responsibilities matrix
- Pre-planning for events is important and must be done in spite of not having all necessary resources
  - In response to 9/11, the region came up with alternate routes in case of an emergency
- Incidents are not only external but internal also
- Plan will include internal activities, such as injuries to employees or pandemics
  - Examples:
    - An employee has a heart attack
    - An employee gets hit by a truck
    - Personal threat in the building
- Looking to set up a module for the fire department and police to locate and respond to an incident/crash without impacting traffic
- Should have a “NYC Shutdown” Plan (major infrastructure)
- Need to plan for the instance that some or most staff will not show up during an emergency for various reasons (live in different region, don’t get paid enough)
  - Solution may be to make sure that their families are safe first so that they will be able to perform their duties during an emergency
- In an “all hazards” approach there should be a contact list, organization, meetings on a regular basis to prepare for all types of emergencies
Response

- Region 8 has formed a TIM team bringing in key players other than the usual stakeholders to include non-traditional stakeholders, such as coroners, etc.
- A big problem is when a person is willing to help; their supervisor is not willing to let them go because the supervisor says the person can not be spared
- In an emergency response you should have a certain title and responsibility, but in the case of an emergency you then have a second set of responsibilities, such as an emergency function
- If you live in one region and work in the other you shouldn’t have to go to the region you work in to respond to an emergency, you should have a role in the region you live in
- SEMO
  - Coordination of the response teams
  - DOT is the lynch pin and provides recovery money from the FHWA
  - Deals with incidents, events, campaigns (things of great magnitude that bring groups together for a longer time)
- Need to build friendships/relationships
- Shouldn’t be changing procedure totally, but should be changing procedure to fit the incident or event
- What little bit needs to be done to mitigate circumstances

Recovery

- Reimbursement
  - Documentation and approval is lacking
  - Money needs to go back to the regions (currently goes to the main office and they determine where it is needed)
- Overtime
  - Availability of overtime pay and the need for overtime should be approved quicker
  - If the Governor declares a state of emergency then there should be an automatic availability of funds and approval of overtime
  - Primary obstacle is the availability of overtime; overtime needs to be approved quicker
- Long Island doesn’t have any containment storage for food. Food is shipped through bridges from Region 11. If anything happens to the bridges or the ferries, Long Island will only have only a three day supply of food

Cross cutting issues

- Coordination among regions is critical as well as with key stakeholders, such as MTA, SEMO, TIG, etc.
- Training needs should match DOT events
• Hiring and retaining of staff/personnel is an issue
• Performance measures should be standardized and implemented
• Should have a representative for the Regional Director or the ETO team
• Need a uniform reporting system or integrate the existing systems
• Most regions do not have a full time dedicated staff for ETO
• Operations involve a lot of components and people are not clear on their roles and responsibilities
• Managers are saying I don’t have time, are reluctant, not my responsibly, and that the ICS structure is not clear and needs to be restructured
• Trained representatives for EOC
  o Agency needs to go to the counties
    ▪ Training
      • Damage Assessments
      • Field Assessments
    ▪ Damage
    ▪ Condition for travel
      • Determine priorities
      • Alternate routes
Summary of Main Office ETO Meeting Notes

Albany, New York

October 4, 2007

Those in Attendance:

1. Dawn Arnold – Main Office Civil Engineer 2
2. John Bassett – Main Office ITS Program Manager
3. Pat Bennison – Main Office Director of Information Services & Records Management
4. Dave Clements – Main Office Director of Traffic Safety
5. Tim Conway – Region 1/Main Office Delivery Division
6. Roberta Fox – Main Office DPPR3
7. Dave Gaynor – Main Office Safety & Health Director I
8. Tony Iiacqua – Assistant to RD/R3/Public Information Officer
10. Michael Lashmet – Main Office Transportation Maintenance Engineer I
11. Rob Limoges – Main Office ETO Manager
12. Marty McCredie – Main Office Associate Accountant
13. Gary McVoy – Main Office Director of Operations Division
14. Mark Silo – Main Office Chief Regional Director
15. Cliff Thomas – Main Office Director of ETO & Security Program Coordination Bureau

Preparedness

- A systematic approach is needed on an everyday basis
- The plan should not just be for a major event; it should be part of every day activities
- The plan is not only a Main Office issue but the regions need to also get involved
- There should be a focus on broadening the base to be ready for any event
- Staffing
  - Is inadequate
  - Preparation is not institutionalized and not considered a primary responsibility
  - Response gets all of the attention, not preparedness
- Organization
  - Large range of grades involved (15-29)
  - Some people wear multiple hats and are not clear on their responsibilities
  - Job duties have not been well defined at the main office
- Main Office Team
  - Need to build a team approach within DOT, Operations, etc.
  - There are implications of not replacing funds that are use for response
    - Maintenance
    - Capital Program
  - Need to build on current systems and practices
  - ICS training
ICS awareness

Guidelines/Procedures
- STICC has an Operations Manual
- In the process of putting together a SOP guide

Training & Exercises
- More in-depth drills are needed
- More training is needed than just a test and a simulation
- Need more ICS training
- No chance to use what has been learned
- Training should be DOT related
- Need more dedicated trainers and facilitators

Outreach/Stakeholders
- Main office
- External
  - Should be taking the lead in getting in touch with people when necessary
  - “Extend the hand”
  - Use existing organization
- Internal
  - Strengthen relationships with modal partners
  - Have a draft in place
  - All divisions need to understand it as a department program
  - Need to discuss at Staff meetings

Performance Measures
- Outputs
  - The number of personnel who are ICS trained
  - Should have performance measures in all regions
- Customer satisfaction/feedback
  - Individual
  - Agencies
- Number of successful ratings
- DDIR should be submitted two weeks after an event
- FEMA meeting – two months after paperwork is submitted
- Improve on the time between approval and reimbursement
- During or after an event
  - Was ICS procedure/protocol followed
  - Reporting to the STICC Rep
  - On time reporting to an event
  - Amount of staff offered

Timely debriefing and writing of debriefing reports 100% of the time

Response

- In an emergency situation people might not show up at work because they will be more concerned with their safety and the safety of their families
- Labeling things and accomplishing an integrated, unified approach has been an obstacle for people to know their role
- Labels should not prevent a person from doing because “it is not in my area”
- Need to improve procedures in responding to all types of events
- Need to be support for ICS team leaders when there is an ICS response effort, not always the same people but different people to help in different situations
• Budget
  o Need consistent DOB policy on event spending
  o Shared services agreement
  o Construction gap
• Priorities
  o SEMO
  o ICS sets the scene
  o 24/7 Issue

**Recovery**

• Reimbursement
  o Reimbursement requests from this year’s major events have not yet been completed
  o There is no information on the amount of time used to get reimbursements
  o Nobody is tracking how much can be reimbursed
  o Need to be able to follow the money that is being distributed
  o The Regions work with the locals for reimbursement
  o Justification and paperwork for reimbursement can sometimes take more time than the event itself
• Overtime
  o Overtime can be paid for capital projects right away, but not for emergency or reimbursement activities
  o Major problem is DOB approval and the requesting of overtime waivers
  o People are not going to step up and volunteer to help if they are going to be punished afterward, meaning that they don’t get paid
  o The overtime issue has been brought up at the Commissioner’s meetings several times
• Suggestion is to provide a “Happiness Report”
  o Step 1 is “Here is what we have done”
  o Step 2 is “This is what is in the process”
  o Step 3 is “This is what we need to do”
• Mitigation
  o Fix what needs to be fixed this time so that it doesn’t affect you next time
  o Need to wait for approvals
  o Could get pre-approval
  o Hazardous prone area plans

**Cross cutting issues**

• All regions are unique, not all have TMCs or have the same titles so you have to find a way to integrate them to work together
• Important to network with non-traditional transportation entities
• It’s the county’s and local government’s responsibility to have policies & procedures, but there isn’t someone overseeing that this is done
• Executive Level
What are the expectations from the Governor’s office?
This will be a major undertaking and everyone needs to be engaged from people on the ground up to the executive group.
The Commissioner has asked for issues that need to be solved and present them at a weekly staff meeting.
Have a list of what everyone should be doing and bring it to the Commissioner’s staff meeting.
Don’t bring up issues to the Commissioner unless you have done everything you could do to solve the issue.

- Security
  - Need to be trained in entering hot zones. Concern is if operators will go into a radiated zone. Some think this is a voluntary action on the part of the operators.
  - Maybe others, such as law enforcement, could operate DOT equipment.

- This project needs to identify
  - Current resources and staff
  - What resources need to be added
Summary of Regions 1 & 2 Meeting

Schenectady, New York

October 22, 2007

Those in Attendance:

1. Dawn Arnold – Main Office Civil Engineer 2
2. John Bassett – Main Office ITS Program Manager
3. Rita Carlson – Region 2 Emergency Manager
4. Timothy Conway – Main Office Delivery Division
5. Kent Destefanis – Region 1 Emergency Manager
6. Richard Frederick – Region 1 Construction Engineer
7. Dan Howard – Region 1 TMC Manager
8. John Izzo – Region 1 Assistant Maintenance Engineer
9. Mike Johnson – Region 1 Resident Engineer
10. Mark Kennedy – Region 1 Traffic Engineer
11. Walter Kraft - Eng-Wong, Taub & Associates
12. Paula Laime – Region 1 Administration Services Director
13. Rob Limoges – Main Office ETO Manager
14. Jan Meilhede – Region 1 Director of Operations
15. Jennifer Nelson – Main Office Delivery Division
16. Paul Obernesser – Region 2 Operations
17. Jim Papaleo – Region 2 Traffic
18. Mark Pyskadlo – Region 1 Traffic
19. Dave Rettig – Region 1 Planning & Program Manager
20. Doug Rose – Region 1 Bridge Management Engineer
21. Brian Rowback – Region 1 Director
22. Mike Shamma – Region 2 Director
23. Uzo Udenta - Eng-Wong, Taub & Associates
24. Peter Vankeuren – Region 1 Public Information Officer
25. Bob Winans – Region 1 Resident Engineer
26. Richard Wood – Region 1 Safety Representative

Preparedness

- Need to be able to shift gears and be nimble to go from the expected to the unexpected
- Information on current conditions is important
- The HELP program is critical
- Need more training and drills
- Two areas of importance
  - Must be an “All hazards” approach
  - All about communications
- Region 2 has a Preparedness Committee
• Surveyed volunteer list to see what else they have to offer. For example, whether a person has a truck or a snow plow and what training they have
• Region 2 doesn’t have a TMC, but a TOC that operates 10 hours a day

**Response**

• Region One - Incident Response Team
  o Work 10:30am to 7:00pm
  o Was set up to have a response capability during the afternoon peak hours
  o Helps direct traffic and detours
  o Helps state police with traffic around police investigation
  o Has a large turnover – don’t like the hours
  o Have a large dump and a rack truck with arrow boards on each
  o During three major holiday weekends in the summer, they have a crew on stand-by who get paid an hour a day for being on stand by. Often, being on stand by is viewed as punishment.
• Region 2 has traffic signal crews always on standby
• Incident Response trailers can go out quickly to set up MPT
• If it is an emergency under a two hour duration during non-business hours, DOT won’t be able to respond, but over two hours they will get there

**Recovery**

• Demobilization
  o Huge conflict is having DOT relieve fire and law enforcement when it is fire and law enforcement’s job to close down roadways
  o Fire and police should not leave a site if they are the commander on the scene and the scene is not cleared, they need to first do a transfer of command
  o DOT shouldn’t be second class citizens to law enforcement
  o When demobilizing and leaving the scene, everyone involved should be notified so that they know who is in charge
• Region 1 Event
  o Planned event – Funeral of a state trooper
    ▪ ICC, TMC and field worked together
    ▪ Venue in a suburb of Albany
    ▪ Police did not have the best driving habits
    ▪ About 8 to 10 thousand persons attended
  o Unplanned Event – Dunn Bridge Incident
    ▪ Ramp failure
    ▪ ICS initiated
    ▪ Had standardized communications
    ▪ Had a contingency plan if span fell
    ▪ Had a safe staging area for the media
• Region 2 Event
  o Unplanned Event – Railroad Derailment in Oneida
    ▪ Created a large fire ball
    ▪ Managed traffic around the event
    ▪ Set up detours
    ▪ Started at 7:30am and ended about 5:00pm
Appendix

Set up center-to-center communications with adjacent TMCs
Need information on the broader picture
How did DOT find out where ICC was? Fire Department was there
  - Unplanned Event – June flood
    - National Guard deployed in the area
  - Planned Event – PGA event in a rural town
    - Expected about 100,000 persons; 40,000 showed up
    - Had two Thruway exits
    - One rural highway provided access
    - Had 18 VMS and one Smart Zone

Cross-cutting Issues

- NEED A "CLEAR THE ROAD" POLICY
- Challenge is getting information about all modes

Training

- One deliverable would be a common training course for first responders in terms of TIMS
- ICS and NIMS
  - Region 2 - 95% have taken ICS 100 and 200; NIMS 700-95% online course
  - ICS online doesn't have any interaction, better to do classroom
  - Region 1 initiated about five months ago to take ICS 100 & 700 – about 70% compliance
    - Region 1 has ICS instructors
    - Only for people with computers, doesn't include operators
    - Went to operators and explained ICS and NIMS to them so if they are deployed they will understand the basics. Have been exposed to it but have not had the full training
  - Multi-Agency drills
  - How often do you do drills?
    - Usually latch on to drills that are done by other agencies
    - Mock airport terrorist attack at Albany International
- Major Areas for training:
  - Communication
  - Computer Software/Processing
    - Region 1 needs improvement of employees using computer software, so one solution is to ask those who are capable of using the computer software to volunteer to do training
    - GIS assessment teams
    - Staging area concerns
• Example; Region 5 has to fight for resources, such as hotel rooms, with utility companies. Who has first dibs?
• Section in ICS structure includes First Aid backup for responders
• Regions need to be trained in how to estimate jobs and fill out paperwork to get money back from FEMA and FHWA

**Performance Measures**

• FHWA trying to establish performance measures for incident management, New York State is helping to establish these by using Region 8 TIM team as a template/pilot
• Collecting data from Region 8
• Need to measure first what you have before establishing performance measure:
  o Number of persons trained
  o Number of drills performed
• How many people chose to stay for more than a week
• Daily utilization rate of equipment
• Questionnaire
• Resource management/availability
• Percent of dollars recovered
  o Regions don’t get the money back
  o Goes to New York State General Fund
  o Reports need to be finished first
  o First step is Governor’s declaration
  o Next step is threshold on initial damage
  o Detailed damage submitted to federal government
  o Time is usually a year or more
• Need to track what hours are being used and where the money is going so that it may be recovered
• ER and Federal Highway
• Regions didn’t know how to get money back because they didn’t know how to estimate jobs and fill out paperwork
  o Need training in this area

**Gaps**

• Reimbursement
  o Need QA/QC
  o FEMA
  o FHWA
  o Need training
  o Construction folks need to understand
  o Unsure of process
  o Who can explain process
  o EIC makes good damage assessments for FHWA
  o Gap is what paperwork needs to be filled out
  o Ad hoc groups in regions needs to be formalized to address collections
  o Need a help desk
Need to make sure that regions are notified when procedures are updated by the federal government
- CE 2 overtime issues
- Administration issues
  - Locals rely on DOT
  - Who should have the expertise
  - Quality control
  - Documentation
  - Organization

**Stakeholders**

- Public
- Anyone who uses transportation
- Police
- First Responders
- County Emergency Managers
- Media
- Other transportation agencies
- Federal agencies
  - FEMA
  - FHWA
  - CORPS
- DEC
- DEP
- Executive management
- Utility companies
Summary of Regions 8 & 11 Meeting

Hawthorne, New York

October 23, 2007

Those in Attendance:

1. Raj Amin – Region 11 Traffic & Safety Engineer
2. Dawn Arnold – Main Office Civil Engineer 2
3. John Bassett – Main Office ITS Program Manager
4. Timothy Conway – Main Office Delivery Division
5. Richard Dillman – Region 8 Traffic Engineer
6. Joan Dupont - Region 8 Director
7. Phillip Eng – Delivery Division Resource Manager
8. Ian Francis – Region 11 Senior Transportation Analyst
9. Refat Habashy – Region 11 Director of Operations
10. Keith Hom - Region 11 Senior Transportation Analyst
12. Terry Lafrance – Region 11 Emergency Manager/JTOC Manager
13. Fred Lai – Region 11 Traffic Engineer
14. Laura Lemire – Region 8 Emergency Manager
15. Rob Limoges – Main Office ETO Manager
16. Tom McAndrews – Region 11 Civil Engineer 1
17. Judith Peter – Region 11 Assistant Regional Director
18. Ira Promisel – Region 8/New York State Police Sergeant
19. Bob Rella – Region 8 HVTMC Manager
20. Uzo Udenta – Eng-Wong, Taub & Associates
21. Dave Williams – Region 10 Liaison Officer
22. Lee Zimmer – Region 8 Assistant Traffic & Safety Maintenance Engineer

Preparedness

- Region 8 is trying to separate crews into morning crews and evening crews
  - 4am to 12noon
  - 12noon to 8pm
- Region 11 – not really getting in depth in terms of security
  - SEMO is really in charge of OHS and preparedness
- You shouldn't have to change what you are doing when there is an emergency
  - Train as if there is an emergency in day-to-day operations
  - Use small events as training exercises

Response

- Region 11 – does not go to incidents since the city responds, but they have field technicians from the TMC that are dispatched to gather information/data
- TIM team pilot program
Will operate on I-684 Monday through Friday during the two rush hours
Team will be prepared to respond and cut across agency issues
Trying to set up a team approach with these TIMS Teams so they are used to working together and functioning in terms of emergency management

Recovery

- Training
  - Region 11 –
    - follow-up to major incidents that occurred
    - Discuss what they did and what they could have done better
    - Training done at Polytech and afterwards Polytech does a report outlining the outcome
    - Have follow-up meetings to an actual event response
  - Region 8 –
    - Usually do after action reports in terms of drills
    - Hurricane drill – simulated hurricane right after Katrina
    - Indian point drill
  - NIMS training
  - Implementation teams

Cross cutting Issues

- Overtime may be an issue since all in the unit must be given overtime even if they are not a member of the TIM team
- Region 11 had two concerns
  - How to protect our infrastructures
  - Coordination between agencies in case of an emergency – Homeland Security is the coordinator
    - What can I do, how can I help, who coordinates with whom
- There is a form for everything. Suggestion is to try and integrate forms so they are not merely paper pushers
- Downstate regions are attempting to integrate their systems to eliminate different sign messages being given for the same information
- Towing is a big problem
  - There should be a common legislated towing policy on state roads to go along with quick clearance
- Security
  - Need proper ID
  - Trying to get cameras on bridge abutments
  - After 9/11, the state did a vulnerability assessment on bridges and infrastructure, which is not being used
  - Need to determine how critical the infrastructure is and how vulnerable it is
  - When President Bush came, letter credentials were given to those who didn’t have clearance, which did not help
    - Ex. Avoid this area because police are doing traffic stops
- Legislation
  - Quick Clearance
    - Push it off the road
- In New York, EMT can declare a person deceased instead of waiting for the ME – speeds up quick clearance
- If it needs to remain closed because of a homicide then it has to stay closed – exception to quick clearance
  - Move it Campaign
    - If incident is minor, move to side of the road

- Public Outreach
  - Move It
    - Stop Rubbernecking, gawking, gaping
    - Drivers need to be patient and understand the situation
    - Is traveler information useful?
    - Before DOT does the undertaking, see if others are already doing it, i.e., governor’s outreach, etc.

- Performance Measures
  - FHWA conference of 13 states
    - Big problem is the definition of incident
    - Start and end time of incident
    - Incident begins when first responsibility gets a call
    - Ends when all responders leave
    - Looking at dispatch time
    - Response time
  - Secondary responders, coroners
    - On scene timeline
    - About 30 minutes for a property damage crash
    - About one hour for a personal injury crash
    - Big problem is recreating the incident
    - Need to create a follow-up document that will provide recommendations
    - Definition and measuring of a secondary incident needs to be done
  - Communications
    - Agency commitment
    - NIMS adherence
    - Public feedback
    - Debriefings
      - Multi-agency debriefings
    - Contact list needs to be updated at least every six months
    - Do the people on the contact list know they are on it and are they trained in response

**What’s going well?**

- Systems are in place
- Have technology
- Recognize what needs to be done

**Gaps/Needs Improvement**

- Uniformity of protocols
- Staffing
  - Training of staff
- Greater 24/7 orientation
- Overtime
Disparity between overtime in operations and construction. People in operations won’t get it but people in construction will

- Reimbursement
  - Different in each region
  - Who is in charge of reimbursement
- Employee management
- Resources

**Stakeholders**

- City DOT
- NYPD
- OEM
- MTA & Port Authority
- Thruway
- Utilities
- Federal agencies
- Homeland Security
- Public/Media
- Elected Officials
- MPOs
Summary of Regions 6 & 9 Meeting
Horseheads, New York
October 24, 2007

Those in Attendance:
1. John Bassett – Main Office ITS Program Manager
2. Tim Conway – Main Office Delivery Division
3. Walter Kraft – Eng-Wong, Taub & Associates
4. Rob Limoges – Main Office ETO Manager
5. John Mancuso – Region 9 Traffic & Safety Engineer
6. Brian Mehlcnbacher – Region 6 Emergency Manager
7. Frank Nachman – Region 9 Director of Operations
8. Jake Roloson – Region 6 TMC Supervisor
9. Rod Sechrist – Region 6 Director of Operations
10. Cliff Thomas – Main Office Director of ETO & Security Program Coordinator
11. Uzo Udenta - Eng-Wong, Taub & Associates
12. Jon Van Vleet – Region 9 Emergency Manager
13. Peter White – Region 6 Director
14. Jack Williams – Region 9 Director

Preparedness

- Confusion about TOC (Transportation Operations Center), TIC (Transportation Information Center) or TMC (Transportation Management Center)
- Highest level in the Department needs to know of the importance of the TOC (Transportation Operations Center)
  - A regional link
  - Is needed in the region
  - A point of mobilization
  - A communications hub
  - A public information coordinator
  - A major communications link between internal and external
- Region 6 has and is holding IM meetings
  - TIM teams have already been done in Chemung for fire. Starting in Steuben County on Monday. Will do Steuben County in thirds because of its size
  - Started as an ITS study with MPO coordination in Elmira. Developed and finalized detours. Detour guides will be available in all first responder vehicles. Borrowed materials from NITTEC
  - Federal government disapproves of static detour signing because it is not in the MUTCD
- DOT needs training on how to clear major incidents when DOT has the authority
- Training course
  - Could it be used for volunteer fire department?
  - A shorter module is needed for those with limited time

Response
• DOT can respond better than anyone
• Region 9 utilizes signal crews to keep traffic moving during detours
  o Some parts of Routes 7 and 11 are not on the national highway system and are not eligible for federal funds/aid
  o If there is an incident called into 911; 911 will call the TOC
  o TOC asks the following four questions
    ▪ Is the road closed?
    ▪ Is DOT assistance needed?
    ▪ Will the incident last more than one hour?
    ▪ Is there damage to any DOT facility?
  o If any answers are yes, a HMS2 will be dispatched and assist with closure and detouring
• TIM teams – everyone is called when needed and are given one hour to get there
• Response time is not a huge issue
• Average DOT response time is two hours on weekends
• Incidents have to be at least two to three hours long before DOT will deploy
• Region 6 – 2006 Flooding
  o Did not mobilize ICS structure
  o AREs were sent into traffic
• After assessments, Region 9 needed some help so Region 6 went to Region 9 and helped with damage assessments
  o Hazmat spill adjacent to Route 15 on the Railroad– heard about it on the radio, was not contacted by railroad company
  o Closed route 15 but not the local roads. Went out to change all of the signal timings to help traffic flow
• Region 9 – Flooding in 2006 and 2007
  o June 2006
    o Prepared day ahead
    o Built up staffing patterns
    o Farthest ever gone in activating ICS structure
• November 2006
  o Started ramping up even before it hit
  o Small ICS structure, but everyone was in the right position
• June 2007 Flash flooding
  o EOC in Binghamton was active
  o Staging area in Colchester
  o Problem with communications

Recovery

• June flood reimbursement of $40 million did not come out of the Region 6 budget. Smaller events have come out of the budget.
• Region 9 does not have a problem with reimbursement procedures. They need to keep up-to-date on changes in procedures. Roberta has been a big help. There is a lot of work to be done after each event
• Don’t have a problem in submitting paperwork, but money goes back to state, not to the regions
• People don’t realize the effort and resources that are needed during and after the event
**Crosscutting Issues**

- Goal is to legitimize TOCs and ETO, and get them mainstreamed/resourced
- DOT does not have enough staff. Especially during snow and ice times when there is a major incident. Then there may be not enough staff to take care of the incident
- Hazards
- Snow & Ice
- Dams
  - localized
- Flooding
  - Genesee River encroaching on Route 19
  - As soon as there is water that touches a roads white edge line they don’t let anyone on the road, sometimes even emergency vehicles. That is the decision of the Chief
- Wind Storms
- Traffic Incidents
- Rail yard
- Failure of an asset
  - Reduce loading on a bridge
    - Bridge failure/postings
- Performance Measures
- Time period of response
  - How well did they respond in the time frame taking into account the type of incident you are responding to
- Phone calls/Complaints
  - How well is customer satisfied?
- Readiness
  - Did they have a plan?
  - Readiness/Equipment Readiness report
  - Personnel
  - Resources/Equipment
  - Communication system
  - Preparedness
    - Prepared in the right places?
- Number of crashes/secondary crashes
- Delay of traffic
- How quickly were signs put up?
- Return to service; returning assets to normal
- Type of incident
- Good at Snow and Ice
  - Use of VMS during a snow and ice events
  - People have to slow down to read VMS, which is beneficial in preventing some accidents
- Travel Times
  - Average travel speed on highways.
  - Can gauge how long it took to get back to normal speeds
- Number of people actually using detours from the road with the incident
  - How effective is the detour signage
- How well are people using the information?
Customers
  o Surveys
  o Outreach
  The ability to survey and get comments on the website
    o On website for four months and have had 32 responses
Training
Experience
ICS/NIMS
  o ICS 100 – classroom instruction and online at the residency. Viewed as effective as classroom instruction. Taught by FHWA and part NHI
  o NIMS 100 and 700 are at operator level
Region 9
  o Drill flood response tool every other month – try to when they have the resources
  o Training is pretty much handed down to new people, nothing standard
Last drill done by Region 6 was Y2K
  o They do small scale drills
Major planned special event
  o Region 6
    ▪ Watkins Glen NASCAR racing
    ▪ About 100,000 people
    ▪ Air Show
  o Region 9
    ▪ PGA Golf
    ▪ Air Show
Legislation
  Automated speed enforcement
    o In work zones that are in operation
Design/Build
  o Major bridge collapse
Mutual Aid/Legal protection
Road closed State of Emergency
  o When there is a road closed, the closure needs to be enforced
  o People are still driving on closed roads
Reimbursement going back to regions

Gaps
Overtime
  o Need approval for CE2+ to get overtime
  o Grade 23+
Need to be staffed as an emergency organization
Need right road and technical equipment for the job
Need “Toughbook” laptops
Users cannot get data
  o OIS issue
Communication
  o Wireless
  o Radio
  o When the electricity is down, radios don’t work
Summary of Regions 3 and 7 Meeting  
North Syracuse, New York  
November 28, 2007

Those in Attendance

1. Dawn Arnold – Main Office Civil Engineer 2  
2. R. Carey Babyak – Region 7 Director  
3. John Bassett – Main Office ITS Program Manager  
4. Timothy Conway – Main Office Assistant to Delivery Division Director  
5. John Cook – Region 7 Director of Operations  
6. Carl Ford – Region 3 Director  
7. Diana Graser – Region 3 Traffic Engineer  
8. Eric Hansen – Region 3 ITS Manager  
9. David Isbell – Region 3 Emergency Manager  
10. Walter Kraft - Eng-Wong, Taub & Associates  
11. Rob Limoges – Main Office ETO Manager  
12. Diana Miller – Region 3 TMC Manager  
13. Dennis Pawticki – Region 7 Emergency Manager/Asst Director of Operations  
14. Martin Percy – Region 7 Traffic Engineer  
15. Dave Smith – Region 3 Director of Operations  
16. Cliff Thomas – Main Office Director of ETO and Security Program Coordinator  
17. Uzo Udenta - Eng-Wong, Taub & Associates

Preparedness

- Most performance measures should be under planning and preparedness.
- NIMS/ICS Training  
  o Drills are important.
  o Everyone has been trained in courses 100 & 700 by taking the course on-line (were given 4 hours to do). Course 200 will be required of some people, such as management, during Spring 2008.
  o In Region 7, a person went around to each employee asking if they knew how to use computers and took about 10 minutes to watch the employee check e-mail, go on the internet, etc.
  o Region 3 started to ramp up last winter until snow and ice diverted the efforts.
  o Discussion about training employees in a class room or on-line.  
    ▪ This is an issue. How should it be done?  
    ▪ Main office can provide support to the regions with trainers and facilitators.
    ▪ Lack of in-house trainers.
      ▪ They are not professional presenters/teachers.
      ▪ Done as a sideline and not a primary job.
      ▪ The need for training is exceeding in-house capabilities, need professional help.
o Fire service has an apprentice program. Could do something similar. Need good leadership. Could send trainees to incident scenes to learn. Direction needs to come from main office. Could establish a main office advisory team to assist the regions.
  o When responding to an incident, the individual should retain what to do and what not to do.
  o IMAT teams needs to have a defined role. IMAT is a federal or state entity. They are a mentoring team. They should be requested not sent without a request. IMAT could be a facilitator. There are concerns about IMAT coming in and dictating. They should be there to help. They could run drills in the regions.
  o Every region handles events differently. Functionality needs to be consistent; process does not.
• Planning is good but still need staff to execute.

Response

• Region 3
  o Oneida Train Fire
  o Shut down the Thruway.
  o Involved Regions 2, 3, and 7.
  o Traffic was detoured through Region 3 from Region 2.
  o Good communications.
  o Received information from state police.
  o Set up a one-way couple to improve traffic flow.
  o Tried to do long range diversions
  o Impacts changed throughout the day
• Accident on the Interstate
  o DOT goes to site to determine what it is and how long it may last
  o Looking to send data for damage assessment
  o Photos from a mobile telephone can provide snapshots of incidents and can be sent to other sites
• Region 7
  o Clinton County Earthquake
  o Happened on a Saturday.
  o Needed to do system checks and infrastructure assessments on highways and bridges to check for cracks.
    ▪ Did a system check in one day
  o Had an ICS structure in place so everyone knew their role
    ▪ Having ICS structure in place and practicing it is important
    ▪ Everyone needs to know their role and where they fit into the organization
  o Not everyone needs to respond, just the key players
  o Had an up-to-date contact list

Recovery

• Recovery Time
• Amount of time it takes after an incident is cleared to restore to normal conditions.
• How much time does it take to submit a DDIR?
• How well did we do to restore the system?
• February 2007 Oswego Snow storm
  o Governor declared a state of emergency and deployed National Guard troops.
  o After the event was over and during a debriefing session, the National Guard commander stated “The next time you have a drill can we be invited because you do this better than we do”
• Do Regions get money back if local resources are used for an incident?
  o For bigger events maybe; for smaller events it may go to the General Fund.
  o Need to find out what happens to the reimbursed funds. A lot of discussion on this topic. Regions want to get back the funds they spend for special events.
  o ADR money is used for operations

Cross cutting issues

• Performance Measures
  o Number taking ICS courses.
  o Number of complaints/compliments.
  o Equipment downtime.
  o Hours of use/amount of time it’s operational.
  o Response Time.
• What’s going well?
  o DOT’s response to large incidents.
  o Inter- regional cooperation.
  o Culture
  o Willingness to help.
  o Main Office coordination.
  o Intra-regional cooperation
  o Response to an incident within the region.
  o Employees care about the region.
  o Had an incident one day and three days later when there was another incident. Region7 didn’t even have to call some people, they just showed up.
  o Willingness of employees/staff to show up when needed.
  o They go when the call comes.
  o Networking with locals and other agencies, etc.
• What’s not working well/what are the Gaps?
  o Formal pattern program that each region can model after.
  o Need a formal ETO program in each region.
  o Equipment, manpower, budget.
  o Overtime for Grades 23 and 24
  o Need them to be eligible for overtime.
  o Timely payment.
  o Division of Budget(DOB)
  o Need more staff
  o Operation
    ▪ Plow drivers.
  o ITS/Maintenance.
  o TMC Operators.
- People to staff TIM teams.
- Resources to meet performance standards.
- Incident Response.
- Don't have any back-up
- Employees know that they have to be around for the snow and ice season so they either take vacation early or they have until April 1st to take their vacation
- Not enough publicity of DOT doing well
Summary of Regions 4 and 5 Meeting

Rochester, New York

November 29, 2007

Those in Attendance

1. Dawn Arnold – Main Office Civil Engineer 2
2. Dave Barabasz – Region 5 Area Resident Engineer
3. Ken Bittner – Region 4 Local Government Assistant
4. Dave Christopher – Region 5 Transportation Maintenance
5. Timothy Conway – Main Office Civil Engineer 4
6. Jeff Dunlap – Region 4 Resident Engineer
7. Dave Goehrung – Region 4 Traffic Engineer
8. Brian Holmes – Region 4 Assistant Director of Operations/Emergency Manager
10. Ramsey Kahi – Region 5 Resident Engineer – Niagara
11. Greg Kerrick – Region 4 Resident Engineer
12. Walter Kraft - Eng-Wong, Taub & Associates
13. Rob Limoges – Main Office ETO Manager
14. Dan McCusker – Region 4 ITS Coordinator/TOC Manager
15. Brian McMahon – Region 4/ Main Office RPM
16. Thomas Messana – Region 5 Traffic Engineer
17. Charles Morgante – Region 5 Director of Operations
18. Steve Myers – Region 4 CSEA U.P Local 506
19. Kevin O’Buckley – Region 4 Director
20. Tim Roach – Region 5 Resident Engineer- Erie South
21. Ed Roberts – Main Office System Optimization Bureau
22. Michael Roche – Region 5 ITS Coordinator
23. Bryan Severino – Region 4 HMS II
24. Larry Sherman – Region 4 Director of Operations
25. Gary Sick – Region 4 Environmental Specialist
26. Michael Smith – Region 5 TOC Manager/NITTEC
27. Al Taylor – Region 5 Director
28. Cliff Thomas – Director of ETO and Security Program Coordinator
29. Uzo Udenta – Eng-Wong, Taub & Associates

Preparedness

- Training
  - Every employee in Region 5 has had ICS 100 and NIMS 700 training, and then based on their roles on the ICS chart they have to take more advanced training.
  - NIMS 700 was done in the residencies by groups. They trained the trainers and then the trainers went out to each residency to teach others.
  - ICS 100 training was done on the internet.
Classroom training is more effective because the trainers have more experience and you are able to ask them questions whereas on-line you are not able to do that.

Some think the on-line course forces you to pay attention whereas in a classroom setting you might get bored and not pay as much attention.

Those not deeply involved should take the courses on-line, and those deeply involved should do the classroom training.

One person said that when they went for ICS 300 training by SEMO. The person did not get good feedback from the trainers because the trainers don't like a person coming in for classroom training after taking another course on-line. The trainers think the person is not as proficient because they took previous courses on-line.

- Drills/Exercises
  - Assemble drills among the residencies
    - Assessment team drills
    - Drills with the residencies and NITTEC
    - Thinking about getting the ATIG involved in Power Authority drills
    - For example, a group will go and pretend a dam failed and another group will act as an assessment team to how well they responded to the incident.
  - Region 5 has a meeting about a procedure if there is an incident.
  - They have snow evacuation routes.
  - The County in Region 5 has a disaster preparedness committee.

Response

- Region 5
  - Orchard Park Stadium for Buffalo Bills Games
    - Every Sunday there are a lot of people at Orchard Park around the stadium.
    - NYSDOT, NITTEC Thruway, Buffalo Bills, and local authorities all sat down to come up with a traffic management plan.
      - Works well because all stakeholders were at the table.
    - Developed messages for motorists to use alternate underutilized routes.
      - Used portable and permanent signs.
      - Used HAR and PVMS.
      - Gave motorists detours and alternate routes to get to the stadium.
    - Police are responsible to report to NITTEC about any traffic in the area and come up with a route to redirect traffic.
      - One HAR station in Buffalo is operated by the Thruway.
      - County Sheriff was the lead for many years and has people on-site.
      - Use elements of what has been used for the Erie County Fair.
      - Erie County Sheriff helicopter has a video camera, which sends back images. Will try to get it back to the TMC also.
      - Are reversing lanes on the state highways.
  - Region 4
    - Structure slipping on I-490
      - Had to close I-490 right before pm rush hour and stayed closed through the am rush hour.
      - State police suggested that command center be moved to the TMC.
Recovery

- Quick clearance – depends on who responds, some police are reluctant and sympathetic to the vehicle owners.
  - Want to have a policy that states that they can move debris out of the roadway – referred to the NYS Highway Law, Section 15 Article 2 and got an opinion that the roadway could be cleared. DOT responders need to be directed to implement quick clearance.
- Region 4 has after incident meetings for major incidents. Whoever is involved attends – police, EMS, fire. Go over what went well and what didn’t. Traffic management committee evaluates previous events and discusses events that could happen.
- Region 5 – REMs have a conference call to discuss previous events
- Everything goes well at the meetings but no one brings that information back to their agencies and actually implements it.
  - Training and documentation is most effective.
- It is a cooperative effort in the regions to get the DDIRs submitted. It is not one person’s job to do it.

Cross cutting issues

- What are Gaps?
  - Triggers
    - Recognizing when incidents go from everyday to non-routine, ordinary to non-ordinary.
    - Residency is the first contacted, then the STICC.
    - Region 5 has an assist plan for snow and ice.
    - Documenting resources beforehand.
  - Staffing
  - Equipment
    - Sharing equipment.
      - Regions share equipment just by documenting it and signing it out.
  - Training/Drills
    - ICS reality
      - More training.
      - More “real world” and relevant experience.
    - IMAT Teams
      - Deploy for “all hazards”.
      - Need people who are willing and able.
      - Inter-agency teams need to have persons who are experts in every area
      - Recommend everyone going to an IMAT workshop
        - People bring different levels of knowledge and expertise
  - Security of Assets
    - County Measures
    - Don’t keep up strategies.
      - When an event is over and done with, don’t remember or utilize the strategy for the next event.
  - Retention and domain of knowledge
    - Knowledge is not being transferred to people leaving and new people coming in who don’t have that knowledge.
- Policies
  - Clear the Road
  - Overtime
  - Incident Response
  - Money going back to regions

- Performance measures
  - NITTEC
    - Monitor performance on quick clearance.
    - Number of incidents.
    - Number of disabled vehicles.
    - How long it took them to get there.
    - How long it took to clear.
    - At the end of the year review, look at the information and look for improvement
    - HELP team response
      - How long they were at the scene.
      - What backup did they provide?
  - Do annual regional self assessments with FHWA.
  - Travel
    - Reimbursement for traveling to an incident
  - Overtime for Grade 23 +
  - Drills
    - How many drills did you have?
    - How effective was the drill?
Appendix H:
Traffic Incident Management
INTRODUCTION

Definition

Traffic Incident Management (TIM) is defined as an operational strategy for a transportation network that involves a coordinated and planned inter-jurisdictional, cross-functional, multidisciplinary, and ongoing approach to restore traffic to normal conditions after an event occurs, and to minimize the delay caused by the resulting disruption to traffic flow. TIM consists of the following major stages depicted in Figure H-1 below.

Figure H-1: Timeline of Stages in the Traffic Incident Management Process

1. Detection – the process by which it is determined that an event has occurred and is brought to the attention of the agency/agencies responsible for maintaining traffic flow and safe operations on the facility. Examples include:
   
   a. Cell phone calls from motorists
   b. CCTV images viewed by operators
c. Electronic detection (video processing, radar, induction loops) with traffic incident detection algorithms

d. Police/Service patrols
e. Calls from public works crews
f. Motorist aid telephones and call boxes

2. **Verification** – confirming that an event has occurred, determining its exact location, and obtaining as many relevant details about the event in order to dispatch the proper initial response. This is usually completed by the first responders on the scene. Verification techniques include:

   a. Field units (e.g. police) at the event site
   b. Closed circuit TV images
   c. Communication with helicopters operated by police, media or information service providers
   d. Combining information from multiple cellular calls
   e. Airborne platforms or satellites

3. **Motorist Information** – activating various means of disseminating event-related information to affected motorists through the use of the following methods:

   a. Variable message signs (VMS)
   b. Highway advisory radio (HAR)
   c. Commercial radio and television broadcasts
   d. Telephone information systems
   e. In-vehicle or personal data assistant information
   f. Internet/on-line services
   g. Information service providers (ISP)

4. **Response** – dispatching the appropriate personnel and equipment, and activating the appropriate communication links and motorist information media as the event is verified. Timely and effective response reduces the event’s duration, and therefore, the time of roadway operation at reduced capacity. The following means are used:

   a. Advanced response vehicles that include a mobile communications platform, GPS and other features to facilitate efficient response
   b. Personnel and logistics support
   c. Interagency response planning and mutual-aid agreements
   d. Intra- and inter-agency communications
5. **Site Management** – the process of effectively coordinating and managing on-scene resources. Effective site management increases safety for crash victims, motorists and responders; coordinates responder activities; and decreases the impacts of an event on the transportation system. Techniques include:

   a. Accurately assessing events
   b. Properly establishing priorities
   c. Institution of an Incident Command System (ICS) and Unified Command Structure (UCS)
   d. Notifying and coordinating with appropriate agencies and organizations
   e. Proper placement and coordinating of response vehicles at traffic incident scenes

6. **Traffic Management** – the application of traffic control measures onsite and in areas affected by an event. Effective traffic management minimizes traffic disruption while maintaining a safe workplace for responders and reduces the likelihood of secondary crashes. Methods include:

   a. Establishing and operating alternate routes
   b. Availability of cones, flares, warning signs, arrow boards, portable VMS and other traffic control resources
   c. Availability of traffic control devices such as VMS, HAR, ramp meters, traffic signals
   d. Queue management to actively monitor the end of queue and warn approaching motorists
   e. Reduce long-term traffic incident duration

7. **Clearance** – the process of removing wreckage, debris, or any other elements that disrupt the normal flow of traffic. Improving traffic incident clearance procedures can:

   a. Minimize motorist delay
   b. Make effective use of all resources
   c. Enhance the safety of responders and travelers
   d. Protect the roadway and private property from unnecessary damage during the removal process

8. **Recovery** – the process of evaluating the long-term impact of an incident and identifying recovery actions needed to mitigate those impacts. The goal of recovery is to restore the roadway capacity to its pre-event condition. Recovery actions include:

   a. Restoring traffic flow
   b. Restore the roadway to its pre-event capacity quickly and safely
c. Debris clearance
d. Damage assessments
e. Restoration of damaged infrastructure
f. Structural inspections

TRAFFIC INCIDENT MANAGEMENT PARTNERS

Traffic Incident Management is a coordinated process that involves a number of public and private sector partners, including:

- Law Enforcement
- Fire and Rescue
- Emergency Medical Services
- Transportation
- Public Safety Communications
- Emergency Management
- Towing and Recovery
- Hazardous Materials Contractors
- Traffic Information Media

Law Enforcement

Law enforcement agencies include State Police and Highway Patrols, County Police Sheriffs, Township, Municipal Police and other agencies which have officers sworn to enforce laws. On the scene of a traffic incident the duties of these officials include:

- Securing the incident scene
- Providing emergency medical aid until help arrives
- Safeguarding personal property
- Conducting accident investigations
- Serving as incident commander
- Supervising scene clearance
- Assisting disabled motorists
- Directing traffic

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Law enforcement agencies are first responders at traffic incident scenes, providing 24-hour emergency response.

**Fire and Rescue**

Fire and rescue services are provided by county and municipal fire departments, and by surrounding fire departments through mutual aid agreements. Typical roles and responsibilities at traffic incidents assumed by fire departments include:

- Protecting the incident scene
- Suppressing fires
- Providing emergency medical care
- Serving as incident commander
- Providing initial HAZMAT response and containment
- Rescuing crash victims from contaminated environments
- Rescuing crash victims from wrecked vehicles
- Arranging transportation for the injured
- Assisting in incident clearance

In most jurisdictions, the fire department is the primary emergency response agency for hazardous materials spills. Like law enforcement agencies, fire and rescue departments also operate as first responders under a well-defined command structure providing 24-hour emergency response.

**Emergency Medical Services (EMS)**

The primary responsibilities of EMS are the triage, treatment, and transport of crash victims. Typical roles and responsibilities assumed by EMS at traffic incidents include:

- Providing advanced emergency medical care
- Determining of destination and transportation requirements for the injured
- Coordinating evacuation with fire, police and ambulance or airlift
- Serving as incident commander for medical emergencies
- Determining approximate cause of injuries for the trauma center
- Removing medical waste from incident scene

Emergency medical services have evolved as primary care givers to individuals needing medical care in emergencies. They focus on providing patient care, crash victim rescue, and ensuring the safety of their personnel.
Transportation

Transportation agencies are typically responsible for the overall planning and implementation of traffic incident management programs. These agencies are also involved in the development, implementation, and operation of traffic operations centers (TOC), as well as the management of service patrols. Typical operational responsibilities assumed by transportation agencies and their service patrols include:

- Assist in incident detection and verification
- Initiate traffic management strategies on incident impacted facilities
- Protect the incident scene
- Provide traffic control
- Assist motorist with disabled vehicles
- Provide motorist information
- Provide special equipment clearing incident scenes
- Determine incident clearance and roadway repair needs
- Establish and operate alternate routes
- Coordinate clearance and repair resources
- Serve as incident commander for clearance and repair functions
- Repair transportation infrastructure

Transportation agencies are secondary responders. That is, they are typically called to the incident scene by first responders, usually by law enforcement.

Public Safety Communications

Public safety communications services are the 911 call takers and dispatchers. Call takers route emergency calls to appropriate dispatch. In some areas, all public safety emergency calls (police, fire and rescue, and emergency medical) are handled in one joint center with call takers sending calls to appropriate agency dispatch depending on the nature of the call. In smaller urban areas and in many rural areas, call-takers may also dispatch public safety response.

Emergency Management

State and local governments have agencies whose duties are to plan for and coordinate multi-agency response to large-scale emergencies such as natural and man-made disasters. Even very large highway incidents rarely activate emergency response plans unless they necessitate evacuation due to a spill or presence of hazardous materials. Emergency management agencies maintain lists of the location of many public and private sector resources that might be needed in a major emergency. These lists and contacts for activating resources are valuable tools in planning multi-agency response to major highway incidents.
Towing and Recovery

Towing and recovery service providers are responsible for the safe and efficient removal of wrecked or disabled vehicles, and debris from the incident scene. Their typical responsibilities include:

- Recover and remove vehicles from incident scene
- Protect victims’ property and vehicles
- Remove debris from the roadway
- Provide other services, such as traffic control, as directed or under contract

Towing and recovery companies are secondary responders operating under a towing arrangement usually maintained by a law enforcement agency. Towing and recovery arrangements generally fall under one of two major types – rotation or contract. In rotation towing, a police department will maintain a list of pre-qualified companies and will rotate the call of those companies. In contract towing, companies are contracted to provide specific services on call. Towing and recovery companies that respond to highway incidents are indispensable components of all incident management programs.

Hazardous Materials Contractors

Hazardous materials contractors operate in a number of regions in the United States. They are hired by emergency or transportation authorities to clean up and dispose of toxic or hazardous materials. Most common (and small quantity) engine fluid spills (oil, diesel fuel, gasoline, anti-freeze, etc.) can be contained and cleaned up without calling hazardous materials contractors.

Traffic Information Media

Traffic information service providers are primarily private sector companies that gather and disseminate traffic condition information. These private providers are the primary source of information for commercial radio traffic information broadcasts, the most common source of traffic information for motorists.³

WHO’S IN CHARGE?

The following template, Figure H-2 below, is an example of a Traffic Incident Response Matrix from Georgia DOT that classifies incidents according to criteria defining four levels of severity. Each level defines responsibilities for responding agencies before and after they reach the site of an event. The purpose for defining "levels" is to more easily classify the magnitude of an event in terms that all responding parties can identify and understand.⁴

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### Figure H-2: GDOT Traffic Incident Response Matrix

#### LEVEL (SEVERITY) OF TRAFFIC INCIDENTS

<table>
<thead>
<tr>
<th>LEVEL</th>
<th>CRITERIA</th>
<th>EXAMPLES</th>
<th>AGENCY RESPONSIBLE FOR ESTABLISHING UNIFIED COMMAND</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level I</td>
<td>No injuries, no travel lanes blocked</td>
<td>Disabled vehicle on shoulder, minor Traffic Incident</td>
<td>Law Enforcement</td>
</tr>
<tr>
<td>Level II</td>
<td>Minor injuries, 1 travel lane blocked</td>
<td>Started vehicle in a travel lane, minor collision</td>
<td>Law Enforcement</td>
</tr>
<tr>
<td>Level III</td>
<td>Serious injuries or 2 or more travel lanes blocked</td>
<td>Multi-vehicle crash, overturned vehicle (NOT HAZMAT involved)</td>
<td>Law Enforcement</td>
</tr>
<tr>
<td>Level IV</td>
<td>Multiple agencies, HAZMAT split, threat to life and property extends beyond the confines of the traffic incident scene, or ALL LAKES BLOCKED</td>
<td>Overturned HAZMAT truck, fallen power lines, or debris in the roadway, multiple vehicle crash, life threatening injuries or property damage</td>
<td>Fire &amp; Rescue</td>
</tr>
</tbody>
</table>

#### TRAFFIC INCIDENT RESPONSE MATRIX

<table>
<thead>
<tr>
<th>LEVEL</th>
<th>LAW ENFORCEMENT</th>
<th>FIRE &amp; RESCUE</th>
<th>EMS</th>
<th>EPD/HAZMAT</th>
<th>TOWING &amp; RECOVERY</th>
<th>H.E. CAR UNIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level I</td>
<td>Notify dispatch</td>
<td>No Responsibility</td>
<td>No Responsibility</td>
<td>No Responsibility</td>
<td>When directed, remove vehicle(s) from the roadway shoulder area; assist personnel as needed.</td>
<td>Notify TMC</td>
</tr>
<tr>
<td></td>
<td></td>
<td>May be dispatched to care for injured</td>
<td>Provide medical care to the injured</td>
<td>No Responsibility</td>
<td>When directed, remove vehicle(s) from roadway, establish traffic controls</td>
<td>Notify TMC</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level II</td>
<td>Notify dispatch</td>
<td>Secure scene</td>
<td>Protect life and property</td>
<td>Establish IOP</td>
<td>Provide medical care to the injured</td>
<td>Assist in removal of debris; remove vehicle(s) from roadway</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level III</td>
<td>Secure traffic incident scene; assist the injured, establish IOP; conduct investigation</td>
<td>Secure area; clean up of debris; remove injuries and debris from roadway</td>
<td>Provide medical care to the injured</td>
<td>Secure area; clean up of debris; remove injuries and debris from roadway</td>
<td>Consult with the investigator, provide safety equipment and materials</td>
<td>Establish debris as needed; contact property damage; provide support equipment and materials</td>
</tr>
<tr>
<td>Level IV</td>
<td>Secure traffic incident scene; assist the injured, establish IOP; conduct investigation</td>
<td>Secure scene; protect life and property; establish IOP; request clean up and containment of hazardous materials</td>
<td>Provide medical care to the injured</td>
<td>Secure area; clean up of debris; remove injuries and debris from roadway</td>
<td>Assess the area for debris; provide safety equipment and materials</td>
<td>Establish debris as needed; contact property damage; provide support equipment and materials</td>
</tr>
</tbody>
</table>

**NOTE:** Listed are key agencies for each level of traffic incident during initial response.

**REMEMBER:** The responding agency taking first at the traffic incident scene, by default is the traffic incident manager, until the nature of the incident changes and/or additional response agencies arrive on the scene and assume command.
NATIONAL UNIFIED GOAL

The National Unified Goal (NUG) for Traffic Incident Management (TIM) is a unified national policy developed by major national organizations representing traffic incident responders, under the leadership of the National Traffic Incident Management Coalition (NTIMC). The NUG encourages state and local transportation and public safety agencies to adopt unified, multi-disciplinary policies, procedures and practices that will dramatically improve the way traffic incidents are managed on U.S. roadways. The three major objectives of the Traffic Incident Management National Unified Goal are:

- Responder Safety
- Safe, quick clearance; and
- Prompt, reliable, interoperable communications

NTIMC will achieve the three major objectives of the National Unified Goal through the implementation of the following 18 strategies:

Cross-Cutting Strategies

- **Strategy 1. TIM Partnerships and Programs.** Traffic Incident Management partners at the national, state, regional and local levels should work together to promote, develop and sustain effective Traffic Incident Management Programs.

- **Strategy 2. Multidisciplinary NIMS and TIM Training.** Traffic Incident Management responders should receive multidisciplinary National Incident Management System (NIMS) and Traffic Incident Management (TIM) training.

- **Strategy 3. Goals for Performance and Progress.** Traffic Incident Management partners should work together to establish and implement performance goals at the state, regional and local levels for increasing the effectiveness of Traffic Incident Management, including methods for measuring and monitoring progress.

- **Strategy 4. TIM Technology.** Traffic Incident Management partners at the national, state, regional and local levels should work together for rapid and coordinated implementation of beneficial new technologies for Traffic Incident Management.

- **Strategy 5. Effective TIM Policies.** Traffic Incident Management partners at the national, state, regional and local levels should join together to raise awareness regarding proposed policies and legislation that affect achievement of the National Unified Goal objectives of Responder Safety; Safe, Quick Clearance; and Prompt, Reliable Traffic Incident Communications.
• **Strategy 6. Awareness and Education Partnerships.** Broad partnerships should be developed to promote public awareness and education regarding the public’s role in safe, efficient resolution of incidents on the roadways.

**Objective 1: Responder Safety**

• **Strategy 7. Recommended Practices for Responder Safety.** Recommended practices for responder safety and for traffic control at incident scenes should be developed, and widely published, distributed and adopted.

• **Strategy 8. Move Over/Slow Down Laws.** Drivers should be required to Move Over/Slow Down when approaching traffic incident response vehicles and traffic incident responders on the roadway.

• **Strategy 9. Driver Training and Awareness.** Driver training and awareness programs should teach drivers how to react to emergencies on the roadway in order to prevent secondary incidents, including traffic incident responder injuries and deaths.

**Objective 2: Safe, Quick Clearance**

• **Strategy 10. Multidisciplinary TIM Procedures.** Traffic Incident Management partners at the state, regional and local levels should develop and adopt multidisciplinary procedures for coordination of Traffic Incident Management operations, based on national recommended practices and procedures.

• **Strategy 11. Response and Clearance Time Goals.** Traffic Incident Management partners at the state, regional and local levels should commit to achievement of goals for traffic incident response and clearance times (as a component of broader goals for more effective Traffic Incident Management--see Strategy 3).

• **Strategy 12. 24/7 Availability.** Traffic Incident Management responders and resources should be available 24/7.

**Objective 3: Prompt, Reliable Incident Communications**

• **Strategy 13. Multidisciplinary Communications Practices and Procedures.** Traffic incident responders should develop and implement standardized multidisciplinary traffic incident communications practices and procedures.
• **Strategy 14. Prompt, Reliable Responder Notification.** All traffic incident responders should receive prompt, reliable notification of incidents to which they are expected to respond.

• **Strategy 15. Interoperable Voice and Data Networks.** State, regional and local Traffic Incident Management stakeholders should work together to develop interoperable voice and data networks.

• **Strategy 16. Broadband Emergency Communications Systems.** National Traffic Incident Management stakeholders (working through the National Traffic Incident Management Coalition) should work together to reduce the barriers to integrated broadband emergency communications systems development and integration (both wired and wireless).

• **Strategy 17. Prompt, Reliable Traveler Information Systems.** Traffic Incident Management partners should encourage development of more prompt and reliable traveler information systems that will enable drivers to make travel decisions to reduce the impacts of emergency incidents on traffic flow.

• **Strategy 18. Partnerships with News Media and Information Providers.** Traffic Incident Management partners should actively partner with news media and information service providers to provide prompt, reliable incident information to the public.

ETO and the NUG are two initiatives that involve the management of emergencies. They both have similar objectives and approaches to preparing for and handling emergency situations. Table H-3 is a traceability matrix that relates the NUG strategies with ETO strategies.
## Table H-3:

ETO vs. NUG Strategies Traceability Matrix

<table>
<thead>
<tr>
<th>ETO Strategic Plan</th>
<th>National Unified Goal Strategy</th>
</tr>
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<tr>
<td>P1</td>
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</table>
Appendix I:
List of Acronyms
<table>
<thead>
<tr>
<th>ACRONYM</th>
<th>MEANING</th>
</tr>
</thead>
<tbody>
<tr>
<td>ATIG</td>
<td>Area Transportation Infrastructure Group</td>
</tr>
<tr>
<td>CARS</td>
<td>Condition Acquisition Reporting System</td>
</tr>
<tr>
<td>CCTV</td>
<td>Closed Circuit Television</td>
</tr>
<tr>
<td>CEES</td>
<td>Computerized Engineers Estimate System</td>
</tr>
<tr>
<td>COOP</td>
<td>Continuity of Operations Planning</td>
</tr>
<tr>
<td>DARS</td>
<td>Damage Assessment Reporting System</td>
</tr>
<tr>
<td>DDIR</td>
<td>Detailed Damage Inspection Report</td>
</tr>
<tr>
<td>DEC</td>
<td>Department of Environmental Conservation</td>
</tr>
<tr>
<td>DMV</td>
<td>Department of Motor Vehicles</td>
</tr>
<tr>
<td>DOB</td>
<td>Division of Budget</td>
</tr>
<tr>
<td>DPC</td>
<td>Disaster Preparedness Commission</td>
</tr>
<tr>
<td>DPW</td>
<td>Department of Public Works</td>
</tr>
<tr>
<td>EM</td>
<td>Emergency Manager</td>
</tr>
<tr>
<td>EOP</td>
<td>Emergency Operation Plan</td>
</tr>
<tr>
<td>ER</td>
<td>Emergency Relief</td>
</tr>
<tr>
<td>ETIPS</td>
<td>Events with Transportation Impact</td>
</tr>
<tr>
<td>ETO</td>
<td>Emergency Transportation Operations</td>
</tr>
<tr>
<td>FEMA</td>
<td>Federal Emergency Management Agency</td>
</tr>
<tr>
<td>FHWA</td>
<td>Federal Highway Administration</td>
</tr>
<tr>
<td>GETS</td>
<td>Government Emergency Telecommunications Service</td>
</tr>
<tr>
<td>GIS</td>
<td>Geographic Information System</td>
</tr>
<tr>
<td>GTSC</td>
<td>Governor's Traffic Safety Committee</td>
</tr>
<tr>
<td>HAR</td>
<td>Highway Advisory Radio</td>
</tr>
</tbody>
</table>
HAZMAT ........................................ Hazardous Material
HELP ........................................ Highway Emergency Local Patrol
IAP ............................................ Incident Action Plan
ICS ........................................... Incident Command System
IEN ............................................ Information Exchange Network
IIMS ......................................... Integrated Incident Management System
IMAT .......................................... Incident Management Assistance Team
ISP ............................................ Information Service Provider
IT ............................................... Information Technology
ITS ............................................ Intelligent Transportation System
MAMIS ....................................... Maintenance Asset Management Information System
MAP ........................................... Manual of Administrative Procedures
MPO ........................................... Metropolitan Planning Organization
MTA ........................................... Metropolitan Transportation Authority
NIMS .......................................... National Incident Management System
NITTEC ....................................... Niagara International Transportation Technology Coalition
NOAA ......................................... National Oceanic and Atmospheric Administration
NWS ........................................... National Weather Service
NYC ........................................... New York City
NYPD .......................................... New York Police Department
NYSDOT ..................................... New York State Department of Transportation
NYSTA ........................................ New York State Thruway Authority
OEM ........................................... Office of Emergency Management
OFT ........................................... Office for Technology
OHS ........................................... Office of Homeland Security
PE .................................. Professional Engineer
PIO .................................. Public Information Officer
PMC .................................. Personnel Monitoring Center
PW .................................. Project Worksheet
RD .................................. Regional Director
RDO .................................. Regional Director of Operations
RE .................................. Regional Engineer
REM .................................. Regional Emergency Manager
REM .................................. Regional Emergency Manager
RSDA .................................. Roadway Status Damage Assessment
RWIS .................................. Regional Weather Information System
SEMO .................................. State Emergency Management Office
SERC .................................. State Emergency Response Commission
SOP .................................. Standard Operating Procedures
SP .................................. State Police
STICC .................................. Statewide Transportation Information and Coordination Center
THRUWAY .................................. New York State Thruway Authority
TIG .................................. Transportation Infrastructure Group or Travel Information Gateway
TIM .................................. Traffic Incident Management
TMC .................................. Transportation Management Center
TRANSCOM .................................. Transportation Command
VMA .................................. Variable Message Sign
WTA .................................. Winter Travel Advisory