

**Application for Federal Assistance SF-424**

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify) <input type="text"/>
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* 3. Date Received: <input type="text" value="03/19/2013"/>	4. Applicant Identifier: <input type="text"/>
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5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>
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**State Use Only:**

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
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**8. APPLICANT INFORMATION:**

\* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="14-6013200"/>	* c. Organizational DUNS: <input type="text" value="616804055"/>
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**d. Address:**

* Street1:	<input type="text" value="1220 Washington Avenue"/>
Street2:	<input type="text" value="State Campus Building 7A Suite 610"/>
* City:	<input type="text" value="Albany"/>
County:	<input type="text"/>
* State:	<input type="text" value="NY: New York"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="12226-1800"/>

**e. Organizational Unit:**

Department Name: <input type="text"/>	Division Name: <input type="text"/>
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**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: <input type="text"/>	* First Name: <input type="text" value="Shelley"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Wahrlich"/>	
Suffix: <input type="text"/>	

Title:

Organizational Affiliation:

* Telephone Number: <input type="text" value="518-242-5108"/>	Fax Number: <input type="text"/>
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\* Email:

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**9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

National Telecommunications and Information Admini

**11. Catalog of Federal Domestic Assistance Number:**

11.549

CFDA Title:

State and Local Implementation Grant Program

**\* 12. Funding Opportunity Number:**

2013-NTIA-SLIGP-01

\* Title:

State and Local Implementation Grant Program (SLIGP)

**13. Competition Identification Number:**

2013-NTIA-SLIGP-01

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\* 15. Descriptive Title of Applicant's Project:**

FY2013 State and Local Implementation Grant Program (SLIGP)

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

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**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="4,984,000.00"/>
* b. Applicant	<input type="text" value="1,246,258.30"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="6,230,258.30"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

- Yes  No

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

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**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

**New York State - State and Local Implementation Grant Program (SLIGP)**  
**Supplemental Application Narrative**

**1. Existing Governance Body**

**a. Describe the organizational structure and membership of the existing Statewide Interoperability Governing Body (SIGB), or its equivalent, that is responsible for public safety communications in the State.**

New York State currently has two active interoperable communications boards/working groups. The State Interoperable and Emergency Communication Board (SIEC Board) and the Communications and Interoperability Working Group (CIWG).

Section 326 of the New York State County Law establishes the State Interoperable and Emergency Communication Board (SIEC Board). Pursuant to section 717(4) of the New York State Executive Law, the Director of the Office of Interoperable and Emergency Communications serves as the Chair of the SIEC Board. The Board's duties under section 328 of the New York State County Law include the following:

- Make recommendations to the Commissioner of the Division of Homeland Security and Emergency Services (DHSES) on the expenditure of grants and other funding programs related to interoperable and emergency communications;
- Make recommendations related to the development, coordination and implementation of policies, plans, standards, programs and services related to interoperable and emergency communications, including but not limited to ensuring compliance with federal mandates for interoperable communications and compatibility with the national incident management system;
- Establish structures and guidelines to maintain interoperable communications planning and coordination at the statewide level;
- Establish, promulgate and revise standards for the operation of public safety answering points; and
- Establish guidelines regarding the creation of regionally based radio communications systems compatible with the structures and guidelines consistent with federal mandates and best practices.

The 25-member SIEC Board is comprised of State agency heads, State legislative representatives, representatives of first responder organizations and experts in the field of interoperable and emergency communications. Members are appointed for a term of four years. This board is the State equivalent of a SIGB.

The CIWG is a working group of the SIEC Board, with a membership of over 30 State, local, Federal and tribal communications practitioners who review the technical aspects of communications challenges and proposed solutions. This group consists of members with diverse expertise from many disciplines, including 9-1-1 coordinators, State law enforcement, county and local law enforcement, fire coordinators, emergency management, military, and the emergency medical service. The State believes this model of two entities is a best practice. We intend to continue using these groups and to expand their responsibilities to include public safety broadband.

By having local and tribal representation in the CIWG we will be able to involve them fully in the process in a "steering committee" capacity. Additionally, in New York there are multiple regional communication consortiums consisting of adjoining counties with common communications and interoperability needs.

The addition of these consortiums to the public safety broadband process will further strengthen county and local representation.

**b. Describe the SIGB's authority to make decisions regarding public safety communications and how these decisions are implemented.**

As described above, the SIEC Board receives its authorities under section 328 of the New York State County Law. The actions of the Board are carried out by the Commissioner of the State Division of Homeland Security and Emergency Services (DHSES), the Statewide Interoperability Coordinator (who serves as Chair) and the staff of the Office of Interoperable and Emergency Communications (OIEC).

**c. Describe how the State will leverage its existing SIGB, or its equivalent, to coordinate the implementation of the Public Safety Broadband Network (PSBN) in the State.**

New York intends to continue to maintain the SIEC/SWIC/CIWG structure, and will expand their scopes to include public safety broadband (PSBB). Given the broad language given the SIEC Board in its enabling legislation to set standards, policies and plans related to emergency communications, we do not expect that any State legislative actions need to occur to include public safety wireless broadband in the activities of the Board.

Both the SIEC and CIWG have received briefings on the status of FirstNet during regular meetings. In the summer of 2012, New York hosted a U.S. Department of Homeland Security sponsored SCIP update workshop on public safety broadband, and members of both the SIEC and CIWG were invited. In addition, Harlin McEwen (a New York State resident), is a member of the CIWG.

**d. How does the State plan to expand its existing SIGB to include representatives with an understanding of wireless broadband and Long Term Evolution (LTE) technology in order to facilitate its consultations with FirstNet?**

Membership of the CIWG is not fixed and we will continue to seek additional New York State practitioners who are versed in PSBB and LTE. Unfortunately, this is not an easy task for government and first responders, as LTE networks do not exist in those settings. A subcommittee for PSBB will be established and existing and new members recruited. New York State suggests that NTIA/FirstNet hold vendor-neutral detailed LTE training/education sessions for members of the State's governance committees.

**e. Does the State currently dedicate sufficient financial resources to adequately support the SIGB? Does the State intend to invest funds received from SLIGP to financially support the SIGB? If so, provide the amount the State expects to request and describe the SIGB functions that these funds will support.**

Meeting expenses (including travel accommodations) for SIEC and CIWG meetings are currently funded by DHSES. Operational staff functions (recording secretary, website, webcasting, etc.) are also supplied by State staff. New York State expects to continue to fund the SIEC and CIWG meetings. We expect that SLIGP funds will be utilized for broadband specific activities.

## **2. Statewide Communications Interoperability Plan (SCIP)**

### **a. Are there existing strategic goals and initiatives in your SCIP focused on public safety wireless broadband? If so, what are they?**

At the time of the last New York State SCIP update in 2011, the FCC had not yet defined the specific direction for the 700MHz public safety broadband. Therefore, the 2011 revision of the SCIP does not set forth any specific recommendations. Rather, the SCIP encourages public safety to monitor developments closely and provide input when necessary.

The Technology section of the State SCIP (Section 5) recognizes the necessity of the new technologies, including public safety broadband:

*“...The acquisition and implementation of new technologies is a significant component in the State’s short- and long-term strategy to improve interoperable communications. The State will acquire, implement, train on, and maintain new technologies solutions that integrate as many of the following capabilities as possible:*

- *Enable seamless communications across all public safety frequency bands;*
- *Provide flexibility in tailoring the features and functionalities to satisfy the unique operational needs of fire, EMS, and law enforcement first responders;*
- *Are designed and hardened adequately to withstand the harsh conditions in which first responders work;*
- *Interoperate with COTS devices (e.g., PDAs, pagers, cell phone, laptops);*
- *Are equipped with GPS location-identification hardware, software, and logging devices;*
- *Support one-to-one and one-to-many (command/broadcast) communications methods; and*
- *Operate via various communications technology delivery platforms (e.g., LMR, conventional trunking, cellular, and broadband)....”*

### **b. Describe how the State has engaged local governments and tribal nations, if applicable, in public safety broadband planning activities that have been completed to date.**

Staff, now associated with DHSES, has been monitoring developments with public safety broadband even prior to the merger that created DHSES in 2010. We have been informing local governments on a regular basis of the progress in this area through our governance structures; however activities were limited to mostly monitoring and information sharing.

One example of a large government wireless data system in New York is the New York City Wireless Network (NYCWIN). The City of New York established a broadband wireless data network, operating at 2.5 GHz, to improve first-response capabilities by supporting secure mobile and fixed applications. The network provides multiple jurisdictions access to real-time video, rapid database lookup, the exchange of rich graphical information, and Automatic Vehicle Location (AVL) applications. As part of the development of NYCWiN, the City built extensive infrastructure that may be leveraged for PSBB build-out.

### **c. Does the State intend to use SLIGP funding to support efforts to update the SCIP by adding public safety wireless broadband strategic goals and initiatives? If so, provide the amount the State expects to request and describe the activities that these funds will support.**

New York does plan to update its SCIP in 2013 to include more public safety broadband details. We expect to begin this process in the summer of 2013 and will begin with an internal document review and update. As we progress to a “clean draft”, we will distribute this to our working group participants for

their review. However, as New York already plans to review and update its SCIP later this year, it is difficult to separate specific costs for the broadband component. We would expect that the staff or consultants hired under this grant application will be involved in this SCIP update as part of their overall activities, as will other existing State employees and members of the governance structures. For the broadband specific updates, New York will track the percentage and amount of time by State employees spent on broadband specific update activities and apply that towards our required match. Direct grant funds are not requested to support the update.

### **3. State-level Involvement**

#### **a. What is the status of the Statewide Interoperability Coordinator (SWIC) for your State? Does this person work full-time in the SWIC capacity? How will this person be involved with SLIGP?**

In New York, the SWIC role is assigned, under section 717(3) of the New York State Executive Law, to the position of the Director of the Office of Interoperable and Emergency Communications (OIEC), an office of DHSES. The Director also chair of the SIEC Board. The current SWIC has held this position since its creation as a formal position with the formation of DHSES in 2010 (the previous SWIC held the position in an acting capacity). The SWIC is closely involved with public safety broadband and has attended several national sessions, regularly engaging with US DHS OEC, the National Council of SWICs (NCSWIC), and others on the topic. Additionally, as the Director of OIEC, the SWIC oversees many of the staff members who are, or will be, involved in FirstNet activities in New York.

#### **b. How will the State's Chief Information Officer/Chief Technology Officer be involved with SLIGP and with activities related to the implementation of the nationwide public safety broadband network?**

New York State is currently undergoing a major IT Transformation initiative (details at: [www.ittransformation.ny.gov](http://www.ittransformation.ny.gov)) that includes a complete organizational realignment as well as several Statewide enterprise projects including network consolidation and optimization. We expect that the State CIO or designee (New York is adopting an approach of cluster CIOs, including a public safety cluster CIO) will be involved in network architecture discussions that FirstNet will hold with New York State. Additionally, the Office of Information Technology Services (ITS) has a representative on the SIEC Board. The Office of Cyber Security (OCS), formally an office within DHSES, has moved under ITS in the IT consolidation (the statutory amendments are currently underway). While OCS will reside with ITS, they continue to be co-located with DHSES and work together on a daily basis. OCS has led the NTIA State Broadband Initiative (SBI) broadband mapping project for New York over the past several years. OIEC and OCS have worked closely on broadband and other mapping projects, and we expect that to continue. OCS will be closely engaged in the Phase 2 data collection effort of this grant program.

#### **c. What other State-level organizations or agencies will be involved with SLIGP?**

DHSES, as the State Administrative Agency (SAA) for Federal grants in New York, has extensive experience with Federal grant programs. DHSES and its offices, such as OIEC, will administer all major aspects of the SLIGP, including reporting, fiscal processing and contact with NTIA and FirstNet.

The Office of Cyber Security (OCS) is the State entity responsible for the NTIA State Broadband Initiative (SBI). The SBI program is creating data that will be highly relevant to FirstNet. This includes not only broadband data depicting a variety of characteristics of the "broadband landscape", but also includes the development of accurate street address points being funded with SBI that will be used for next-

generation 9-1-1 dispatch. As the lead for the broadband mapping, OCS brings experience in broadband data collection and interpretation to this project. OCS was engaged in the preparation of this application and will remain involved in the SLIGP, in particular in Phase 2 data collection.

The New York State Broadband Program Office at the Empire State Development (ESD) Agency administers the Connect NY public broadband grant program. This is an economic development initiative within New York to bring public access broadband to residents. ESD was involved in this grant application and will remain involved in the execution of SLIGP and FirstNet to coordinate any synergies with public access broadband.

The New York State Police (NYSP) is the largest State-level law enforcement agency in New York and is a significant user of commercial cellular mobile broadband. DHSES and the NYSP work very closely together on communications and other public safety activities and their participation in PSBB and State level FirstNet activities will be substantial.

**d. What are the specific staffing resources the State requires to effectively implement the consultation process with the First Responder Network Authority (FirstNet) and perform the requirements of SLIGP? If the application requests funding for additional staffing, provide the amount the State expects to request and describe the positions these funds will support.**

The State is requesting consultant resources to assist in directly performing FirstNet and PSBB activities. These consultant/contractor resources will assist existing State staff with outreach, user survey, meeting facilitation, etc. The State is currently engaging with a contractor to conduct a comprehensive LMR survey of assets and interoperability in New York. While that effort is funded separately, we anticipate a good nexus between the two efforts, reducing the number of times individual local jurisdictions need to be surveyed and met with, reducing the collection of redundant data. In Phase 2, the State will add or transition staff with specific data collection and processing experience to conduct that portion of the SLIGP program, possibly leveraging staff who are currently working on the State Broadband Mapping Initiative. Details on the Phase 2 budget will be provided through a budget amendment once details are provided from NTIA and FirstNet on the data collection process.

**e. How is the State engaging private industry and secondary users (e.g., utilities)?**

The Broadband Program Office (BPO) within the Empire State Development agency continues to work with multiple State agencies to break down barriers and develop policy recommendations to facilitate building broadband networks and increasing adoption and utilization throughout the State.

Access to affordable broadband is viewed as particularly important for the economic development of rural areas because it enables individuals and businesses to participate fully in the online economy regardless of geographical location. Aside from enabling existing businesses to remain in their rural locations, broadband access attracts new business enterprises drawn by lower costs and a more desirable lifestyle. Broadband allows businesses and individuals in rural America to live locally while competing globally. The BPO is actively working with the Governor's Regional Economic Development Councils to expand broadband access in rural areas to attract new and retain current business.

In 2012, New York State Regional Economic Development Council (REDC) strategic plans identified broadband availability as a solution to boost economic development and expand opportunities to promote job growth. During State Fiscal Year 2012-2013 Governor Andrew Cuomo committed more than \$56M in funding to expand broadband into unserved and underserved communities in New York State. Combined, these awards total the largest statewide funding commitment in the nation. The

North Country region, one of the most rural in New York State and with the highest percentage of under/unserved households (20% or 84,788 people), was awarded more than \$12M.

The broadband grants were awarded as follows:

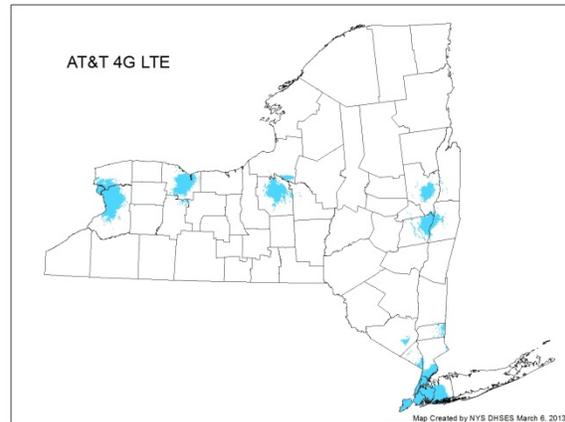
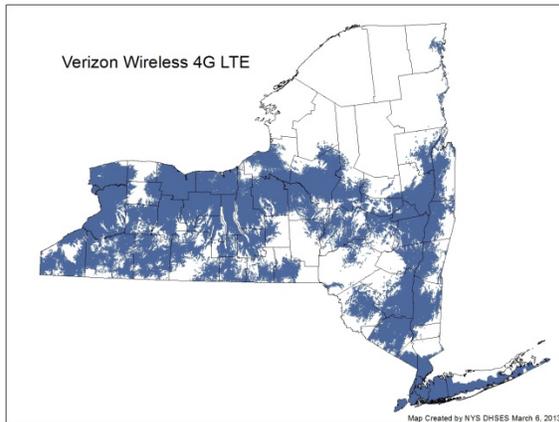
- Connect NY –\$25M in funding awarded to 18 project sponsors to expand high-speed Internet access in under/underserved areas of the State awarded on March 5, 2012;
- Round 2 CFA –\$6M in funding awarded to four project sponsors in the North Country Region, December 2012;
- Round 1 CFA –\$2M in funding awarded to four project sponsors, December 2011;
- Innovation Matching Grants Program – More than \$24M in matching grants were provided in funding to match to New York State ARRA broadband funding recipients.

The infrastructure developed through these rural broadband initiatives will be surveyed in Phase 2 for its availability for use by FirstNet.

As part of New York State’s in-house work on the NTIA national broadband mapping program, we have developed productive relationships with all 86 private sector broadband providers operating within the State and all are voluntarily providing data, semiannually, describing their service territories and high speed internet services. These relationships include the four national mobile wireless companies operating in New York State (AT&T, Verizon, Sprint, and T-Mobile). Two of these have deployed LTE, as shown below:

<b>Provider</b>	<b>Wireless Technology</b>
Verizon Wireless	CDMA, LTE
AT&T	UMTS, HSPA+, LTE
Sprint	CDMA, WiMAX
T-Mobile	UMTS, HSPA21, HSPA42

As part of our State broadband mapping, we can easily show the footprints of available commercial 4G LTE service:



We have also developed excellent working relationships with New York’s telecommunication and cable industry associations. Through these relationships, we are able to accurately map the service territories and broadband services of even the smallest companies, many of whom lack the technical expertise or resources to prepare the mapping on their own.

New York’s data collection efforts extend beyond broadband mapping. The Division of Homeland Security and Emergency Services’ GIS team and member agencies have long-standing working relationships within the public safety community and with the utilities. A major new project, Street Address Mapping (SAM), is underway to accurately map every address at the building level statewide, to support Next Generation 9-1-1. We are also working with our Office of Emergency Management, the Public Service Commission, and representatives from the electric power companies on improving the protocols and data transfer methods for reporting electrical power outages. These contacts and working relationships can be expanded to include public safety broadband opportunities as well.

#### **4. Coordination with Local Government Jurisdictions**

**a. Describe the local government jurisdictional structure (e.g., municipalities, cities, counties, townships, parishes) located within the boundaries of the State, Commonwealth, Territory, or District applying for a grant. How many of these local jurisdictions exist within the State’s boundaries?**

New York State has 62 counties (5 of these are the boroughs of New York City), 62 cities, 932 towns, 555 villages, and 10 tribal jurisdictions represented by the 8 tribes listed in question 6. Incorporated villages exist “on top of” towns, and are usually a smaller area within a town. A few villages cover portions of more than one town. Many of the villages date to the 19<sup>th</sup> century and represent the original core population of the towns where they exist. Their formation facilitated the creation of water and sewer systems, fire companies, and other services not otherwise available.

**b. Describe how your State will involve these local jurisdictions to ensure there is adequate representation of their interests in the FirstNet consultation and in the planning and governance for SLIGP.**

As detailed earlier, the State will utilize its existing governance structures to continue to engage local jurisdictions in the process. We will also utilize additional staff from the grant program to assist with the local outreach.

**c. Describe past methods the State has used to successfully coordinate state-wide projects or activities with local government jurisdictions.**

The State has, and will continue to use, our existing governance structures, the SIEC Board and the CIWG, as our primary method of coordination. In addition, we will utilize the regional communications consortiums that exist, or are in development, to keep local jurisdictions engaged (see answer to question 5).

The New York State Police are working with several counties across the State on joint radio and microwave network projects. In one project in particular, the State Police partnered with a county (which is also a member of an active regional consortium) and the local utility company on a multisite LMR/microwave project. Each participant brought a piece of the project to the table, and together they assembled a complete project.

**d. What have been some of the State's primary challenges when engaging with local jurisdictions? What are some of the strategies that the State will employ to overcome these challenges during implementation of SLIGP?**

The two primary challenges have been State staffing for outreach, and local participation. The State intends to help address the first challenge by the addition of dedicated support through this grant funding opportunity. The second challenge is more complex. Not all jurisdictions are interested in participation and with New York State being a "home rule" type of government, this is their option. Additionally many jurisdictions, especially those in rural areas, do not have the staffing resources to engage on PSBB or even communications on a full time basis. In some counties, the *same person* serves in multiple roles, such as 9-1-1 Coordinator, Fire Coordinator, Emergency Manager, EMS Coordinator, and Mitigation Officer. In many of these offices, that person has only one or two staff to assist them. FirstNet must take this in to consideration and make the process as easy and turnkey as possible. To attempt to mitigate this issue as much as possible, New York will conduct regular outreach and education sessions, including many spread around the State, to encourage participation. We will produce regular broadband updates and distribute those electronically.

## **5. Regional Coordination**

**a. Does your State have intrastate regional committees that are involved with public safety communications? If so, please describe their organizational structure and membership and how they provide input to the SIGB.**

New York, through its Statewide Interoperable Communications Grant program, is encouraging the development of regional systems, interoperability consortiums, and the consolidation of public safety answering points. This approach helps ensure that limited resources are utilized, and redundancy provided, to the maximum extent.

In 2010, New York established a Statewide Interoperable Communications Grant (SICG) Program, which is implemented by DHSES OIEC. This program seeks to establish best practices for interoperability within and between regions, provides for measurable outcomes and communications capability, and planning for long-range sustainability and compatibility with the broader emergency preparedness objectives. Counties, in response, proposed new or expanded existing consortiums/partnerships for interoperable communications purposes. The proposed partnerships reflect their established practices with inter-agency operational and interoperable communications, desired mutual aid operations, recent

experience with larger-scale emergencies and other events geography and infrastructure availability, compatibility of frequencies and licenses, and potential economies of scale.

Consortiums consist of two or more counties formed to promote multi-jurisdictional (two or more) and multi-discipline (two or more) (e.g., law enforcement, fire service, emergency medical, emergency management, public health, public works and communication centers) public safety communications and interoperability; and must support the agencies of New York State.

As of today, there are twelve (12) Interoperable Communications Consortiums/Partnerships established or being developed in New York State. These encompass 58 counties. There are 4 counties not yet formally engaged, but they are exploring the opportunity for membership among the existing consortiums.

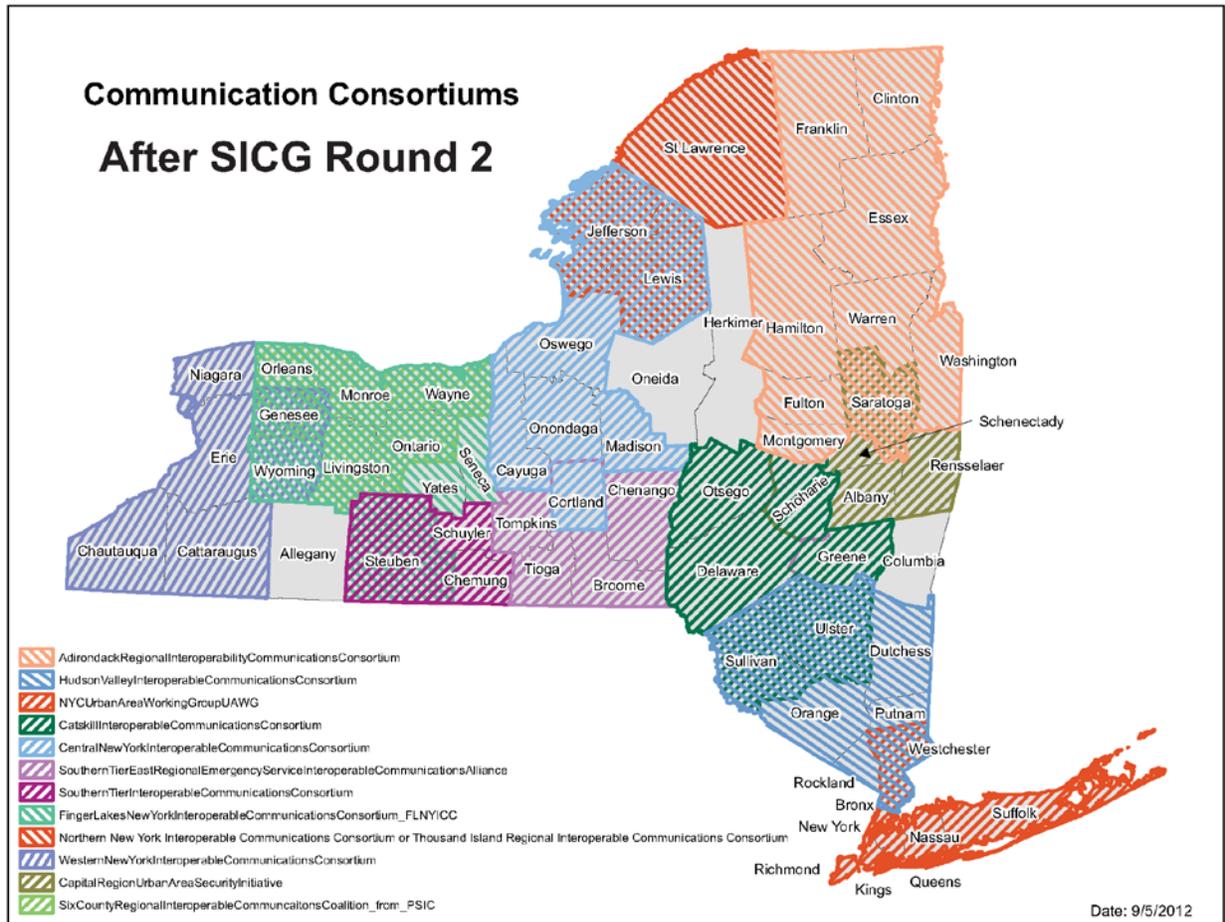
DHSES OIEC, the Statewide Interoperability Coordinator (SWIC), and members of the State Interoperable and Emergency Communication (SIEC) Board provide support and guidance through attendance at consortium meetings, leadership on State standards, direction on emerging technologies, and assistance with technical issues. Many leaders of regional consortiums are also SIEC Board members or members of SIEC Board recognized working groups, such as the CIWG.

We also capitalize on the established connections with existing and long-standing FCC Regional Planning Committees (RPCs). In New York, there are three: RPC 8 (New York Metro Area), RPC 30 (Albany, eastern upstate New York), and RPC 55 (western New York). OIEC engineers are regular attendees of all three meetings (and in some cases, hold formal positions within the RPC) and provide briefings on PSBB activities.

Members of the SIEC Board help guide DHSES SICG programs towards more effective emergency communications standards and operations, and the efficient investment of resources.

The whole process between the State, consortiums, and locals is essentially a complete loop with dynamic feedback. Frequent communications between Board membership and between Board membership and key stakeholders make it possible to maintain, quickly evaluate, and improve the interoperability landscape.

Regional Interoperability Communication Consortiums in New York:



**b. Describe any interstate regional bodies in which your State participates that are involved with public safety communications in the State.**

Regional Planning Committee 8 (RPC 8) is a multistate RPC, encompassing the New York City metropolitan area. In addition, DHSES works closely with both U.S. DHS OEC Region 1 (New England) and Region 2 (New York, New Jersey, Puerto Rico and the Virgin Islands) on interoperability issues. The OEC Region 1 coordinator spent several days in New York during Hurricane Sandy providing coordination assistance. The OEC Region 2 coordinator is a regular attendee of our governance board and working group meetings and works very closely with DHSES. In addition, OIEC participates in the FEMA Region 2 Regional Emergency Communications Coordination Working Group (RECCWG).

New York is currently developing additional interoperable communication plans, some of which will require multistate coordination.

**c. How does the State plan to engage and leverage these existing regional coordination efforts in the nationwide public safety broadband network planning?**

We currently discuss FirstNet at nearly every SICG and CIWG meeting. We also provide update at other local meetings, such as the New York State Local Government Information Technology Director's Association Conference. We will be using contractor supported meeting facilitators to also attend

regional and local meetings to assist with outreach and coordination of the comment process. The State will continue to utilize their participation in our working groups, and our participation in their meetings to facilitate an exchange of information.

**d. Please identify, if applicable, any other state, territory, or regional entity with which the State collaborated or coordinated in the development and preparation of this application and describe the nature of that collaboration or coordination.**

New York State did not collaborate or coordinate with any outside entities.

## **6. Tribal Nations**

**a. How many federally recognized tribes are located within the State boundaries? (If the answer is zero, please skip to question #7.) Information on federally recognized tribes may be located at the Department of Interior, Bureau of Indian Affairs website:**

**<http://www.bia.gov/WhoWeAre/BIA/OIS/TribalGovernmentServices/TribalDirectory/index.htm>**

The following in New York are federally recognized by the BIA:

Cayuga Nation of New York

Oneida Nation of New York

Onondaga Nation of New York

Saint Regis Mohawk Tribe

Seneca Nation of New York

Shinnecock Indian Nation

Tonawanda Band of Seneca Indians of New York

Tuscarora Nation of New York

Additionally, New York State recognizes the Poospatuck Indian Reservation.

**b. Describe how the State will involve the tribal nations to ensure there is adequate representation of their interests in the FirstNet consultation and in the planning/governance for the grant program. Does the State have a process for consulting with the tribes located within State boundaries? If so, please provide a description of that process.**

On July 8<sup>th</sup>, 2011, the Executive Chamber of the State of New York issued a memorandum to State agency heads titled "Indian and Native American Affairs". This memo indicated that "The Executive Chamber will now be coordinating each and every such interaction." Therefore all matters must be presented to the Executive Chamber for consideration and approval. As a result, any interactions from the State on public safety broadband will need to follow this process.

Once DHSES has identified the necessary information required or when it is ready to invite local and tribal representatives to meetings and roundtables, this will be presented to the Executive Chamber for their review and approval.

**c. Describe past methods the State has used to successfully coordinate with tribal nations.**

The State has worked with a representative from the Oneida Indian Nation Police on interoperability for several years. This representative has provided formal and information communications on interoperability to OIEC (and its predecessor office) and was a reviewer on the last major SCIP update.

**d. Are there tribal representatives who regularly attend your SIGB meetings? If so, please identify the tribes represented.**

There are no tribal representatives who are members of our State Interoperable and Emergency Communication (SIEC) Board; however the State does have a tribal representative from the Oneida Indian Nation Police on the Communications and Interoperability Working Group (CIWG). Appointments to the SIEC Board are made by the Executive and the Legislature; however the meetings themselves are subject to the State's open meeting policies and are available in webcast format on the DHSES website. The CIWG membership is less formal and participation is generally open to those who express interest and with the approval of the CIWG membership. In addition, the Regional Planning Committee meetings are open to all attendees, including tribal jurisdictions.

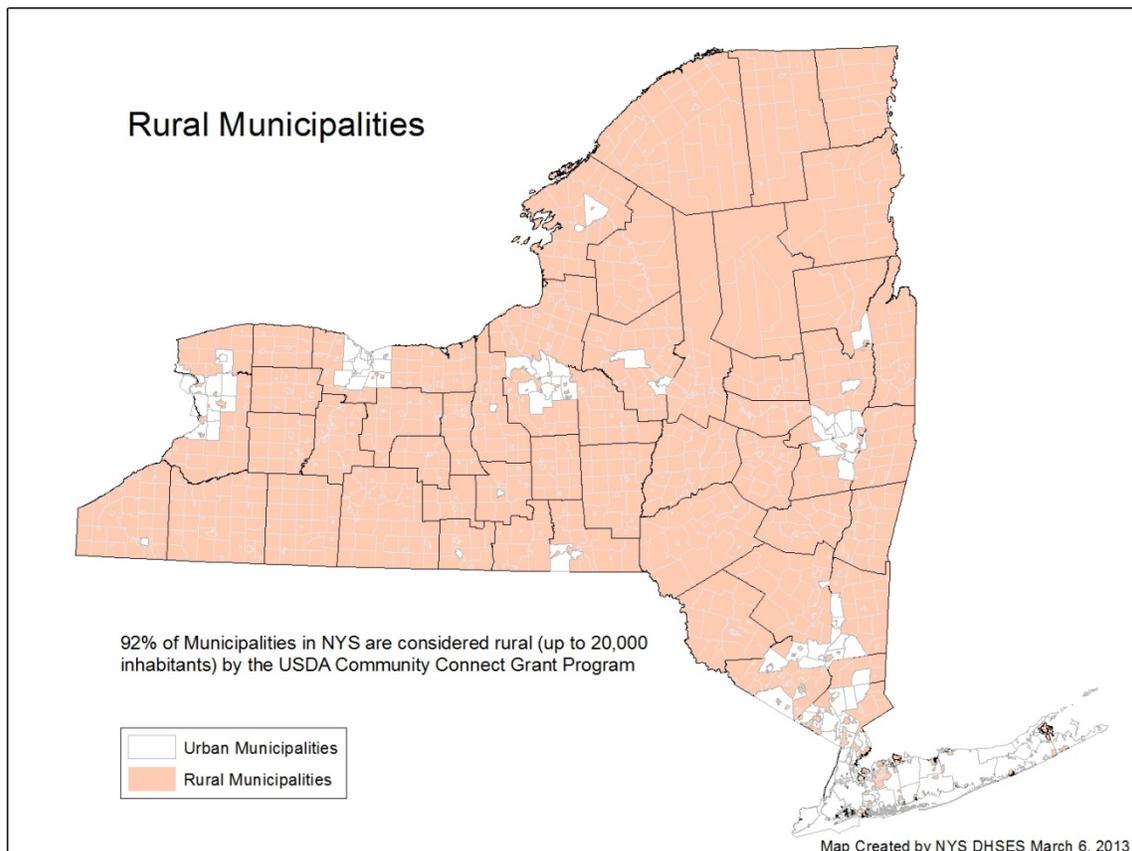
**e. What have been some of the State's primary challenges when engaging with tribal nations? What are some of the strategies that the State will employ to overcome these challenges during implementation of SLIGP?**

Pursuant to the Executive Chamber memo described above, all contacts must be coordinated through that process. We will involve the Executive Chamber in any tribal outreach and ensure the process is followed. We plan to develop a briefing for the Executive Chamber on FirstNet and SLIGP to educate them on the SLIGP process and the importance of FirstNet's dependence on the States for tribal outreach. We do request, however, that FirstNet and NTIA be involved in the tribal outreach process and assist in coordinating it from a national level.

## **7. Rural Coverage**

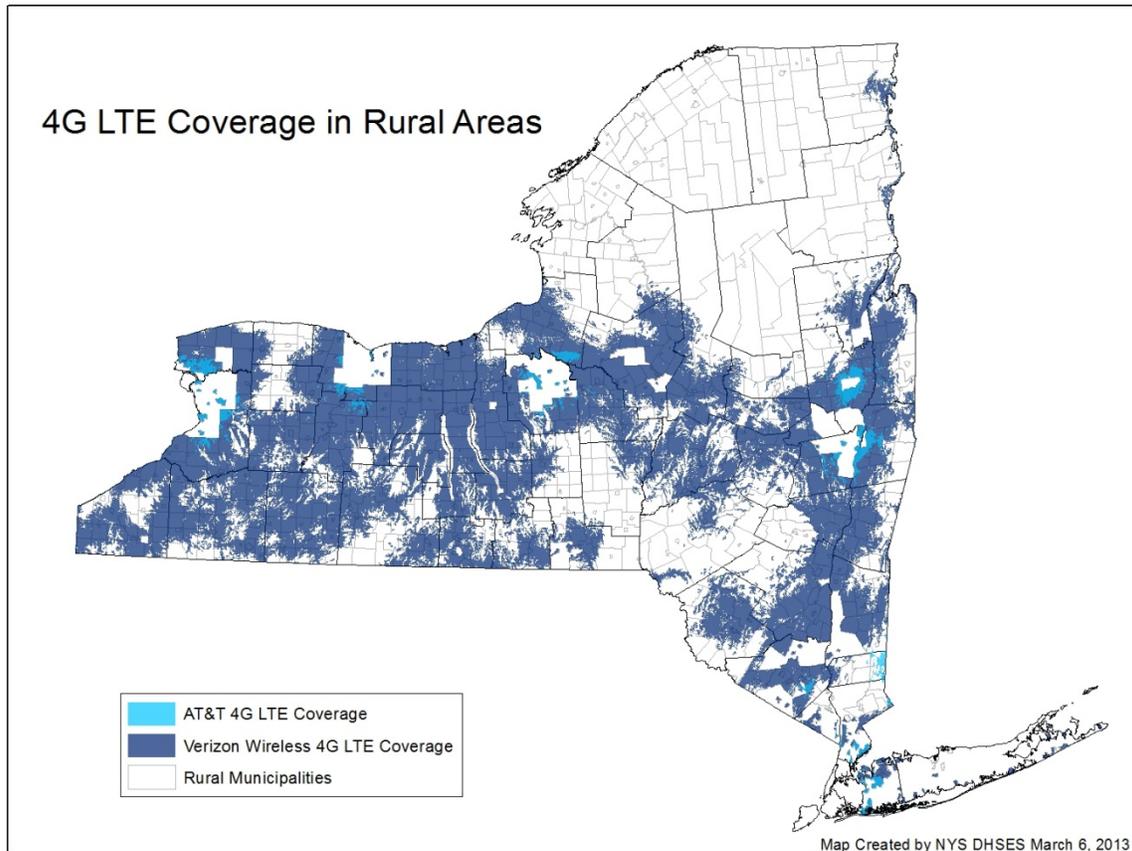
**a. Please classify your local jurisdictions into rural and non-rural areas and identify the criteria used in making these rural and non-rural determinations.**

We compute that 92% or 1,439 of New York State municipalities are rural and 8%, or 120 jurisdictions, are non-rural. Numerous definitions of Urban/Rural distinction exist. The federal USDA, OMB, and DOC (Census, FCC, NTIA) have several and differing methods for defining urban and rural areas which have changed over time and are continually evolving ([www.nal.usda.gov/ric/ricpubs/what\\_is\\_rural.shtml](http://www.nal.usda.gov/ric/ricpubs/what_is_rural.shtml)). In general, urban areas are defined based on measures of population densities and less-dense populations adjacent to dense urban populations. These areas are not clearly delineated by municipal/jurisdictional boundaries. Rural areas are then defined as any areas falling outside the 'urban areas' and therefore have no independent definition of their own. New York suggests that the FirstNet Board adopt a specific definition of rural to be used by all states for consistency in the FirstNet program. For the purposes of this application, New York used a simple definition of "Rurality" from the USDA Community Connect Grant Program (2012) based on populations of <20,000 people. See below:



**b. Please describe the coverage area and availability of broadband service and LTE technology in the rural areas of the State as defined in response to 7.a.**

57% of the land area classified as rural currently has broadband service available (per the NTIA threshold of 768 kbps down, 256 kbps up) and 44% of land area classified as rural currently has commercial LTE service available. See map below of the current LTE coverage in rural areas of New York State.



Detailed mapping of the State's broadband availability, including speeds, technologies, providers, speed tests, consumer reports of dead zones, statistics, and much more are available on the New York State broadband mapping website and interactive map, at [www.broadbandmap.ny.gov](http://www.broadbandmap.ny.gov). A few examples are shown below:

New York State | State Agencies | Search all of NY.gov

**Broadband Map** | Data as of: June 30, 2012 | Home | The Basics | The Program | In Depth | Compare Areas | Glossary | Participating Providers | Contact Us

Color Map | **Gray Map** | Hybrid | Imagery

Find  
Results  
Layers

Layers Legend

- Connect NY
- Provider Footprints
- Public Feedback \*
- Wireline Maps
- Wireless Maps
  - Fixed Wireless Availability
  - Mobile Wireless Availability
  - Wireless Competition
- No Service Maps
- Indicators of Low Broadband Adoption
- Advertised Download Speeds

Transparency:

Charts

**Statewide Mobile Wireless Availability**

Mobile Wireless Availability  
 No Mobile Wireless Availability

Housing Units based on 2010 Census data

New York State | State Agencies | Search all of NY.gov

**Broadband Mapping Project**

Home | The Basics | The Program | The NYS Map | In Depth | Compare Areas | Glossary | Participating Providers | Contact Us

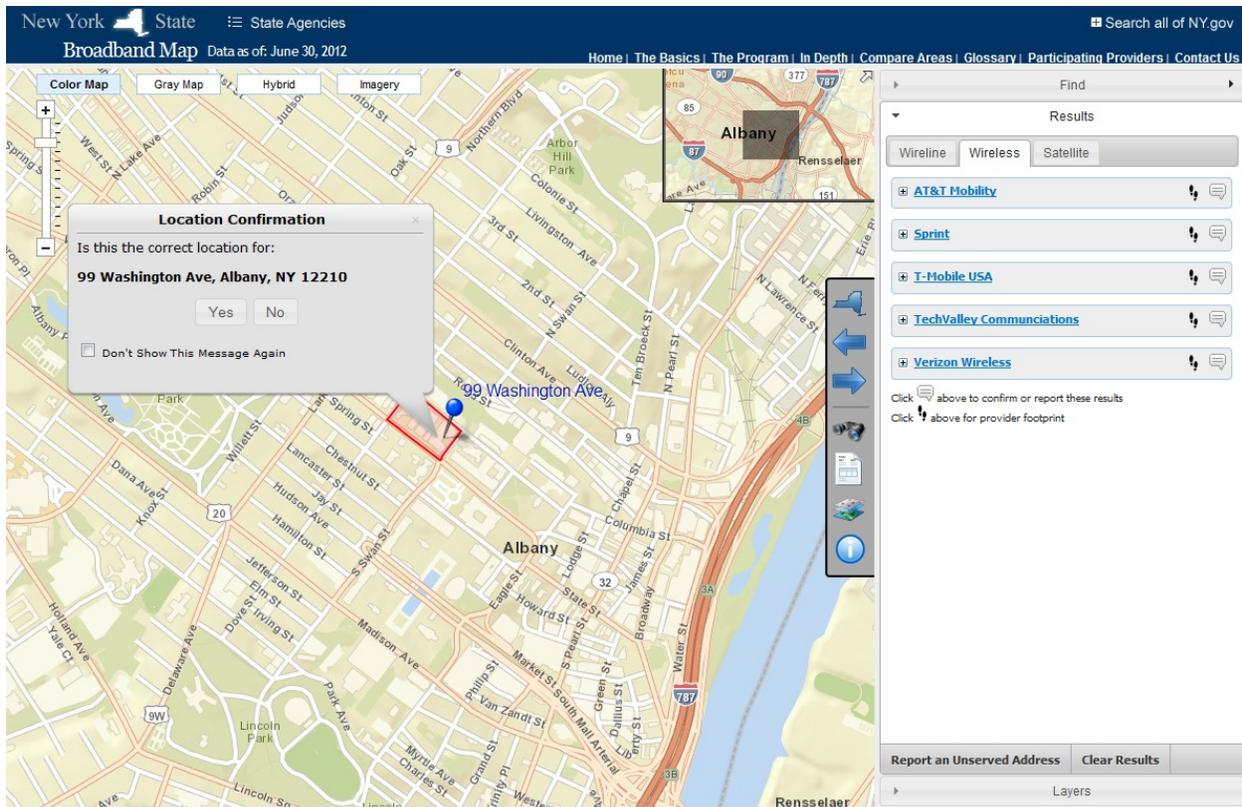
**Compare Areas**

To compare broadband availability statistics between two areas, simply enter the Town, City, Village or County names for Area 1 and Area 2.

Area 1:  Area 2:   
(for ex., Buffalo or Suffolk)

	County of Essex	County of Albany	Statewide Values
Area (in square miles)	1,915	533	54,571
Population	39,370	304,204	19,378,102
Housing Units*	25,603	137,739	8,108,103
Census Blocks	3,343	7,035	350,169
Wireline Coverage*	88% (22,600)	95% (131,000)	96% (7,770,000)
Wireless Coverage*	86% (22,100)	97% (133,000)	96% (7,800,000)
DSL	# of Providers	5	3
	Housing Units Covered*	62% (15,900)	85% (117,000)
Cable	# of Providers	4	2
	Housing Units Covered*	76% (19,500)	95% (131,000)
Fiber	# of Providers	4	8
	Housing Units Covered*	14% (3,500)	24% (33,300)
Wireless	# of Providers	5	7
	Housing Units Covered*	86% (22,100)	97% (133,000)
Satellite	# of Providers	4	4
	Housing Units Covered*	100% (25,603)	100% (137,739)

\* Based on 2010 Census housing units  
Data Vintage and Limitations



**c. Please describe how the State plans to prioritize the grant activities to ensure coverage in, and participation by, rural areas. Please include specific plans, milestones, and metrics to demonstrate how you will achieve these requirements.**

New York State is working to ensure every New Yorker has access to affordable, high-speed Internet access. However, due to the high costs of building networks in areas where population is sparse, New York rural communities continue to fall behind. New York’s broadband mapping initiative, started in 2009, has enabled the State to clearly understand the existing broadband availability landscape. By identifying unserved and underserved areas, New York State is focusing efforts on developing last-mile solutions to expand broadband connectivity in unserved and underserved areas to ensure all communities are connected. (*New York State defines “unserved” as an area where broadband service is not available from a wireline or wireless facilities-based provider offering service at advertised speeds equal or higher than 6 Mbps download and 1.5 Mbps upload.*)

New York State has been working on several initiatives to expand broadband services to New York’s rural communities:

- In 2012-2013 New York State awarded more than \$56M in funding to expand broadband access in under/underserved areas. This investment has encouraged broadband providers to expand infrastructure into areas with low population densities, where private investment would yield low return on investment;
- New York State is developing an inventory all public and privately owned fiber and network assets, to facilitate building and extending very high speed broadband networks;

- New York State continues to work on maximizing federal funding opportunities in the form of loans and grants currently available from the FCC, NTIA and USDA.

New York State contains large areas of very sparse population, such as the six million acre Adirondack Park (much of it protected forest), which poses substantial challenges for ensuring appropriate FirstNet coverage.

Currently, the existing governance structures in New York represent a good cross section of communities in New York, including many defined as rural using the above definitions. Approximately 75% of the appointed members of the SICG and 25% of the members (40% of those representing local jurisdictions) of the CIWG represent areas that are, in large part, considered rural. We do not believe that communications *representation* from rural areas is an issue in New York, however the actual construction and providing service to rural areas may be challenging for FirstNet. To ensure that FirstNet's intention to prioritize rural coverage is carried through to New York, we will work to ensure that outreach and education reaches as many rural areas as possible across the State. We intend to have representatives attend meetings in the local jurisdictions, freeing the rural users from needing to travel long distances to receive FirstNet information.

## **8. Existing Infrastructure**

### **a. What, if any, databases exist that collect data on government-owned wireless and/or communications infrastructure for the State, local, and/or tribal governments?**

In 1997, New York State signed a Telecommunications Site Manager Agreement with Crown Communications. This agreement, still in effect, provides for a single management contract for State owned properties (land, rights of way, roof tops, etc.). This provides not only a single point of contact for carriers and State agencies but also prevents the unnecessary proliferation of duplicate sites on State lands due to uncoordinated activities. The contract provides for no or low cost use of vertical real estate by the State for public safety uses, but also provides for consistent commercial rates for carrier use of State owned properties. One of the services provided by Crown Communication is a web based application called "CCI Sites" that is a database with advanced mapping features of all assets (both State and non-State) under ownership or control of Crown. It also provides information on sites not maintained by Crown.

The New York State Police has managed this contract since 1997, however in the interests of centralized communications and coordination, the State Police and DHSES are currently working to move the contract management under the auspices of DHSES. This will also provide for a more direct interaction between the State agency responsible for public safety broadband (DHSES) and Crown Communications on tower siting issues.

The State has an extensive database of infrastructure in a secure GIS platform, the Critical Infrastructure Response Information System (CIRIS), owned and managed by the State. There are currently 632 map layers in CIRIS. This includes a wide range of communications infrastructure. Once the FirstNet Board determines the data requirements for FirstNet planning, New York State is well positioned with experience, tools, expertise, and a network of cooperators across the State to in-source this activity with grant funds.

**b. If these databases exist, what is the process for updating them and how often do these updates occur?**

Data collection for the broadband mapping program is on a 6-month revision cycle. Ongoing data maintenance for the data loaded into CIRIS is carried out according to a tracking system based on the known revision cycles from data we collect from other organizations along with the date of our most recently received update. This tracking system tells us when it is time to request new copies of data.

Other data managed by the GIS team is maintained in partnership with local governments and augmented with contractors. The statewide streets database is updated based on change requests received from the counties. A contract partner performs the updates and delivers revisions to the State quarterly.

The new Street Address Mapping (SAM) project is currently being built with a contract partner based on source data gathered from county 9-1-1 centers. A software system is being acquired which will allow for real-time updates to the data by the counties, while maintaining a central, authoritative database managed by the State.

## **9. Existing Government-Owned Networks**

**a. Describe how you plan to identify any hardening, security, reliability, or resiliency requirements that are currently required for existing government-owned networks within the State, including those networks at the local and tribal governments.**

New York State is currently undergoing an Information Technology (IT) transformation. Previously, each individual agency maintained its own IT staff, networks and services. However, these are now being consolidated into a newly created Office of Information Technology Services (ITS). ITS will be responsible for most State agency IT staff, support, networks and applications. In addition, the State is currently developing a consolidated data networks roadmap. It is expected that the outcome of these transformations will impact requirements on State networks. Those requirements will be captured as this project progresses.

**b. Describe how you plan to identify any existing contractual requirements regarding hardening, security, reliability, or resiliency for commercial carriers providing wireless data services within the State, including those at the local and tribal governments.**

The State does not regulate the commercial wireless industry. However, during recent severe weather events, we established a protocol for coordination and reporting on outages and other impacts by the four major wireless carriers in this State. Any specific requirements from local governments can be captured during the Phase 2 data collection process.

## **10. Network Users**

**a. Describe how you plan to identify the potential users of the nationwide public safety broadband network within the State, including at the local and tribal governments.**

DHSES is preparing to conduct an analysis and survey of land mobile radio interoperability assets in New York State (not SLIGP funded). We will attempt to leverage that process to also obtain information on mobile data usage. If we are unable to integrate those questions into this analysis project, we will conduct a separate survey of public safety mobile data users in the State. -This will include an analysis of

State, local, and tribal governments on their current use of private and commercial wireless data services. Information collected would include number of users, data speeds, cost per month, and coverage requirements. Additionally, the survey would collect information on potential new users of a national public safety broadband network. As a result of our Statewide Interoperable Communications Grant program, DHSES has a detailed list of contacts at the counties in New York. Additionally, the NECP Goals tools collected information on the use of mobile data, and we will incorporate that in to the results. While we understand that FirstNet and SLIGP wish to collect user data before other types of requirements, we believe it is best to conduct this user survey at the same time as the collection of other information, as to not burden the entities with multiple data collection cycles.

## **11. Education and Outreach**

### **a. Describe how you plan to educate and train multi-discipline, public safety and other government users of the nationwide public safety broadband network at your State, local, and tribal levels.**

New York State, as part of the post Hurricane Sandy evaluation, convened several commissions. One of the recommendations that resulted was to standardize first responder training. The State is currently developing this process-and we will incorporate public safety broadband in to those training sessions.

As we detailed above, we have a strong governance communications structure in New York and much of our outreach currently occurs through these groups. We are requesting SLIGP funding for outreach (facilitator) contract support to attend local and regional meetings to ensure that all potential users are reached, beyond those who normally participate and beyond the capacity of the State staff to engage with. Additionally, we will begin to engage other possible users, such as utilities companies and Critical Infrastructure users (with the direction of FirstNet).

Due to the structure of local governments in New York, and the size of the State, it is expected that end-users of the FirstNet network will be trained at the local level by their own agencies.

## **12. Memorandum of Agreements**

### **a. Describe any specific obstacles, laws, and/or legal issues that will likely impede your ability to participate fully in the nationwide public safety broadband network or in SLIGP.**

DHSES is not aware of any specific laws that will prevent New York State's involvement in FirstNet or the SLIGP. However, it should be noted that as a "home rule" state, local governments in New York maintain a high degree of autonomy.

## **13. Tools**

### **a. What are some of the software tools that the State has used and could apply to the planning and data collection activities associated with this program?**

As previously stated, New York State has considerable experience collecting and managing data. Tools that could be used for planning and data collection include:

- An interactive mapping website to collect and display inventory information (see the New York State Broadband Map at [www.broadbandmap.ny.gov](http://www.broadbandmap.ny.gov));
- Secure FTP site for high-capacity, two-way data transfer ;
- Standards-based GIS web mapping services for statewide orthoimagery and geocoding;

- Extensive Geographic Information System (GIS) software for data storage, analysis and display;
- Secure CIRIS application.

**b. Is the State aware of additional tools that could be useful for implementing allowable grant activities?**

We will evaluate additional software and tools that might fill gaps in our capabilities, once the FirstNet Board released the specifications for data collection. Until those specifications are known, we can only speculate on what additional tools may be warranted. Generally speaking, New York State has a strong bias towards in-sourcing these capabilities so that we gain the greatest degree of knowledge and expertise to support the project.

## **14. Phase Two Funding**

**a. Describe the activities that you expect to undertake with the Phase 2 funding when it is made available to the State, Territory, or District.**

New York State will utilize Phase 2 funding to begin the collection of data as required by FirstNet. Given the experience of the Office of Cyber Security (OCS) in the development of the New York State Broadband Mapping website ([www.broadbandmap.ny.gov](http://www.broadbandmap.ny.gov)) and the associated relationships with commercial carriers in the State, we believe we have the existing relationships to expedite the collection of the data. Additionally, with the existence of the single office (OIEC) to coordinate public safety communications, and our sister offices within DHSES, we have the existing structure in place to collect public safety user information. Further details on activities we will undertake will depend on the specific information that FirstNet determines it requires. We expect to utilize the funding in Phase 2 to provide for staffing of data collection and analysis staff, conduct surveys and outreach and organize and summarize the information requested.

## **15. Other**

**a. Please list any consultants, vendors, or other entity that assisted in the preparation of this application.**

No entities outside of the State government.

**Acronyms:**

CIRIS	=	Critical Infrastructure Response Information System
CIWG	=	Communications Interoperability Working Group
DHSES	=	Division of Homeland Security and Emergency Services (A New York State agency)
DHS	=	United States Department of Homeland Security
ESD	=	Empire State Development (A New York State agency)
GIS	=	Geographic Information Systems
LMR	=	Land Mobile Radio
NYS	=	New York State
NYSP	=	New York State Police (a New York State agency)
OCS	=	Office of Cyber Security (part of DHSES / ITS)
OEC	=	Office of Emergency Communications (part of US DHS)
OIEC	=	Office of Interoperable and Emergency Communications (part of DHSES)
ITS	=	Office of Information Technology Services (a New York State agency)
PSBB	=	Public Safety Broadband
RPC	=	Regional Planning Committee
SAM	=	Street Address Mapping
SIEC Board	=	State Interoperable and Emergency Communication Board (New York's SIGB)
SICG	=	Statewide Interoperable Communications Grant Program
SWIC	=	Statewide Interoperability Coordinator

**New York State - State and Local Implementation Grant Program (SLIGP)**  
**Project Feasibility**

The State of New York submits this application for the National Telecommunications and Infrastructure Administration State and Local Implementation Grant Program. The State is requesting funding to support new staff, consultant services, and meeting travel for activities related to public safety broadband and FirstNet development in New York State. We will also utilize the grant award to fund data collection activities in Phase 2, pending further information from FirstNet. The State is represented in this application by the Division of Homeland Security and Emergency Services (DHSES) and its Office of Interoperable and Emergency Communications (OIEC). The Director of OIEC serves as the Statewide Interoperability Coordinator (SWIC).

New York State currently has two active interoperable communications boards/working groups. The State Interoperable and Emergency Communication Board (SIEC Board) and the Communications and Interoperability Working Group (CIWG). The 25 member SIEC Board is comprised of State agency heads, State legislative representatives, representatives of first responder organizations and experts in the field of interoperable and emergency communications. Members are appointed for a term of four years and this board is the State equivalent of a SIGB. The CIWG is a working group of the SIEC Board, with a membership of over 30 State, local, Federal and tribal communications practitioners who review the technical aspects of communications challenges and propose solutions. This group consists of members with diverse expertise from many disciplines, including 9-1-1 coordinators, State law enforcement, county and city law enforcement, fire coordinators, emergency management, military, and the emergency medical service. The State believes this model of two entities is a best practice and we intend to continue using these groups and expand their responsibilities to include public safety broadband.

Staff, now associated with DHSES, has been monitoring developments with public safety broadband even prior to the merger that created DHSES in 2010. We inform local governments on a regular basis of the progress in this area through our governance structures; however our activities are limited to mostly monitoring and information sharing. The State is requesting additional employee staff and consultant resources to directly act on FirstNet and public safety broadband activities. As part of Phase 1, OIEC would add three full time employees to conduct outreach, attend meetings, update plans, etc., and one support staff employee. These employees would report to a senior engineer with broader responsibilities within the office, a position also expected to be partially funded through the SLIGP. In Phase 2, the State will add or transition staff with specific data collection and processing experience to conduct that portion of the SLIGP program.

As part of New York State's in-house work on the NTIA national broadband mapping program, we have developed productive relationships with all 86 private sector broadband providers operating within the State and all are voluntarily providing data, semiannually, describing their service territories and high speed internet services. These relationships include the four national mobile wireless companies operating in New York State (AT&T, Verizon, Sprint, and T-Mobile). We have also developed excellent working relationships with New York's telecommunication and cable industry associations. Through these relationships, we are able to accurately map the service territories and broadband services of even the smallest companies, many of whom lack the technical expertise or resources to prepare the mapping on their own.

In 2010, New York established a Statewide Interoperable Communications Grant (SICG) Program, which is implemented by DHSES OIEC. This program seeks to establish best practices for interoperability within and between regions, provides for measurable outcomes and communications capability, and planning for long-range sustainability and compatibility with the broader emergency preparedness objectives. Counties, in response, proposed new or expanded existing consortiums/partnerships for interoperable communications purposes. The proposed partnerships reflect their established practices with inter-agency operational and interoperable communications, desired mutual aid operations, recent experience with larger-scale emergencies and other events geography and infrastructure availability, compatibility of frequencies and licenses, and potential economies of scale.

Consortiums consist of two or more counties formed to promote multi-jurisdictional (two or more) and multi-discipline (two or more) (e.g., law enforcement, fire service, emergency medical, emergency management, public health, public works and communication centers) public safety communications and interoperability; and must support the agencies of New York State.

As of today, there are twelve (12) Interoperable Communications Consortiums/Partnerships that have been established or are in the process of being developed in New York State. These encompass 58 of the 62 counties in New York State. The remaining 4 counties not yet formally engaged are exploring the opportunities for membership among the existing consortiums.

New York State will utilize Phase 2 funding to begin the collection of data as required by FirstNet. Given the experience of the State's Office of Cyber Security (OCS) in the development of the New York State Broadband Mapping website (<http://broadbandmap.ny.gov>) and the associated relationships with commercial carriers in the State, we believe we have the existing relationships to expedite the collection of the data. Additionally, with the existence of the single office (OIEC) to coordinate public safety communications, and our sister offices within DHSES, we have the existing structure in place to collect public safety user information. Further details on activities we will undertake will depend on the specific information that FirstNet determines it requires. We expect to utilize the funding in Phase 2 to provide for staffing of data collection and analysis staff, conduct surveys and outreach and organize and summarize the information requested.

**BUDGET INFORMATION - Non-Construction Programs**

OMB Number: 4040-0006  
Expiration Date: 06/30/2014

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. State and Local Implementation Grant Program Phase 1	11.549	\$ 2,433,334.00	\$ 1,127,810.00	\$	\$	\$ 3,561,144.00
2. State and Local Implementation Grant Program Phase 2	11.549	2,433,878.00	88,993.00			2,522,871.00
3.						
4.					0.00	0.00
<b>5. Totals</b>		\$ 4,867,212.00	\$ 1,216,803.00	\$	\$	\$ 6,084,015.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) State and Local Implementation Grant Program Phase 1	(2) State and Local Implementation Grant Program Phase 2	(3)	(4)	
<b>a. Personnel</b>	\$	\$	\$ 706,815.00	\$	\$ 706,815.00
<b>b. Fringe Benefits</b>			405,995.00		405,995.00
<b>c. Travel</b>	301,320.00		0.00		301,320.00
<b>d. Equipment</b>	0.00		0.00		
<b>e. Supplies</b>	18,940.00		0.00		18,940.00
<b>f. Contractual</b>	2,098,824.00		0.00		2,098,824.00
<b>g. Construction</b>	0.00		0.00		
<b>h. Other</b>	14,250.00	2,433,878.00	103,993.00		2,552,121.00
<b>i. Total Direct Charges (sum of 6a-6h)</b>	2,433,334.00	2,433,878.00	1,216,803.00		\$ 6,084,015.00
<b>j. Indirect Charges</b>	0.00	0.00			\$
<b>k. TOTALS (sum of 6i and 6j)</b>	\$ 2,433,334.00	\$ 2,433,878.00	\$ 1,216,803.00	\$	\$ 6,084,015.00
<b>7. Program Income</b>	\$	\$	\$	\$	\$

**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8. State and Local Implementation Grant Program	\$ 1,127,810.00	\$	\$	\$ 1,127,810.00
9. State and Local Implementation Grant Program Phase 2	88,993.00			88,993.00
10.				
11.				
<b>12. TOTAL (sum of lines 8-11)</b>	\$ 1,216,803.00	\$	\$	\$ 1,216,803.00

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal	\$				
<b>15. TOTAL (sum of lines 13 and 14)</b>	\$	\$	\$	\$	\$

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b)First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
<b>20. TOTAL (sum of lines 16 - 19)</b>	\$	\$	\$	\$

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges: \$6,084,015	22. Indirect Charges: \$0
23. Remarks: Revised July 16, 2013 per NIST request for clarification on fringe	

## New York State SLIGP Detailed Budget Spreadsheet - Revised V2

Category	Detailed Description of Budget (for full grant period)			Breakdown of Costs	
	Quantity	Unit Cost	Total Cost	Federal	Non-Federal
<b>a. Personnel</b>					
SWIC The SWIC will spend 15% of the time on SLIGP grant activities for 3 years. The SWIC's average annual salary over the 3 year period is \$123,858. $\$123,858 \times 15\% = \$18,579$	3 years	\$18,579	\$55,737	\$0	\$55,737
Radio Engineer One existing Radio Engineer will spend 50% of his time on the project for 3 years. The Salary Grade 24 Radio Engineer's average annual salary is \$89,411. $\$89,411 \times 50\% = \$44,706$	3 years	\$44,706	\$134,118	\$0	\$134,118
Radio Engineer One existing Radio Engineer will spend 40% of his time on the project for 3 years. The Salary Grade 24 Radio Engineer's average annual salary is \$90,558. $\$90,558 \times 40\% = \$36,223$	3 years	\$36,223	\$108,669	\$0	\$108,669
Agency Finance Director One existing Agency Finance Director will spend 20% of his time on the project for 3 years. The Agency Finance Director's annual salary is \$132,235. $\$132,235 \times 20\% = \$26,447$	3 years	\$26,447	\$79,341	\$0	\$79,341
Agency Budget Analyst One existing Agency Budget Analyst will spend 40% of his time on the project for 3 years. The Agency Budget Analyst's average annual salary is \$73,258. $\$73,258 \times 40\% = \$29,303$	3 years	\$29,303	\$87,909	\$0	\$87,909
Agency Counsel One existing Agency Counsel will spend 40% of her time on the project for 3 years. The Agency Counsel's annual salary is \$136,259. $\$136,259 \times 40\% = \$54,504$	3 years	\$54,504	\$163,512	\$0	\$163,512
Analyst One existing Analyst will spend 30% of her time on the project for 3 years. The Salary Grade 23's average annual salary is \$86,143. $\$86,143 \times 30\% = \$25,843$	3 years	\$25,843	\$77,529	\$0	\$77,529
<b>Total Personnel</b>			<b>\$706,815</b>	<b>\$0</b>	<b>\$706,815</b>
<b>b. Fringe Benefits</b>					
	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>

New York State SLIGP Revised Budget

The New York State Fringe Rate varies by year. For the 3-year grant period, the average is 57.44%. For the SWIC, the fringe rate is multiplied by the salary rate for the SLIGP activities.	\$55,737	57.44%	\$32,015	\$0	\$32,015
The New York State Fringe Rate varies by year. For the 3-year grant period, the average is 57.44%. For the 50% Radio Engineer, the fringe rate is multiplied by the salary rate for the SLIGP activities.	\$134,118	57.44%	\$77,037	\$0	\$77,037
The New York State Fringe Rate varies by year. For the 3-year grant period, the average is 57.44%. For the 40% Radio Engineer, the fringe rate is multiplied by the salary rate for the SLIGP activities.	\$108,669	57.44%	\$62,419	\$0	\$62,419
The New York State Fringe Rate varies by year. For the 3-year grant period, the average is 57.44%. For the Agency Finance Director, the fringe rate is multiplied by the salary rate for the SLIGP activities.	\$79,341	57.44%	\$45,573	\$0	\$45,573
The New York State Fringe Rate varies by year. For the 3-year grant period, the average is 57.44%. For the Agency Budget Analyst, the fringe rate is multiplied by the salary rate for the SLIGP activities.	\$87,909	57.44%	\$50,495	\$0	\$50,495
The New York State Fringe Rate varies by year. For the 3-year grant period, the average is 57.44%. For the Agency Counsel, the fringe rate is multiplied by the salary rate for the SLIGP activities.	\$163,512	57.44%	\$93,921	\$0	\$93,921
The New York State Fringe Rate varies by year. For the 3-year grant period, the average is 57.44%. For the Analyst, the fringe rate is multiplied by the salary rate for the SLIGP activities.	\$77,529	57.44%	\$44,533	\$0	\$44,533
<b>Total Fringe Benefits</b>			<b>\$405,995</b>	<b>\$0</b>	<b>\$405,995</b>
<b>c. Travel</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>
Mileage for Local/Tribal reps to attend broadband working group meetings in Albany. 20 individuals traveling average 300 miles roundtrip for 12 meetings (4 per year) and 1 hotel night; cost per mile is based on IRS mileage rates, hotel/per diem on GSA rate. \$335 per meeting * 12 meetings * 20 members	240	\$335.00	\$80,400	\$80,400	\$0
Pre-Award travel to FirstNet/NGA meeting in Boston, MA June 2013. 10 people, 2 nights, rental cars. \$824 per person	10	\$824.00	\$8,240	\$8,240	\$0

New York State SLIGP Revised Budget

Travel for Regional and National Meetings with FirstNet 10 individuals will attend 7 meetings. Locations unknown - using June 2013 in Boston as example, \$824 per person per trip	70	\$824	\$57,680	\$57,680	\$0
Contractor Travel to in-state meetings, presentations, survey sessions. 62 Counties * 5 meetings/presentations each = 310 trips for outreach and user base data collection. 310 trips * average trip cost of \$500 (hotels, meals, and 300 mile average)	310	\$500	\$155,000	\$155,000	\$0
<b>Total Travel</b>			<b>\$301,320</b>	<b>\$301,320</b>	<b>\$0</b>
<b>d. Equipment</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>
N/A	0	\$0	\$0	\$0	\$0
<b>Total Equipment</b>			<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>e. Supplies</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>
Office Supplies budgeted at \$50/month for 3 years (36 months)	36	\$50	\$1,800	\$1,800	\$0
Postage expenses associated with mailing information, meeting invitations, newsletters and other outreach activities	1	\$11,940	\$11,940	\$11,940	\$0
Color large format plotter	1	\$4,000	\$4,000	\$4,000	\$0
Color Projectors for presentations	2	\$600	\$1,200	\$1,200	\$0
<b>Total Supplies</b>			<b>\$18,940</b>	<b>\$18,940</b>	<b>\$0</b>
<b>f. Contractual</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>
Contractual Services for Project Management - Senior Manager - Half time (1,040hrs/year) for 3 years at \$208/hr. (3,120 hours total)	3120	\$208	\$648,960	\$648,960	\$0
Contractual Services for Outreach (Development) - Senior Level Analyst - Half time (1,040 hrs/year) for 3 years at \$120/hr. (3,120 hours total)	3120	\$120	\$374,400	\$374,400	\$0
Contractual Services for Outreach (Facilitation and Delivery) - Junior level Analyst - Three-quarters time (1,560 hrs/year) for 3 years at \$90/hr. (4,680 hours total)	4680	\$90	\$421,200	\$421,200	\$0
Contractual Services for Outreach (Facilitation and Delivery) - Junior level Analyst - One-quarters time (520 hrs/year) for 3 years at \$90/hr. (1,560 hours total)	1560	\$90	\$140,400	\$140,400	\$0
Contractual Services for Engineering Advice/Review - Senior Level Engineer - One-quarters (520 hrs/year) for 3 years at \$161/hr. (1,560 hours total)	1560	\$161	\$251,160	\$251,160	\$0

New York State SLIGP Revised Budget

Contractual Services for Support, Reports, Correspondence -Support Specialist - Half-time (1,040 hrs/year) for 3 years at \$57/hr. (3,120 hours total)	3120	\$57	\$177,840	\$177,840	\$0
Contractual Services for Website Development and Update - Senior Level Web Developer Part time as required (416 hrs/year) for 3 years at \$68/hr. (1,248 hours total)	1248	\$68	\$84,864	\$84,864	\$0
<b>Total Contractual</b>			<b>\$ 2,098,824</b>	<b>\$2,098,824</b>	<b>\$0</b>
<b>g. Construction</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>
N/A			\$0	\$ -	\$ -
<b>Total Construction</b>			<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>h. Other</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>
Printing 5 tri-fold brochures, color, 10,000 copies each	50,000	\$0.13	\$6,500	\$6,500	\$0
Handout pens Pens with State's public safety broadband website and FirstNet website on them - for handout at meetings. 25,000 pens at \$0.31 each.	25,000	\$0.31	\$7,750	\$7,750	\$0
Information Technology Services charges (phone, network connections) at \$5,000 / year	3 years	\$5,000	\$15,000	\$0	\$15,000
Phase 2 activities			\$2,522,871	\$2,433,878	\$ 88,993
<b>Total Other</b>			<b>\$2,552,121</b>	<b>\$2,448,128</b>	<b>\$ 103,993</b>
<b>Total Direct Charges</b>			<b>\$6,084,015</b>	<b>\$4,867,212</b>	<b>\$1,216,803</b>
<b>i. Indirect Costs</b>	<b>Quantity</b>	<b>Unit Cost</b>	<b>Total Cost</b>	<b>Federal</b>	<b>Non-Federal</b>
	\$0	0%	\$0	\$0	\$0
<b>Total Indirect</b>			<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>TOTALS</b>			<b>\$6,084,015</b>	<b>\$4,867,212</b>	<b>\$1,216,803</b>

## New York State SLIGP Revised Budget Narrative

### Personnel

<i>Federal:</i>	<b>\$0</b>
<i>Non-Federal:</i>	<b>\$706,815</b>
<i>Total:</i>	<b>\$706,815</b>

See the Detailed Budget Spreadsheet for calculations

- SWIC (Non-Federal, in-kind): The SWIC will provide oversight for the SLIGP grant and governance, ensuring that all activities are completed on time and within budget. The SWIC will be the delegated point of contact for consultation with FirstNet, and will work to expand the State's governance structure. The budgeted match costs (15% time) are only for the duties associated with public safety broadband and the SLIGP grant, not the additional land mobile radio and general interoperable communication duties of the SWIC. The SWIC is not federally funded.
- Radio Engineers (Non-Federal, in-kind): Two Radio Engineers will continue to support FirstNet and public safety broadband activities, one at 50% time and one at 40% time. These engineers have been involved in the State's public safety broadband activities since the State applied for a D-Block waiver in 2009. They continue to support the day to day State involvement in public safety broadband. These activities include:
  - Preparing the SLIGP application
  - Participating in the Early Builders Advisory Council
  - Conducting outreach on FirstNet/Public Safety Broadband to the State's governance committees and other stakeholder groups

It is expected that these individuals will continue to support the FirstNet program in the State from an employee level, including coordinating activities of both State and contract staff as the project moves forward. The "Radio Engineer" title is their civil service title and does not indicate a limitation in the types of activities they perform.

They are not federally funded.

- Agency Finance Director (Non-Federal, in-kind): The Agency's Finance Director has overall review and control responsibility for the finances, Federal and Non-Federal, of the agency. The Agency Finance Director is not federally funded.
- Agency Budget Analyst (Non-Federal, in-kind): The Agency Budget Analyst is responsible for the day to day budget activities of the Office of Interoperable and Emergency Communications. The Budget Analyst is not federally funded.
- Agency Counsel (Non-Federal, in-kind): The Agency Counsel has responsibility for legal, procurement and policy issues associated with grants, procurement and interoperable and emergency communications activities. The Agency Counsel is not federally funded.
- Analyst (Non-Federal, in-kind): The Analyst is responsible for policy analysis and staff assistance. The Analyst is not federally funded.

**Fringe**

<b>Federal:</b>	<b>\$0</b>
<b>Non-Federal:</b>	<b>\$405,995</b>
<b>Total:</b>	<b>\$405,995</b>

See the Detailed Budget Spreadsheet for calculations

- Fringe (Non-Federal, in-kind): All fringe values have been calculated against the pro-rated salary of the State personnel listed under "Personnel". The fringe rate varies by year, but for the 3 year grant period, the weighted average fringe rate is 57.44%.

**Travel**

<b>Federal:</b>	<b>\$301,320</b>
<b>Non-Federal:</b>	<b>\$0</b>
<b>Total:</b>	<b>\$301,320</b>

See the Detailed Budget Spreadsheet for calculations. All travel will be in accordance with State approved travel guidelines and State contractor approved travel rates. For employees, this is including but not limited to: GSA hotel, per diem and mileage rates.

- Mileage for Working Group Meetings (Federal): Travel expenses to reimburse local/tribal representatives who will travel to Albany (State capital) for broadband related working group meetings. Travel will be in accordance with State policies, including the GSA rates for hotel and per diem, and the IRS mileage rate. Travel was calculated at the Albany GSA hotel rate of \$104/night, per diem of \$61/night and mileage rate of 56.5 cents/mile. Since each participant will travel a different distance, an estimated average of 300 miles round trip was used. Actual charges will be in accordance with all prescribed travel policies.
- Travel to FirstNet/NGA meeting in Boston (Pre-Award) (Federal): State employee and local employee travel to the FirstNet/NGA meeting in Boston, Mass on June 19-20. Rate is based on 10 people, 2 nights, rental cars, assuming the City of Boston as the destination. Specific travel arrangement details have not been provided to the State yet.
- Travel for Regional and National Meetings with FirstNet (Federal): State Employees and locals will attend national and regional conferences to meet with FirstNet and share information and collaborate with other grant recipients. Since locations are to be determined, the Boston, Mass. location was used as an example for cost calculation. 7 meetings were assumed. Assumed rates were at GSA or State Contract rates, including hotel rate of \$201 for 2 nights, rental car of \$130, rental car fuel of \$150 and per diem of \$71 / night. This is the same as we assumed for the Boston trip (at the time we assumed the City of Boston itself). Unless FirstNet can provide the meeting locations for the other 7 meetings, we cannot be any more specific at this time. Actual charges will be in accordance with all prescribed travel policies.
- Contractor Travel (Federal): Travel to in-state meetings, presentations and survey sessions. Assuming 62 counties in New York, with 5 presentations/trips in each county over the 3 years, this is 310 trips. An average mileage and hotel/per-diem rate was used.

Since each meeting will be in a different location, only estimates could be made. An average hotel/per diem rate of \$165 per night for 2 nights were used and an average of 300 miles per trip at a GSA rate of 56.5 cents/per mile.

**Equipment**

<b>Federal:</b>	<b>\$0</b>
<b>Non-Federal:</b>	<b>\$0</b>
<b>Total:</b>	<b>\$0</b>

We do not plan to have any equipment costs for this grant program.

**Supplies**

<b>Federal:</b>	<b>\$18,940</b>
<b>Non-Federal:</b>	<b>\$0</b>
<b>Total:</b>	<b>\$18,940</b>

See the Detailed Budget Spreadsheet for calculations

- Office Supplies (Federal): This includes paper, plotter paper, folders, meeting supplies and other general office supplies which will be used in support of the execution of the SLIGP grant and the outreach efforts.
- Postage expenses (Federal): Associated with mailing information, meeting invitations, newsletters, etc. This will be for postage and shipping expenses for those items or recipients where electronic delivery is not possible or practical. The current USPS First Class mail rate of 46 cents was used. Assuming 25,000 of the 50,000 brochures mail need to be mailed, this would be  $25,000 * \$0.46 = \$11,500$ . The remainder of \$440 is assumed to be larger packages (packages of brochures), presentation material, etc. Only actual postage utilized for the outreach effort would be charged to the grant.
- Color large format plotter (Federal): For the purchase of a color large format plotter to be used for printing signs, diagrams and maps used in the outreach presentations.
- Color Projectors (Federal): Two color PC projectors for use at outreach presentations.

**Contractual**

<b>Federal:</b>	<b>\$2,098,824</b>
<b>Non-Federal:</b>	<b>\$0</b>
<b>Total:</b>	<b>\$2,098,824</b>

See the Detailed Budget Spreadsheet for calculations

Contractor services will be obtained through centralized New York State purchasing contracts, using pre-approved rate structures and contract mechanisms. Hourly contract rates are inclusive of fringe and overhead costs. The State will execute a statement of work against the centralized contract once an award is made and funds are available. Statement of Work totals are not to exceed prices and contract flexibility permits the moving of time from one role to the other if FirstNet priorities or activities dictate more emphasis in one area over the other.

- Project Management (Federal): Contractor support for project management, coordination and scheduling. Project manager at 20 hours per week (half time) at \$208 per hour.
- Outreach Development (Federal): A senior level analyst who will develop outreach and educational materials, newsletters, presentations and other content. 20 hours per week (half time) at \$120 per hour.
- Outreach Delivery (Federal): Two junior level analysts to attend regional and local meetings and present pre-produced materials and answer questions. One at 30 hours per week (three-quarters time), and one 10 hours per week (one-quarter time) to serve as a backup resource for overlapping meetings. \$90 per hour.
- Engineering Advice/Review (Federal): One senior level engineer to provide any required technical advice, analysis of user base data as required by Phase 1 and answer specific technical questions posed to the outreach team by local participants. One quarter time (10 hours per week) at \$161 per hour. This is a Phase 1 activity as we expect some of the outreach sessions will lead to detailed questions from participants on usage, comparison to existing data systems, etc. that will require a specialized understanding to answer.
- Support Staff (Federal): Support staff to provide for mailing, scheduling, report generation, etc. This is a half-time effort (20 hours per week) at \$57 per hour.
- Website Development and Update (Federal): A website development specialist to format content for the State public safety broadband website and maintain the same site. This is a flexible hours part time activity at \$68 per hour using the State's centralized hourly IT services contract.

**Construction**

<i>Federal:</i>	<b>\$0</b>
<i>Non-Federal:</i>	<b>\$0</b>
<i>Total:</i>	<b>\$0</b>

We do not plan to have any construction costs for this grant program.

**Other**

<i>Federal:</i>	<b>\$2,448,128</b>
<i>Non-Federal:</i>	<b>\$103,993</b>
<i>Total:</i>	<b>\$2,552,121</b>

See the Detailed Budget Spreadsheet for calculations

- Printing (Federal): As part of the State's education and outreach activities, we plan to produce five tri-fold brochures that provide information on the PSBN and how it can be used by various public safety entities. We plan to have copies printed and distribute them at meetings with local and tribal jurisdictions.
- Handout Pens (Federal): As part of the outreach activities, the State will have disposable pens produced that contain the FirstNet and State public safety broadband websites for use as a handout material at meetings.

- Information Technology Services (Non-Federal, in-kind): Costs associated with phone and network connections that support the activities of the State non-federal match employees referenced in this budget.

**Annual IT Charges (For 2.35 FTE)**

<b>Category</b>	<b>Amount</b>
iPhone Service for staff, pro-rated	\$3,037.13
Router Charges - Serving Offices, pro-rated	\$274.95
IT Service (2.11% of ITS Contractor)	\$1,687.92
<b>TOTAL</b>	<b>\$5,000.00</b>

- Where 2.35 Full Time Equivalentents (FTEs) is the aggregate of the non-Federal match staff time.
- Phase 2 Activities (Federal, Non-Federal – in-kind): This is a reserved amount to conduct Phase 2 activities, pending further direction from FirstNet and NTIA. This budgeted amount will be detailed in a future budget revision, consistent with future NTIA guidance. We anticipate leveraging experience from the State’s involvement in the State Broadband Initiative (SBI) grant project.

**Indirect**

*Federal:*                    \$0  
*Non-Federal:*               \$0  
*Total:*                        \$0

**TOTALS**

*Federal:*                    \$4,867,212  
*Non-Federal:*               \$1,216,803  
*Total:*                        \$6,084,015

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Shelley Wahrlich</p>	<p>* TITLE</p> <p>Assistant Director</p>
<p>* APPLICANT ORGANIZATION</p> <p>NYS Division of Homeland Security &amp; Emergency Services</p>	<p>* DATE SUBMITTED</p> <p>03/19/2013</p>

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# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB  
0348-0046

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

**4. Name and Address of Reporting Entity:**  
 Prime     SubAwardee

\* Name:

\* Street 1:     Street 2:

\* City:     State:     Zip:

Congressional District, if known:

**5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:**

<b>6. * Federal Department/Agency:</b> <input type="text" value="n/a"/>	<b>7. * Federal Program Name/Description:</b> <input type="text" value="State and Local Implementation Grant Program"/> CFDA Number, if applicable: <input type="text" value="11.549"/>
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<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>
--	--

**10. a. Name and Address of Lobbying Registrant:**

Prefix  \* First Name  Middle Name

\* Last Name  Suffix

\* Street 1:     Street 2:

\* City:     State:     Zip:

**b. Individual Performing Services** (including address if different from No. 10a)

Prefix  \* First Name  Middle Name

\* Last Name  Suffix

\* Street 1:     Street 2:

\* City:     State:     Zip:

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\* Signature:

\* Name: Prefix  \* First Name  Middle Name   
\* Last Name  Suffix

Title:     Telephone No.:     Date:

<b>Federal Use Only:</b>	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)
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Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 28, 'New Restrictions on Lobbying.' The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

**LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement or contract over \$100,000 or a loan or loan guarantee over \$150,000 as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure Form to Report Lobbying,' in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure occurring on or before October 23, 1996, and of not less than \$11,000 and not more than \$110,000 for each such failure occurring after October 23, 1996.

**As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification.**

**\* NAME OF APPLICANT**

NYS Division of Homeland Security & Emergency Services

**\* AWARD NUMBER**

2013-NTIA-SLIGP-01

**\* PROJECT NAME**

FY2013 State and Local Implementation Grant Program (SLIGP)

Prefix:

\* First Name:

Middle Name:

F. David

\* Last Name:

Suffix:

Sheppard

\* Title: Assistant Director

\* SIGNATURE:

Shelley Wahrlich

\* DATE:

03/19/2013



STATE OF NEW YORK  
**EXECUTIVE CHAMBER**  
ALBANY 12224

**ANDREW M. CUOMO**  
GOVERNOR

March 19, 2013

State and Local Implementation Grant Program  
Office of Public Safety Communications (OPSC)  
National Telecommunications and Information Administration (NTIA)  
U.S. Department of Commerce  
1401 Constitution Avenue, N.W.  
HCHB, Room 7324  
Washington, DC 20230

**VIA GRANTS.GOV ELECTRONIC SUBMISSION**

To Whom It May Concern:

As required by Public Law 112-96 (also known as H.R. 3630) and the NTIA Federal Funding Opportunity dated February 6<sup>th</sup>, 2013, New York State certifies the designation of a single organization or government employee to serve as the official point of contact with NTIA and the FirstNet Board. That designee is Jerome M. Hauer, Commissioner of the New York State Division of Homeland Security and Emergency Services (DHSES).

Within DHSES, the Office of Interoperable and Emergency Communications (OIEC) is led by the Statewide Interoperability Coordinator (SWIC). It is this office that will conduct the day-to-day interactions with NTIA and FirstNet.

Sincerely,

A handwritten signature in black ink, appearing to read "Andrew M. Cuomo".

ANDREW M. CUOMO